



ERJU SYSTEM PILLAR


# **Configuration Management Plan - Annex C Document Management Plan, Review and Approval Process**



# Configuration Management Plan - Annex C

## Document Management Plan, Review and Approval Process

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Abstract	This document describes the management of SP deliverable documents. This includes the 'review and approval' process, document workflow, ...
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## Document History

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**Approval by reviewers** (captured at end of 'In Review by System Pillar')

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## 1 Preamble

### 1.1 Purpose

#### Purpose of the Document Management Plan

The purpose of this document is to guide System Pillar Tasks/Domains to manage properly System Pillar deliverables for approval of the documents.

This plan is unique across all System Pillar tasks/domains. This plan applies to all System Pillar deliverables (as listed in the  SPPR-7894 - Configuration Item List).

Note: Management of configuration (creation of System Pillar releases, ...) is described in the *SPPROCESS/10 SEMP V 01\_01/Configuration Management Plan : 722284*  
[SPPR-10757 ]

### 1.2 Intended Audience

The intended audience is all stakeholders of the System Pillar.

### 1.3 Document Context

This Document Management Plan (DMP) concerns the management of **System Pillar deliverable documents**.

It defines the **Document Management** process to be implemented in System Pillar, including the scope, organisation and procedures to be used to carry out the documents management activities.

This plan covers:

1. Document lifecycle workflow: states and transition a document will go through during its life.
2. Description of Document properties and usage of how a document is characterized in Polarion

[SPPR-10344 ]

## **1.4 Glossary**

Global definitions are defined here : Definitions < Glossary < Documents & Pages < SPLI (europa.eu)

### **1.4.1 Terms**

No references

### **1.4.2 Abbreviations**

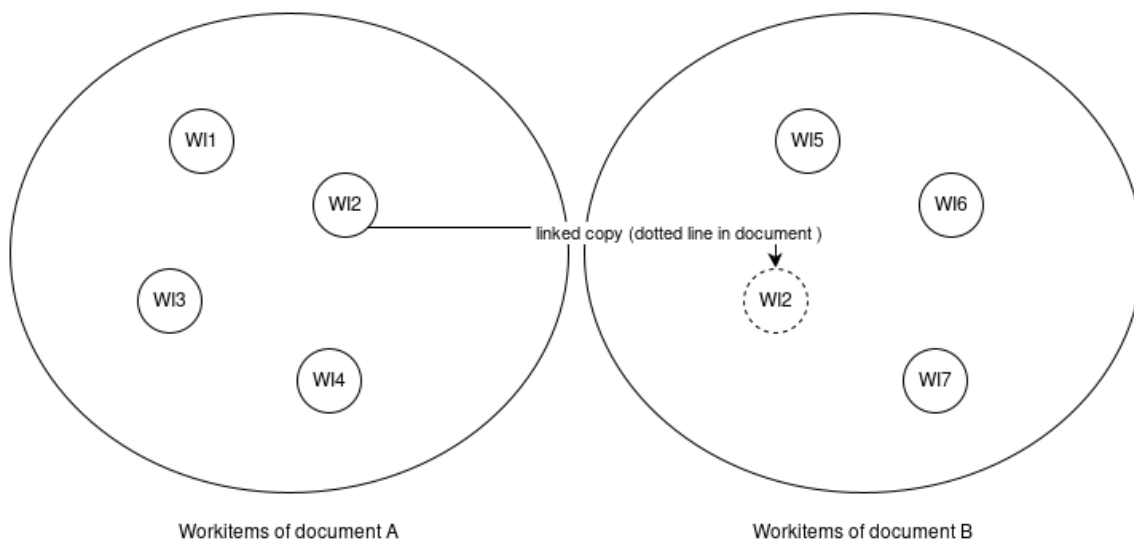
## 2 Document management process

### 2.1 Document and Work Items

#### P9.2.1 Document and Work Items

A document can be seen as a "set" of work items. It can be seen as static work items report out of the database.

A work item can be in many of these documents, but its original is always only in one of them (its "parent" document) and can only be edited there. In other documents, the Work Item is "referenced" and cannot be edited directly.



Document and Work Items have their own workflow:

- For Work Item workflow and states, see [SPPR-2496 - P9.2 Assigning workitems to teams or persons and workitem status management](#)
- For deliverable documents workflow, see [SPPR-10335 - Workflow of System Pillar deliverable documents](#)

The links between these two workflows and when to change Work Item state based on document workflow is explained in the processes.

For more information on creation of document, see [SPPR-10520 - How to create a document?](#)

Inputs	-
Outputs	<ul style="list-style-type: none"> <li>- Document (LiveDoc) created</li> <li>- Document properties set</li> <li>- Work Item used in the document are configured</li> <li>- Document follows the workflow till the 'Released' state</li> <li>- Integrate document in a 'System Pillar Release'</li> </ul>
ID	SPPR-2547

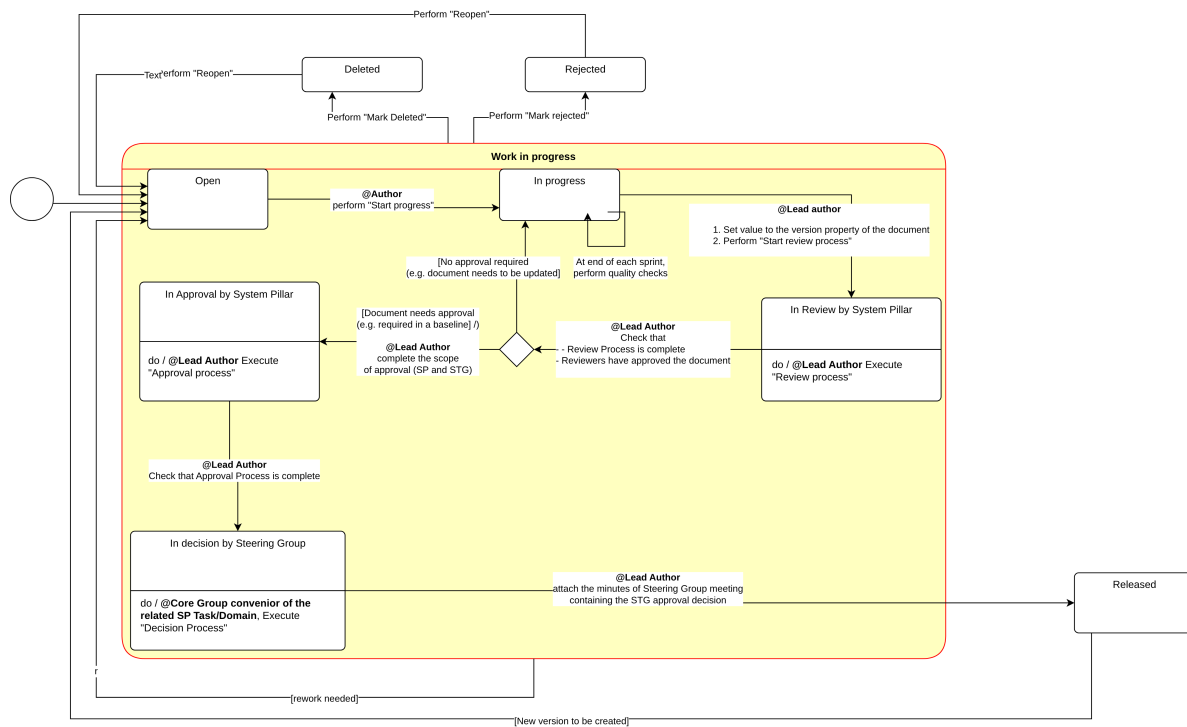
### 2.2 Document workflow

#### Workflow of System Pillar deliverable documents

The lifecycle of a **System Pillar deliverable document** is illustrated in the state diagram below.

As with many workflows, there is the ability to divert to other status to allow for rework etc.

This workflow is implemented in the "**generic**" LiveDoc Polarion workflow.



The following table describes the status shown in the table above

Document State	Pre-condition for a document to enter this state	Activities performed while the document is in this state
<b>Open</b>		Default state of a document when it is created.
<b>In Progress</b>	Author(s) is(are) ready to work on the document	Content and Work Items are being created, edited. In this state, a Task/Domain internal and informal review may be performed (not using the review and approval process described below).
<b>In Review by System Pillar</b>	Content, as agreed by System Pillar Task/Domain planning, is complete (see checklist in the review process)	While in this state, the document will go through review by relevant System Pillar stakeholders (see <a href="#">SPPR-2497 - P9.4 Process Tasks related to the review</a> )
<b>In Approval by System Pillar</b>	All document content has been reviewed by System Pillar (see checklist in the approval process).	While in this state, the document will go through approval by relevant System Pillar stakeholders (see <a href="#">SPPR-2500 - P9.5 Process Tasks for approval</a> )
<b>In Decision by Steering Group</b>	All document content has been approved by System Pillar	While in this state, the document will go through the decision by Steering Group process (see <a href="#">SPPR-10524 - P9.x Decision process</a> ). The decision is related to a given purpose and scope.
<b>Released</b>	The document has gone through Steering Group decision.	The document may be used only for the purpose and scope of the decision. All its work items are frozen and the document is read only.

Note that:

- At various points, the status can be set to "**Deleted**" or "**Rejected**" it is not possible for a document that has status "Released" to transition to these statuses.



- To ease maintenance of the document workflow in Polarion (workflow, triggered actions, ...), not all transitions have been defined. In other words, it could be necessary to apply 2 or 3 transitions to reach target status. For example, to go from "Released" to "In progress", you will need to go through "Open".

Document Status	Workflow Description
Rejected	The document has been rejected as part of the workflow. A rationale for the rejection is captured. The document can be re-opened if necessary.
Deleted	The document is obsolete and no longer required. The document can be re-opened if necessary.

Note: For more information on Work Item workflow and states, see [🔗 SPPR-2496 - P9.2 Assigning workitems to teams or persons and workitem status management](#)

ID	SPPR-10335
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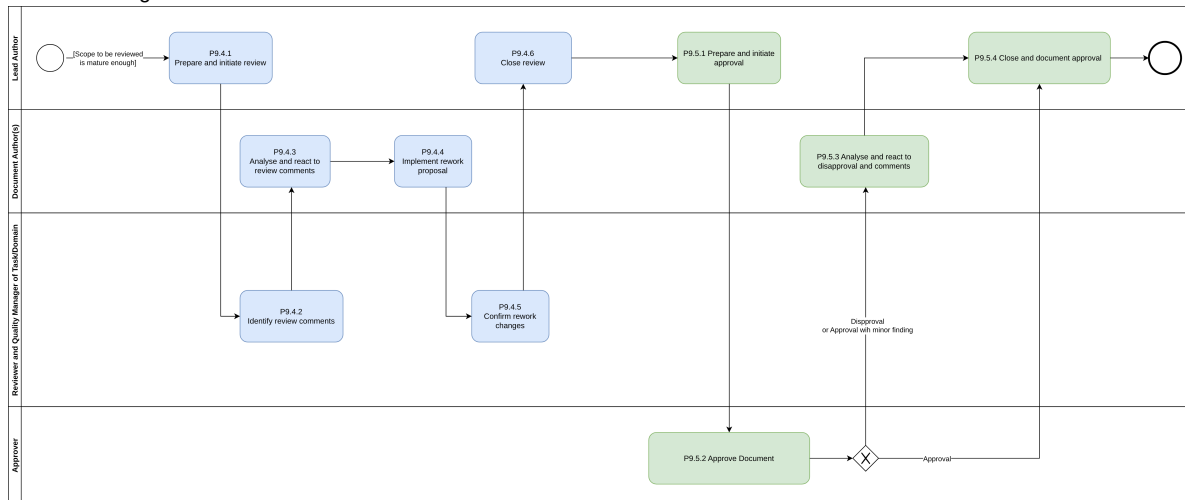
### 3 Review and approval process

#### Diagram of the Review and Approval process

The figure below shows the Process Tasks (as defined in SEMP 🧑 SPPR-4222 - Process-related concepts using UML Class diagram ) related to the review and approval process.

Each Process Task is in a swimlane showing which role is responsible for which Process Task.

Note: This diagram follows the BPMN v2 notation.









[SPPR-4417 ]

### 3.1 Process Tasks related to the review

#### P9.4 Process Tasks related to the review

The purpose of the review process tasks is to provide a structured framework for reviews of **System Pillar deliverable documents** (that can contain requirements-related Work Items, Work Items imported from Capella, ...).

The process tasks of the review process are:

-  SPPR-4415 - P9.4.1 Prepare and initiate review
-  SPPR-4427 - P9.4.2 Identify review comments
-  SPPR-4428 - P9.4.3 Analyse and react to review comments
-  SPPR-4424 - P9.4.4 Implement rework proposal
-  SPPR-4419 - P9.4.5 Confirm rework changes
-  SPPR-4421 - P9.4.6 Close review

Notes:


- the role Author mentioned in this process refers to Document Author.
- The review process is based on ISO/IEC 20246:2017 and the CENELEC standards EN 50126, EN 50128 and EN 50129.

Inputs	Work product ready for review
Outputs	<ul style="list-style-type: none"> <li>- defects/issues in the work product are identified</li> <li>- quality characteristics of the work product are evaluated</li> <li>- reviewers have gained knowledge about the work product</li> <li>- reviewers have approved the document (as reworked till end of review)</li> <li>- Reviewed and reworked work product</li> <li>- Needed change requests created</li> </ul>
ID	SPPR-2497

#### 3.1.1 Prepare and initiate review

##### P9.4.1 Prepare and initiate review

###### Document preparation and checklist before review

Perform the checks and prepare the document as explained in  SPPR-10617 - How to prepare a document for review?

###### Define scope and characteristics

definition of areas to be reviewed. It could be:

1. a **full** review of the document
2. a **delta** review  
In this case, Lead Document Author shall identify the areas in the document to be reviewed. Areas could be all updates since last review or specific areas (e.g. list of chapters, changes related to a given Change Request, ...)
3. a **complete** review

Note: For more information on these values, see  SPPR-2500 - P9.5 Process Tasks for approval

###### Define list of reviewers


Golden Rule: "**So many reviewers as needed, so few as possible**" to reduce the overall workload.

The following rules shall be applied:

- For the initial review the Lead Quality Manager (LQM) has to be consulted.
- The Lead Document Author should propose the list of reviewers considering that all the involved stakeholders of the reviewed artefact (information providers and consumers) and depending on the scope of the reviewed content.  
Note: It often also helps to assign Reviewers only specific parts of the work product to review.
- The Author's proposal should be validated by either:
  - Lead Quality Manager (LQM) or,
  - for Domain internal content, all the Leads of the Task/Domain in charge of the document.  
for document relevant to other Domains Cross-cutting domain leads or Core Group Convenors of the Task/Domain in charge of the document.
- The mandatory reviewers are selected members of each impacted domain. There should be at least one mandatory reviewer per impacted Task/Domain.
- Relevant **members of domain(s) mirror group** shall be involved as well in the review (cf. *SPPROCESS/10 SEMP V 01\_01/Mirror Group Guideline : 722284* )  
For more information on mirror group, see *SPPROCESS/10 SEMP V 01\_01/Mirror Group Guideline : 722284*
- Optional reviewers can be invited by the Author or the domain leads.

*Note: The people invited for review shall be added to the document property **Reviewers** ("**Reviewers mailing list**" will be automatically completed by Polarion).*

#### Inform participants to initiate the review

The Lead Document Author shall notify the reviewers by mail. A single notification can be done for review of more than one document. See  SPPR-10420 - Template for notification of start of review.


For complex documents, it is preferred that the Lead Document Author invites for a review **kick-off meeting**. In this meeting the Lead Document Author can explain the content of the document and can answer questions. This meeting is not meant to discuss potential improvements and issues within the document itself.

The Lead Document Author shall follow up with the **Reviewers** to achieve the commitment for the review deadline.





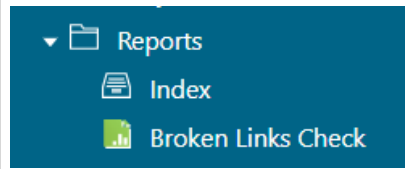
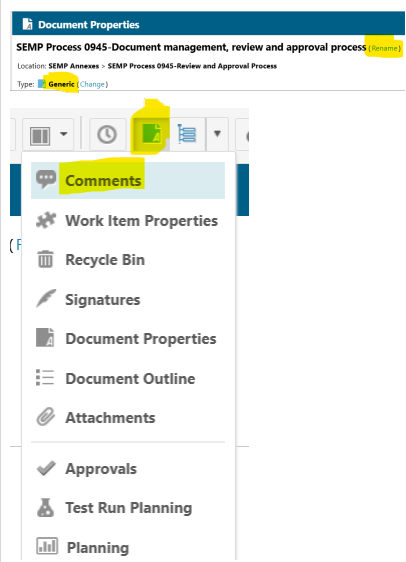
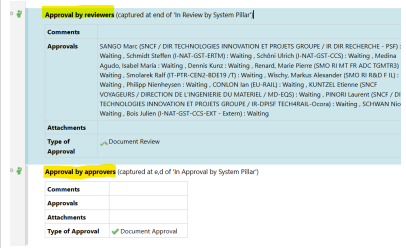

Inputs	Work product
Outputs	Reviewer receive work product for review Scope, characteristics and responsibilities for the review
ID	SPPR-4415


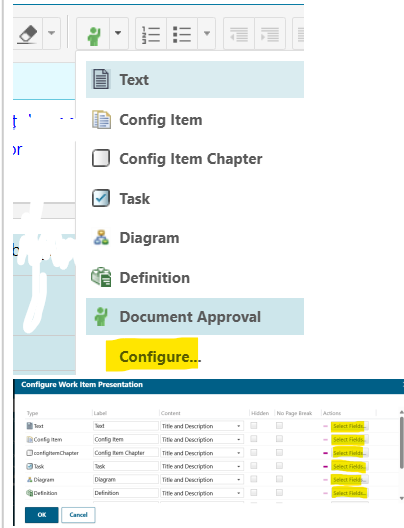
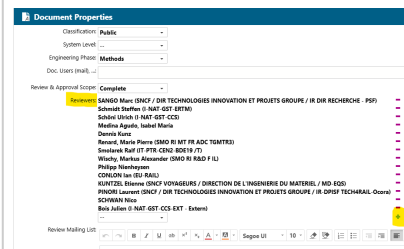

#### 3.1.1.1 How to prepare a document for review?


##### How to prepare a document for review?

Pay attention that the review has to be done always with a **fixed version**. The **Author** has to ensure that during the review phase, no changes to the reviewed file are done in order to reduce the risk that reviewers consider non validated content! In case of doubt, a comparison with the document baseline created when changing the document state to "**In review by SP**" can be computed (See  SPPR-10490 - How to compare two versions of a document? ).

To prepare a document for review:

Step	Description	Illustration
1	Open the document in Polarion	-
2	<p>Checks to be done are by the Document Author are:</p> <ol style="list-style-type: none"> <li>1. Check spelling and grammar  SPPR-3945 - British English is used with correct grammar and spelling</li> <li>2. Check, cross-referencing, indenting and document structure.</li> <li>3. Check that there is no broken link or reference to deleted Work Item. To do this, use the report "Broken Link Check" available in the project where the document is hosted.</li> <li>4. Check that all <b>references</b> have been correctly set. See <i>SPPROCESS/30 SP Metadata Management/References Usage Guidelines : 722284</i></li> <li>5. Check that <b>terms</b> and <b>definitions</b> are defined as Work Items and according to <i>SPPROCESS/30 SP Metadata Management/Glossary Usage Guidelines : 722284</i></li> <li>6. Check that the <b>name of the document</b> is correct. See  SPPR-9688 - Naming conventions of Polarion documents of <i>SPPROCESS/10 SEMP V 01_01/Configuration Management Plan : 722284</i></li> <li>7. Check that <b>comments from previous review</b> have been resolved (see  SPPR-10436 - How to close (resolve) a comment? ).</li> <li>8. Remove the Steering Group approval from a previous approval process from the document attachments (see  SPPR-10524 - P9.x Decision process ).</li> <li>9. Check that the properties of the document <b>Review &amp; Approval requested for</b> and <b>Review &amp; Approval scope</b> are filled.</li> </ol>	  
3	<p>Checks to be done by the Document Author:</p> <ol style="list-style-type: none"> <li>1. Check that 2 Work Items <b>Document Approval</b> exist on top of the document: one for approval by reviewers and one for approval by System Pillar (as identified in  SPPR-10335 - Workflow of System Pillar deliverable documents). If they don't exist, create them using the procedure available at <a href="https://eeigertms.sharepoint.com/sites/SPOpenShare/SitePages/Polarion-Documents%20Approval%20Work%20Items.aspx">https://eeigertms.sharepoint.com/sites/SPOpenShare/SitePages/Polarion-Documents%20Approval%20Work%20Items.aspx</a></li> </ol>	

Step	Description	Illustration
	Note that approvals from previous run of the review and approval are automatically cleared when updating the status of the document.	
4	<p>Checks to be done are by the Document Author:</p> <ol style="list-style-type: none"> <li>1. Check that all <b>mandatory properties</b> of the document are set and updated (if needed). See  SPPR-10349 - Define properties of System Pillar deliverable document</li> <li>2. Check that the document follows the template (if available). See <i>SPPROCESS/Configuration items/Configuration Items : 722284</i> for more information</li> <li>3. All the content exists within a Work Item (no plain text)</li> <li>4. Check that all source documents have successfully finished their own reviews.</li> <li>5. Check that for all Work Item types configured in the document, at least: <ol style="list-style-type: none"> <li>a. "ID" field is shown in the document Rationale: to help reader follow links in exported PDFs</li> <li>b. Except for task and requirements Wok Items, "Status" field is <u>not</u> shown in the document Rationale: as status is not relevant for most of WI types</li> </ol> </li> </ol>	
5	<p>Checks to be done are by the Document Author:</p> <ol style="list-style-type: none"> <li>1. Fill the list of people invited for review in the document property <b>Reviewers</b> Notes: <ul style="list-style-type: none"> <li>- <b>Reviewers mailing list</b> will be automatically completed by Polarion.</li> <li>- This list of reviewers is copied automatically to <b>Approvals</b> of the related Document Approval WI when entering the state <b>In Review by System Pillar</b>.</li> </ul> </li> </ol>	
6	<p>Checks to be done are by the Document Author:</p> <ol style="list-style-type: none"> <li>1. Check that <b>traceability</b> information is complete: For requirements, see  SPPR-9960 - Requirements traceability concept of <i>SPPROCESS/10 SEMP V 01_01/Requirements Management Plan : 722284</i> for more information) <ol style="list-style-type: none"> <li>a. UPSTREAM traceability (only for <u>full content approval</u> and <u>complete approval</u>)</li> </ol> </li> </ol>	

Step	Description	Illustration
	<p>All the 'to be derived' Work Items that need to be derived by Work Items in the document have been linked using an 'is derived from' link (see <i>SPPROCESS/SEMP Annexes/SEMP Link Rules overview</i> )</p> <p>b. DOWNSTREAM traceability (only for <u>complete approval</u>)</p> <p>All work items 'to be derived' by another Task/ domain have been set to state "to be derived" and assignee has been set (by default, assigned to the lead of the Task/Domain who has to derive the Work Items.</p>	
7	<p>Once all these checks are passed, change the document to state <b>In Review by System Pillar</b> (see  SPPR-10335 - Workflow of System Pillar deliverable documents ).</p> <p><i>Note: Polarion workflow will automatically create a 'Polarion Document Baseline' when changing document state to name the revision that will be the starting point of the review.</i></p>	
8 OPTI ONA L	<p>Two possibilities to be chosen by the Lead Author:</p> <ol style="list-style-type: none"> <li>1. RECOMMENDED do nothing. Comments will be collected within HEAD (latest) version.</li> <li>2. Create a branch and freeze all Work Items of the document. This allows separation between</li> <li>3. master: used to update the document</li> <li>4. branch collecting the comments</li> </ol> <p>Approach 1 is simpler to use while approach 2 allows editing in parallel to collecting comments while ensuring that comments are performed on a frozen version for all reviewers.</p> <p>In all cases, changing the status of the document will automatically create a Document Baseline.</p>	

[SPPR-10617 ]

### 3.1.1.2 How to notify reviewers that review has started?

#### Review notification

The Lead Document Author will send the notification for review as an electronic mail using the document property **Reviewers mailing list** as list of recipients.

[SPPR-10646 ]

#### Template for notification of start of review

##### Object/Subject of the message

[ERJU SP] Request to review **<Title of document>** **<Version of the document, x.y>**

##### Notes to author of this template (EET)

- Copy/paste may not preserve carriage return

- Copy/paste add text of comments even if they are resolved. Comments raised during review in the body of the mail below have been deleted. These comments are available in the exported comment list that has been generated before deletion.

#### Note:s to sender

- The "**Generic Review Checklist**" may be adapted. In particular, if previous quality checks or domain internal reviews have already handled these points (e.g. "1. spelling checks")
- It is a good practice to define specific review objectives (see template below).

#### Body of the message

Dear All,


The version **<Version of the document, x.y>** of **<Title of document>** document was endorsed by the **<task/SP Domain team name>**.

We invite you to review the **[update of the] document: <hyperlink to the LiveDoc> (HEAD revision)**  
Please remind that a Polarion baseline, created when changing the document status to "In Review by System Pillar", is also available.



Please inform if you cannot participate to the review. In this case, forward this review request to relevant person.

The changes between the current version and the version **<x.y>** are  
**<Insert output of comparison computed by Polarion AND/OR textual description>**  
We ask you to focus your review please on the changes.

The people invited to the review (and their **specific review goals or checks**, if any) are:

- **<Name of the Quality Manager of the task/domain in charge of the document>** - Quality Manager (QM)  
Re-run the checklist defined at  SPPR-10617 - How to prepare a document for review?
- **<Name of a reviewer OR role of a group of reviewers> [<specific document parts AND/OR specific review objective AND/OR specific checks>]**
- ...


#### **Generic review checklist**

1. Check for any spelling mistake
2. Check that terms and definitions are defined as Work Items and according to *SPPROCESS/30 SP Metadata Management/Glossary Usage Guidelines : 722284*
3. Check that references have been defined according to *SPPROCESS/30 SP Metadata Management/References Usage Guidelines : 722284*
4. Check that the document follows the template (if available).  
See *SPPROCESS/Configuration items/Configuration Items : 722284*
5. If there are requirements in the document, do requirements meet the rules as defined in *SPPROCESS/SEMP Annexes/SEMP Annex R1 - Requirements rules : 722284*?
6. If there are elements from model, do they follow  Systems Engineering Management Plan - Annex M1 Capella Model Element Rules ?
7. Do you agree with content of the document? Do you agree on proposed solution and/or design ?
8. Are the targeted objectives of this version of the document reached?
9. Is the content of this document mature?
10. Is the document consistent?
11. Do links to and from requirements follow the rules expressed in  **SPPR-7265 - System Pillar traceability map for requirements** and are these links valid and meaningful

The **(other) documents to be considered for the review** are:

- <Document name + hyperlink to document in Polarion needed for checks of UPSTREAM or DOWNSTREAM traceability>
- ...

#### **How to provide review comments?**


See  **SPPR-10421 - How to raise comments?**



Please keep in mind that:

- Comments shall be written in a solution oriented approach
- Comments should be written as short as possible
- Comments shall be precise and focused on the review content
- Normally, Comments to comments are invalid

### Review process

See  SPPR-2497 - P9.4 Process Tasks related to the review

### Time planning

Deadline for sending comments: **<dd<sup>st</sup>/rd/th MM YYYY - minimum 7 working days-Could be bigger>**



Kind Regards,  
<your name>  
<your role(s) in SP>  
[SPPR-10420 ]

### 3.1.2 Identify review comments

#### P9.4.2 Identify review comments

Each reviewer performs the review to identify

- mistakes
- inconsistencies
- ambiguities
- misalignment with upper or lower architecture level
- etc.

For more information, see  SPPR-10421 - How to raise comments? and  SPPR-4475 - Commenting rules

Each comment shall have a **severity**:

Severity	Prefix to be used in the text of the comment	Description
Major	<b>[Major]</b>	the finding has significance and final agreement is needed between the reviewer and Author
Minor	<b>[Minor]</b>	the Reviewer considers that the final agreement is not necessary for approving the document (e.g. spelling).

Examples:

- *[Minor] Here it is better to add the following information xyz in order to avoid misunderstandings*
- *[Major] This part is not in conformance with the standard xxx. To meet the standard it should contain the following information: A) xxx B) xxx C) xx*

#### End of raising comments

This step implicitly stops when the delay announced in the review notification is elapsed.

Reminders could be sent during the review period by the Lead Document Author.

Inputs	Received work product for review
Outputs	Identified review comments
ID	SPPR-4427

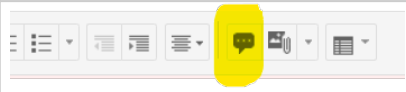


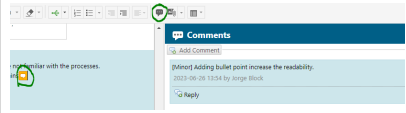
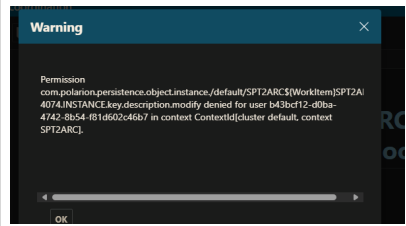
#### 3.1.2.1 How to raise comments?

##### How to raise comments?

**Reminder: Training links and videos are available at [Polarion Sharepoint for System Pillar](#)  [Polarion training links](#)**


As the review is on a document, the comments shall be created in the document and not in the "Comments" section of the Work Item properties (Rationale: WI comments are not displayed on document). See below for steps to follow:



Step	Description	Illustrations
1	Place the cursor as near as possible to the element you want to comment. Note that it is not possible to place it at any location of the document (e.g. (referenced work items) are not editable).	
2	If comment tab is not yet visible, click on the comment button in the middle top of the page	

Step	Description	Illustrations
		
3	<p>Capture your findings by comment function to the document. Please <b>be specific</b> (see  <a href="#">SPPR-4475 - Commenting rules.</a>) in your comments. Start every comment with a chosen severity. See  <a href="#">SPPR-4427 - P9.4.2 Identify review comments</a></p> <p><i>Notes:</i></p> <ul style="list-style-type: none"> <li>- a mail notification will be sent by Polarion to the reviewer once a reply is provided to a comment</li> <li>- if you get this message when saving, it means that one of the comment you have added since the last saving is at a wrong location (e.g. inside a Work Item). This could happen if you review a document without write access. <b>It is recommended to save after each new comment.</b></li> </ul>	 

[SPPR-10421 ]

### Commenting rules

- **Reviewer should first read one time through the doc and then start commenting**
- Reviewers shall associate a **severity** classification to every comments. See  [SPPR-4427 - P9.4.2 Identify review comments](#)
- **Reviewers shall write comments in a solution oriented approach**  
In order to avoid misunderstandings and long discussions, it is recommended to make a proposal how to correct the finding, if possible.
- **Reviewers shall write comments as short as possible**
  - No history lessons, no novels, long stories and hundreds of words of background information. Be as short and precise as possible. If the Reviewer does see the need for detailed explanation then please use the open comments meeting or approach the Author separately.
- **Reviewers shall write comments precise and focused on the content**
  - Comments should stick to the scope of the review. Questions like "what do you mean with..." or "we should think about" should be avoided. Furthermore comments shall meet the scope of the document itself, that means Reviewers shall not misuse a review by e.g. trying incorporate their general criticism of the organization into a review comment.
- **Reviewers will not write comments to comments.**
  - Reviewers shall focus on the review content, not on other Reviewers comments. If the Reviewers like to propose a solution of another Reviewers Issue or to disagree this can happen during the open comments review meeting. Furthermore comments to comments increase the complexity for the Author to resolve Issues one by one.

Linked Work Items	rules :  <a href="#">SPPR-4427 - P9.4.2 Identify review comments</a> has parent :  <a href="#">SPPR-10422 - How to raise comments?</a>
ID	SPPR-4475

### 3.1.3 Analyse and react to review comments

#### P9.4.3 Analyse and react to review comments

##### Starting criteria

This process task may be started in parallel to  SPPR-4427 - P9.4.2 Identify review comments.

The Document Author analyses the identified comments and reacts with a status and a resolution proposal.


The following status values are defined:

Status of the Answer	Prefix to be used in the text of the reply	Description
Rejected	<b>[rejected]</b>	The Author rejects the comment. The author has to provide a reason (e.g. duplicate of another comment) in the reply.
Accepted	<b>[accepted]</b>	the Author accepts the comment and provides a resolution proposal.

For **Major Accepted** comments, a resolution proposal is defined by the Document Author(s).

The resolution proposal can be:

- Solution proposal is planned in current document version.  
Typically, this is assigned to the Author of the work product, in case the work product is under change control please respect the *SPPROCESS/SEMP Annex D Processes/Generic Change Management Process : 722284*.
- Solution cannot be implemented in the current version of the document or needs to be implemented in another document.
  - In case the (other) document is not under change control, create a Polarion Task or Issue Work Item for tracking purpose in this document. An hyperlink to the Task or Issue will be added in the reply to the comment.
  - In case the (other) document is under change control, please respect the *SPPROCESS/SEMP Annex D Processes/Generic Change Management Process : 722284*. An hyperlink to the Change Request will be added in the reply to the comment.

For **Major Rejected** comments, consensus should be achieved between Document Author and Reviewer if possible before the end of the review period. This can be done either one-to-one or during a review meeting depending on the number of findings and the complexity of the resolutions  [SPPR-4480 - Rules for 'Open comments meeting'](#).

Inputs	Identified review comments
Outputs	Review decision Needed change requests created
ID	SPPR-4428

##### **Rules for 'Open comments meeting'**

The meeting is optional unless

- the Document Author does reject one (or several) major comment(s) without the Reviewer agreement
- the comment is too complex to coordinate via comment/reply function in Polarion.

### Who has to (or may) trigger the meeting?

The Document Author shall invite for an 'open comments' meeting. Also the Reviewers can request that meeting any time if she/he disagrees with others comments.

### Purpose of the meeting

The purpose of this meeting is to discuss the action closure proposals provided by the Document Author. At the end, major comments need confirmation by the Reviewer that the rework resolution fits the intention of the finding.

### Invited people

People to be invited as mandatory participants are:

- Reviewers who raised the comments to be discussed
- Quality Manager of the related Task/Domain

People to be invited as optional participants are:

- all other reviewers
- Core group convenors

The Quality Manager of the related Task/Domain shall check that a minimum quorum of 60% of the active Reviewers is present in the meeting. If the quorum is not reached the meeting has to be rescheduled. If the rescheduling is not possible due to time constraints, the quorum could be lowered by agreement between the Author and the Quality Manager. Several meeting occurrences could be needed.

### Stop Criterion

The meeting is complete once all review comments have been either accepted or rejected with agreement of reviewers.

The Quality Manager of the related Task/Domain shall check if the agreed solution is an appropriate measure.

Linked Work Items	rules : ➡ SPPR-4419 - P9.4.5 Confirm rework changes rules : ➡ SPPR-4428 - P9.4.3 Analyse and react to review comments has parent : 📄 SPPR-10661 - Analyse and react to review comments
ID	SPPR-4480

### 3.1.4 Implement rework proposal

#### P9.4.4 Implement rework proposal

##### Starting criteria

This process task may be started in parallel to ➡ SPPR-4428 - P9.4.3 Analyse and react to review comments .

However, rework of documents (except if related to typo, spelling and grammar) should be avoided while ➡ SPPR-4427 - P9.4.2 Identify review comments is still on going.

##### Performing rework

The Document Author shall implement all accepted comments with a rework proposal.

##### Request feedback from reviewers

Then the updated version of the work product is distributed to all reviewers with a deadline for receiving the reviewer's agreement. The **deadline for receiving reviewers feedback** shall last at least **10 working days**.


Inputs	Review decision
Outputs	Updated work product
ID	SPPR-4424


### 3.1.5 Confirm rework changes

#### P9.4.5 Confirm rework changes

All the reviewers shall finally check if the implemented changes are sufficient to solve the **Major** comments.



The Quality Manager of the task/domain in charge of the document shall (spot) check if the implemented **Major** comments.

To support this activity, comparison between the current version (HEAD) and the document baseline created when starting the review can be computed. See  SPPR-10489 - How to compare two versions of a document?

Agreement shall be captured though the **approval by at least all the mandatory reviewers**. Approval shall be done on the Work Item "**Document Approval**" related to reviewer approval, located at the top of the document. See  SPPR-10469 - How to provide approval decision on a document?

Several cases may happen:

- **For major comments,**

- if the reviewer agrees on the rework, the comment shall be resolved by the Reviewer (see  SPPR-10436 - How to close (resolve) a comment? ). The reviewer will inform the Document Author that she/he has finished analysing the rework.
- Else, a Polarion Issue should be created and assigned to the Quality Manager of the task/domain in charge of the document and the Document Author. Both roles have now to agree on how to proceed. e.g. by creating another proposal or by calling for an additional open comments meeting ( [SPPR-4480 - Rules for 'Open comments meeting'](#)).

- **For minor comments,**

the Document Author can decide by her/his own how to manage them, e.g. directly change the content after review period is finished or directly reject them.

- If after the confirmation deadline no feedback by a Reviewer is given, the review is closed from the Reviewer side.

Inputs	Updated work product
Outputs	Rework of identified major comments is confirmed
ID	SPPR-4419

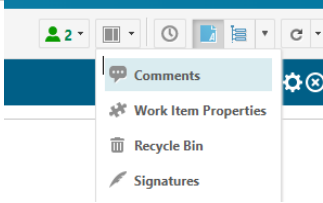
#### 3.1.5.1 How to close (resolve) a comment?

##### How to close (resolve) a comment?

**Reminder: Training links and videos are available at [Polarion Sharepoint for System Pillar](#) **  
**[Polarion training links](#)**

To close (called 'resolve' in Polarion) comments:

Step	Description	Illustration
1	Open the document and the comment tab	

Step	Description	Illustration
		
2	Click on the comment you want to close	
3	Click on the "Resolve" button below the comment. Please remind that, for Major comments, only the reviewer is allowed to resolve the comment.	

[SPPR-10435 ]




### 3.1.6 Close review

#### P9.4.6 Close review

##### Starting criteria


When **deadline for receiving reviewers feedback** is over or agreements on rework have been received from all reviewers, the Lead Document Author evaluates the exit criteria of the review:

1. All comments have been satisfactorily resolved
2. All comments that relate to other work products have been tracked (see above)
3. All identified review targets have been reviewed by at least one competent reviewer
4. The **scope of the review has been achieved**
5. All comments are resolved in Polarion
6. All reviewers with major comments have approved the document. See  SPPR-10470 - How to provide approval decision on a document?
7. All "is derived from" links have been updated according to rework

##### Closing the review

If the evaluation is successful, the review is closed.

The Lead Document Author

- informs the Quality Manager of the related Task/Domain, the Task/Domain Lead and reviewers about the review result.
- Create the review report. See  SPPR-10691 - How to create the review report?
- Move the document to state **In Approval by SP**


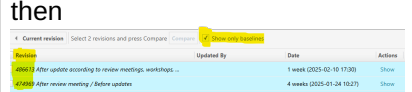

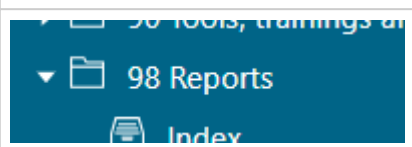
Note: This will automatically create a Polarion baseline of the document.

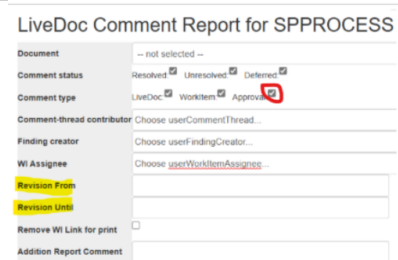
Inputs	Updated work product without open comments
Outputs	Work product reviewed
ID	SPPR-4421

#### 3.1.6.1 How to create the review report?

##### How to create the review report?

The review report is created by the following steps:

Step	Description	Illustration
1	Open the document in Polarion	
2	Open the history of the document and identify the revision of the document baseline related to beginning and end of the review	 <p>then</p> 
3	Open the report <b>LiveDoc Comment</b> related to your Polarion project. <i>Note: there is one such report for every Polarion project e.g. for EET project, it is  LiveDoc Comment</i>	
4	Select the document, then click a first time on <b>Apply</b> . Uncheck "Approval" Then, fill the two revision numbers and click again on <b>Apply</b> .	

Step	Description	Illustration
		
5	Export the report to a pdf or Excel file and attach it to the <b>Document Approval</b> Work Item used for the review	

[SPPR-10691 ]



## 3.2 Process Tasks related to the approval

### P9.5 Process Tasks for approval

*SPPROCESS/SEMP Annex D Processes/SEMP Process 0945-Review and Approval Process : 722284*

The purpose of the approval process tasks is to provide a structured framework for approvals of System Pillar Deliverable Document.

Note: Approval of single or set of isolated Work Items is not foreseen in System Pillar.

Documents approval will be managed by approving two Work Items of type **Document Approval** located at the very top of the document:

- one to get approval from reviewers at the end of the review (see ➡ SPPR-4419 - P9.4.5 Confirm rework changes )
- one to receive approval from other relevant people. There will be no need to approve all and every Work Items of the document.

This Work Item type represents the centralized approval of all Work Items of the document (child and referenced Work Items).

Note: Approvals are typically done in the context of a System Pillar Release (see *SPPROCESS/10 SEMP V 01\_01/Configuration Management Plan : 722284*) that contains certain Work Items with defined versions that describe valid traces.

The scope of approval can be:

- a **delta content approval**

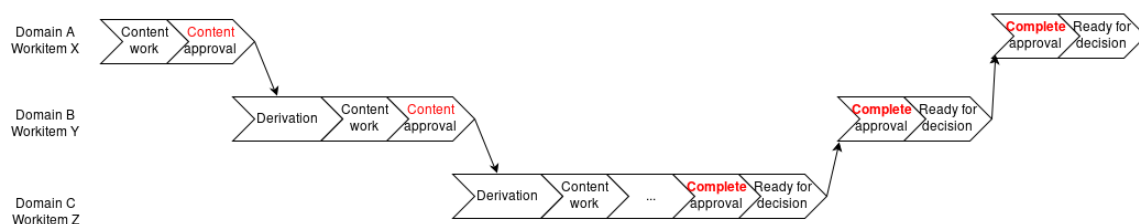
It assesses all the changes or a subset of changes

- a **full content approval**

In addition to previous scope of approval, it assesses if the Work Item(s) to be approved was/were derived correctly from its parent Work Item (e.g. fulfils it or part of it) if the content of the Work Item is correct and accepted

- a **complete approval**

In addition to previous scope of approval, it assesses if the downstream linked child Work Items are in sum fulfilling the Work Item and are in the correct state (=verification of derivation).



The process tasks of the approval process are:

- ➡ SPPR-5394 - P9.5.1 Prepare and initiate approval
- ➡ SPPR-5395 - P9.5.2 Approve Document
- (if necessary, see workflow) ➡ SPPR-5455 - P9.5.3 Analyse and react to disapproval and comments
- ➡ SPPR-5474 - P9.5.4 Close and document approval


Inputs	A set of Work Items (e.g. all from one document)
--------	--


Outputs	Approved Work Items ready for decision Needed change requests created
ID	SPPR-2500

### 3.2.1 Prepare and initiate approval

#### P9.5.1 Prepare and initiate approval

##### Checklist before starting the approval process


Perform the checks and prepare the document as explained in  SPPR-10634 - How to prepare a document for approval by System Pillar?

Once all these checks are passed, change the document to state **In Approval by SP** (see  SPPR-10335 - Workflow of System Pillar deliverable documents ).

Note: Polarion workflow will automatically create a 'Polarion Document Baseline' when changing document state to name the revision that will be the starting point of the approval.

##### Define scope and characteristics

The following information shall be collected:

1. identification of 'to be approved' Document and the relevant links:
  - a. ID, title, Lead Document Author
  - b. version number (see  SPPR-10519 - How to name document and its versions? )
  - c. the initiating change request for work product, if any)

##### Define list of approvers

Golden Rule: **"So many Approving Users as needed, so few as possible"** to reduce the overall workload.

The Lead Document Author shall select the participants as following...

Mandatory approving people are:


- Task/Domain team authoring the Work Item/Document
- Core Group convenors of the impacted Task(s)/Domain(s)
- If more then one task/domain is impacted, in addition to this list:
  - Tasks and Domains leads impacted by the new/updated/deleted content
  - the related Core Group convenors of these Task and Domains

Optional approving people are:


- Other domain leads that are not impacted by the scope of approval
- named experts
- Other Core Group members
- Mandated persons from sector bodies

**The list of approvers shall be agreed with the Coregroup Conveners of the domain authoring the document.**

Notes:


- An Approving User makes an assessment only if they feel competent for it (voluntary)
  - No need to request approval to a reviewer who has already approved this version of the document during the review phase.
  - "Approvers must be assigned the project role project\_approver, and this role should be granted the permission named Permission to APPROVE/DISAPPROVE". This has to be requested to Task/Domain Leads or to a Polarion administrator (see  EET role assignment table .)
- For more detailed information, see <https://docs.sw.siemens.com/en-US/doc/230235217/PL20200109160045845.xid1465510/xid1488770>

##### Inform approvers to initiate the approval

The Lead Document Author shall assign Approvers (see  SPPR-10465 - How to assign approvers to a

document? ).

For a complex Work Item or multiple Work Items it is preferred that the Lead Document Author invites for an **approval kick-off meeting**. In this meeting the Author can explain the content and can answer questions. This meeting is not meant to discuss potential improvements within the Work Item itself.

Approvers will be notified by mail. It is proposed to use the  SPPR-10643 - Template for notification of start of approval

The **Lead Author** shall follow up with the Approving User to achieve the commitment for approval deadline.



*Note: The approval has to be done always with a **fixed content of the Work Item**. The **Author** has to ensure that during the active approval phase, no changes to the Work Item are done in order to reduce the risk that Approving Users considering non validated content!*

Inputs	Set of Work Items
Outputs	Approving User receives Work Items for approval Scope, characteristics and responsibilities for the approval
ID	SPPR-5394

### 3.2.1.1 How to prepare a document for approval by System Pillar?

#### How to prepare a document for approval by System Pillar?

To prepare a document to start the approval process:

Step	Description	Illustration
1	Open the Live Document in Polarion	
2	<p>The following tasks shall be performed before starting the approval process:</p> <ol style="list-style-type: none"> <li>1. Check that  SPPR-2497 - P9.4 Process Tasks related to the review has been completed</li> <li>2. Check the quality of the Work Item is sufficient and the existing open points</li> <li>3. Check that dependencies are derived as further Work Items</li> <li>4. Check that all sources have an approved version in case of a <u>complete approval</u> (see  SPPR-2500 - P9.5 Process Tasks for approval )</li> <li>5. Check that <b>2 Work Items Document Approval</b> exist on top of the document: one for approval by reviewers (should be already approved as done at the end of the review) and one for approval by System Pillar (Work Item to be approved). If they don't exist, create them using the procedure available at <a href="https://eeigertms.sharepoint.com/sites/SPOpenShare/SitePages/Polarion-Documents%20Approval%20Work%20Items.aspx">https://eeigertms.sharepoint.com/sites/SPOpenShare/SitePages/Polarion-Documents%20Approval%20Work%20Items.aspx</a> Note that approvals from previous run of the review and approval are automatically cleared when updating the status of the document.</li> <li>6. in agreement with the Quality Manager of the task/domain <ol style="list-style-type: none"> <li>a. Check that the properties of the document <b>Review &amp; Approval requested for</b> and <b>Review &amp; Approval scope</b> is correct. The value should remain the same between start of review and end of approval.</li> <li>b. set the document property <b>STG Decision scope</b></li> </ol> </li> </ol>	


Step	Description	Illustration
	<p>7. Optionally, update the state of the 'set of) Work Items according to the type of approval (see ➡ SPPR-2500 - P9.5 Process Tasks for approval ):</p> <p><i>Note: Pay attention that updating state of Work Item(s) as proposed below will prevent their edition (description field read only). Update in case of comment will require to Re-Open the work item. Moreover, change of state of several Work Items is possible but requires all of them to be in same current state.</i></p> <p>a. if it is a delta or full <u>content approval</u>, set to 'Content to be approved' by performing 'Start Content Approval'</p> <p>b. if it is a <u>complete approval</u>, set to 'To be approved completely' by performing 'Start Complete Approval'</p>	
3	<p>Once all these checks are passed, change the document to state <b>In Approval by SP</b> (see ➡ SPPR-10335 - Workflow of System Pillar deliverable documents ).</p> <p><i>Notes:</i></p> <p>- Polarion workflow will automatically create a 'Polarion Document Baseline' when changing document state to name the revision that will be the starting point of the review.</p>	

[SPPR-10634 ]

### 3.2.1.2 How to assign approvers to a document?

#### How to assign approvers to a document?

Follow the procedure:

Step	Description	Illustration
1	Open the Live Document in Polarion	
2	Locate the <b>Document Approval</b> Work Item. It should be at the top of the document. If not present, create one.	 <p>The screenshot shows two sections: 'Approval by reviewers' (captured at end of 'In Review by System Pillar') and 'Approval by approvers' (captured at end of 'In Approval by System Pillar'). Both sections have fields for Comments, Approvals, Attachments, and Type of Approval. The 'Type of Approval' is set to 'Document Review' for reviewers and 'Document Approval' for approvers.</p>
3	<p>Fill the document property <b>Approvers</b>.</p> <p><i>Notes:</i></p> <ul style="list-style-type: none"> <li>- <b>Approvers mailing list</b> will be automatically completed by Polarion.</li> <li>- This list of approvers is copied automatically to <b>Approvals</b> of the related Document Approval WI when entering the state <b>In Approval by System Pillar</b>.</li> </ul>	
4	Update status of document in document properties to <b>In Approval by SP</b>	

[SPPR-10465 ]



### 3.2.1.3 How to notify approvers?

#### Approval notification

Notification for approval will be sent by mail using the document property **Approvers mailing list** as list of recipients. [SPPR-10647 ]

#### Template for notification of start of approval

##### Object/Subject of the message

[ERJU SP] Request to approve **<Title of document>** **<Version of the document, x.y>**

##### Body of the message

Dear All,

The version **<x.y>** of **<Title of document>** document was endorsed by the **<task/SP Domain team name>**.

We invite you to approve the document: **<hyperlink to the LiveDoc>**

Please warn and reply to this notification in case they don't see your role as responsible to approve this document.

Please remind that a Polarion baseline, created when changing the document status to "In Approval by SP", is also available.

The changes between the current version and the version **<x.y>** are


**<Insert output of comparison computed by Polarion AND/OR textual description>**

The scope of approval is **<Review and Approval scope>**

#### How to approve?

See  **SPPR-10469 - How to provide approval decision on a document?**

#### Approval process

See  **SPPR-2500 - P9.5 Process Tasks for approval**

#### Time planning

Deadline for approval: **<dd<sup>st</sup>/rd/th MM YYYY - minimum 10 working days>**

Please reply to this notification in case you don't see your role in approving this content.


Kind Regards,

<your name>

<your role(s) in SP> [SPPR-10643 ]

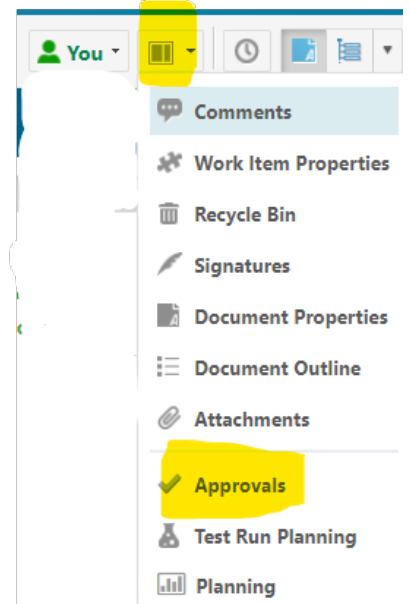
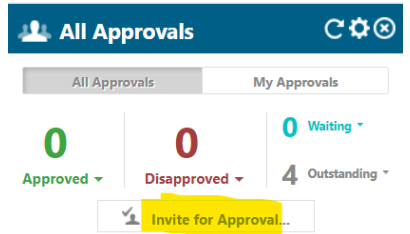
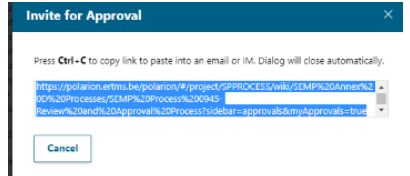
### 3.2.1.4 How to generate a link to a document to be approved?

#### How to generate a link to a document to be approved?

**Reminder: Training links and videos are available at [Polarion Sharepoint for System Pillar](#) **  
**[Polarion training links](#)**

To generate a link to a document to be approved:


Step	Description	Illustration
1	Open the document in Polarion	
2	Open the "approval" side panel by clicking on	

Step	Description	Illustration
		
3	Click on "Invite for Approval"	
4	Copy the link provided. This is the link you will need to share to approvers.	

[SPPR-10467 ]

### 3.2.2 Approve Document

#### P9.5.2 Approve Document

Each Approver performs an analysis of the Document by their own and provides an approval or disapproval vote. See  SPPR-10469 - How to provide approval decision on a document?

Inputs	Set of Work Items
Outputs	Approval/Disapproval and reason as a comment
ID	SPPR-5395

#### 3.2.2.1 How to provide approval decision on a document?

##### How to provide approval decision on a document?

**Reminder: Training links and videos are available at [Polarion Sharepoint for System Pillar](#) **  
**[Polarion training links](#)**

Options available are:

- **Approval without comment**
- **Disapproval**

This has to be due to major finding. In this case, a **comment** shall be added by the approver explaining the rationale behind his/her choice. The comment shall start with the prefix **[Major]**.

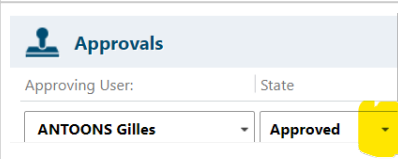
- **Approval with minor finding**


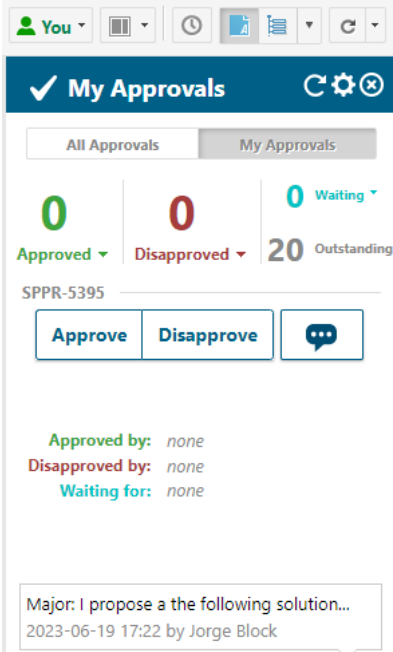
In case of minor findings, the approver approves and adds a comment with Minor finding.

The Author is able to take an implementation decision on his own.

The comment shall start with the prefix **[Minor]**.

To provide you approval:

Step	Description	Illustration
1	Open the document and locate the Document Approval work item at the top of the document. <i>Note: There should be one for approval by reviewers at end of review, and another one for approval by approvers.</i>	
2	Open the Work Item and go to the "approvals" section Alternative and equivalent procedure: open the "approvals" tab in the document and select the Work Item	
3	Update your decision in the 'Approvals' section.	
4	To provide comments in case of <b>disapproval</b> or <b>approval with minor finding</b> , capture your disapproval reason by comment function to the Work Item.	

Step	Description	Illustration
	<p>Please <b>be specific</b> (see  <a href="#">SPPR-4475 - Commenting rules.</a>) in your comments.</p> <p>Start every comment with a chosen <b>severity</b> [Major] or [Minor].</p> <p><b>Do not edit the Work Item content.</b></p>	

[SPPR-10469 ]

### 3.2.3 Analyse and react to disapproval and comments

#### P9.5.3 Analyse and react to disapproval and comments

The Document Author analyses the **disapproval comments** attached to the Work Items (in case of Work Items approval) or to the **Document Approval** Work Item (in case of document approval). The Document Author reacts with a status and a **resolution proposal**. The following status values are defined:

- **[Rejected]** the Author rejects with a reason to be provided in the 'comment' of the approval
- **[Accepted]** the Author accepts the comment and provides a resolution proposal in the 'Reply' of the comment

For comments marked with **[Minor]**, the Author can decide by his own how to manage them, e.g.


- reject them
- manage them as **[Major]** comments (see below)

For accepted **[Major]** comments a **resolution proposal** is defined by the Author.

The resolution proposal can be:

- Solution proposal can be implemented in current version of the Work Items to be approved. In this case, the document will be sent back to **In Progress**, updated and a review process shall be performed.  
Reminder: In case the work product is under change control, please respect the *SPPROCESS/SEMP Annex D Processes/Generic Change Management Process : 722284*.
- Otherwise, an Action Work Item is created:
  - If the rework is needed in a Work Item not part of the 'to be approved' content. raise a Polarion Issue or change request for tracking purpose, in case of that the work product is under change control please respect the *SPPROCESS/SEMP Annex D Processes/Generic Change Management Process : 722284*.
  - if the rework is planned in a later version of the 'to be approved' Work Item(s). a Polarion Issue will be raised for tracking purpose, including postpone-statement.

About the resolution proposals consensus shall be achieved between Author and Approvers. This can be done either one-to-one or during a approving meeting depending on the number of findings and the complexity of the resolutions.


If no agreement can be reached, escalation process as described in "Escalation of topic to SP Steering Group" in  SPPR-3391 - [1] Europe's Rail Joint Undertaking Governance and Process Handbook v2.6 (December 2023) shall be followed.

Inputs	Approval/Disapproval and reason as a comment
Outputs	Disapproval reaction Needed change requests created
ID	SPPR-5455

### 3.2.4 P9.5.4 Close and document approval

#### P9.5.4 Close and document approval



##### Checklist before closing the approval process

To close the approval process, the Document Author shall follow the steps described in  SPPR-10648 - How to close the approval process?

Inputs	Approved Work Items
Outputs	Approved Work Items ready for decision
ID	SPPR-5474

#### 3.2.4.1 How to close the approval process?

##### How to close the approval process?

Step	Description	Illustration
1	Open the document	
2	Check that: <ol style="list-style-type: none"> <li>1. No disapproval are still open</li> <li>2. agreement received from all approvers</li> <li>3. The scope of the approval has been achieved;</li> <li>4. All comments 'resolved' on the <b>Document Approval</b> Work Item by the corresponding approver or actions have been logged (see  SPPR-5455 - P9.5.3 Analyse and react to disapproval and comments)</li> </ol>	
3	If all the criteria are met, the approval may be closed and the Lead Document Author informs about the approval result: <ul style="list-style-type: none"> <li>◦ the Quality Manager of the task/domain delivering the document</li> <li>◦ the Configuration Manager of the task/domain</li> <li>◦ the Task/Domain Lead in charge of the approved content</li> </ul>	
4	Update the state of Work Items (all Work Items of the document to be approved). This shall be done depending on type of approval (see  SPPR-2500 - P9.5 Process Tasks for approval ): <ul style="list-style-type: none"> <li>• if the approval was a delta or full <u>content approval</u>, set the state of the (set of) Work Item(s)               <ul style="list-style-type: none"> <li>▪ to <b>To be Derived</b> and set the 'to be derived by Team' if the Work Item has to be derived,</li> <li>▪ otherwise set it to <b>Done</b></li> </ul> </li> <li>• if the approval was a <u>complete approval</u>, set the state of the (set of) Work Item(s) to <b>Done</b> (performing the 'Mark Done action)</li> </ul>	
5	Set the document state to <b>In Decision by Steering Group</b> .	

Note: for more information on Work Item workflow and states, see [SPPR-2496 - P9.2 Assigning workitems to teams or persons and workitem status management](#) [SPPR-10648 ]

### 3.2.5 External Approvals of documents

#### Manage approval of documents by entities external to System Pillar


















It may be necessary for some people or groups, that are outside of the System Pillar and don't have access to Polarion, to approve documents. In this case, the same process as [SPPR-2500 - P9.5 Process Tasks for approval](#) is followed except that instead of Polarion, a PDF or Word document are used. The adaptation are:

- During [SPPR-5394 - P9.5.1 Prepare and initiate approval](#),
  - Lead Document Author will need to export the content of the document. This can be performed via:
    - [SPPR-10481 - How to export a Polarion Document to a PDF file?](#) or
    - [SPPR-10483 - How to export a Polarion Document to a .DOCX file?](#)
  - Lead Document Author shall set the names of external approver in the properties of the document in the form  
<First Name> <Last Name> <email address>



## Document Properties

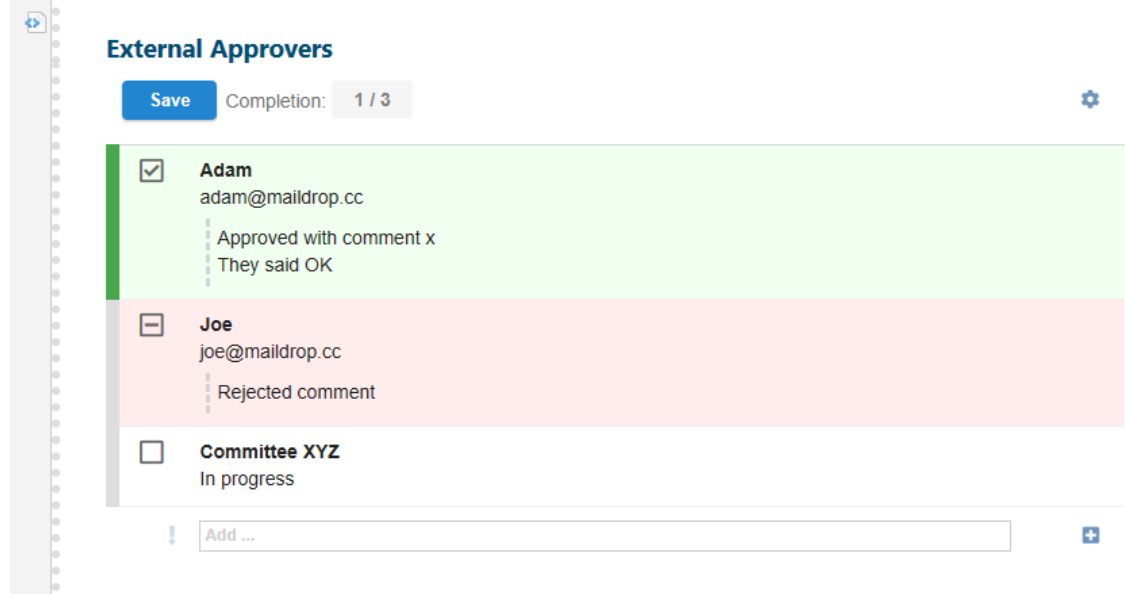
### ▼ Fields

*Status:	 To be Approved C	▼
Doc Sub-Status:	--	▼
Config Item:	--	▼
Language:	 EN	▼
Version:	1.0	
Domain Approval Start:		
Coregroup Approval Start:		
STG Approval start:		
Is Deliverable:	<input type="checkbox"/>	
Ready for ...:	--	▼
Progress Assessment:	--	▼
Progress Description:		
Progress Percent 0-100:		
Abstract:	Describe an abstract in the document attributes	
Lead Author:	--	▼
Co-Authors:	--	▼ 
Classification:	Public	▼
System Level:	--	▼
Engineering Phase:	--	▼
Doc. Users (mail), ...:		
Approval mailing list:	          	
External Approvers:	John Smith john.smith@domain.com Jean Dupont jean.dupont@domain.com	

... or in the form of a checklist to capture who, their decision and any comments (contact



EET Polarion support for assistance if needed)



**External Approvers**

Save Completion: 1 / 3

- ☒ **Adam**  
adam@maildrop.cc  
Approved with comment x  
They said OK
- ☐ **Joe**  
joe@maildrop.cc  
Rejected comment
- ☐ **Committee XYZ**  
In progress

Add ...

- During ➡ SPPR-5395 - P9.5.2 Approve Document, comments and approval will be added in the PDF or DOCX file using built-in functions of the editor used by the external approver (e.g. Acrobat Reader Microsoft Word, ...). See user manual of these tools for commenting and signing.
- During ➡ SPPR-5455 - P9.5.3 Analyse and react to disapproval and comments, signed pdf or Word file, as provided by the external approver, shall be attached to the **Document Approval** Work Item.
- There is no adaptation required for ➡ SPPR-5474 - P9.5.4 Close and document approval

ID	SPPR-10339
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## 4 Decision process description

### P9.x Decision process

Core Group convenor of the Task/Domain in charge of the document shall request the agreement from the Steering Group (STG).

Steering Group will deliver his approval based on the **STG Decision scope** property of the document.

Steering Group (STG) decision will be materialized by minutes of meeting of the Steering Group.

The Lead Document Author/ will then:

- attach those minutes to the document and,
- Set the document state to **Released**.

ID	SPPR-10524
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## 5 Annex A - Document properties

### Define properties of System Pillar deliverable document

The following table includes a description of the document properties to be updated and maintenance for every **System Pillar deliverable document** in Polarion.

You

## Document Properties ✕

Author: **Smolarek Ralf (IT-PTR-CEN2-BDE19)**

Updated: **1 day** ago by **ANTOONS Gilles** on 2025-03-05 10:22 ([View history](#))

▼ **Fields**

\*Status: @ In Progress

Config Item: Configuration Mai

Language: EN

Version: 2.0

Is Deliverable: ☒

Ready for ...: --

Progress Assessment: As Planned

Progress Description:

Progress Percent 0-100: 80

Abstract: **The configuration management plan ensures the identification and traceability of proje  
It defines project-specific responsibilities and includes rules for the identification and st  
definition of outputs.**

Lead Author: Renard, Marie Pierre

Co-Authors: **EDDOUS Sayfeddine (SNCF RESEAU / Directions Techniques Réseau / DGII DTR GE SF Sol  
Abdul Rasheeq - Extern  
ANTOONS Gilles**  
--

Classification: Public

System Level: --

Engineering Phase: Methods

Doc. Users (mail), ...:

Review & Approval Scope: --

Reviewers: -- +

Review Mailing List:

↶ ↷ **B** *I* U ab x<sup>2</sup> x<sub>2</sub> A A Segoe UI 10

The following document properties are to be updated and maintained periodically by the Author of the

document:

Name	Optional / Mandatory	Updated by role	Description
<b><u>General properties</u></b>			
<b>Lead Author</b>	Mandatory	Author	main author. Responsible of maintaining the document properties described.
<b>Co-Author</b>	Optional	Author	contributors to the document.
<b>Abstract</b>	Mandatory	Author	executive summary of the document.
<b>Classification</b>	Optional	Author	intended audience. Values can be: - Public - EURAIL-internal
<b>Language</b>	Optional	Author	language of the document
<b>Is deliverable</b>	Mandatory	Author	this box is to be marked for documents intended for SPCG approval or included as Deliverables in the Specific Contract (SC.). See delivery process in <i>SPPROCESS/10 SEMP V 01_01/Configuration Management Plan : 722284</i>
<b>Config Item</b>	Mandatory	Author	Type of deliverable among the <i>SPPROCESS/Configuration items/Configuration Items : 722284</i> Note: This list is automatically populated by Polarion by fetching names of all Work Items of type "Config Item"
<b>System level</b>	Optional	Author	System level to which this document is related. See  SPPR-2016 - System Levels of the System Pillar
<b>Engineering Phase</b>	Optional		Phase of engineering this document is related to. Values can be: - Business Analysis - any of the 4 Arcadia phase (OA, SA, LA, PA) - Methods - Other
<b><u>Workflow properties</u></b>			
<b>Status</b>	Mandatory	Lead Author	describes the situations in terms of development of the document. See <u>2.2 - Document workflow</u>
<b>Version</b>	Mandatory	Lead Author	version of the document. See Configuration Management Plan for more information  SPPR-9688
<b>Template version</b>	Mandatory if a template exists	Lead Author	Version of the template used to prepare the document. This property is left empty if no template exists for this type of document.

Name	Optional / Mandatory	Updated by role	Description
<b>Ready for...</b>	Optional	Author	This field gives a detailed description of the status of the document. It describes the level of readiness. The value is to be chosen among a drop-down list.
<b>Reviewers</b>	Mandatory while document is <b>In Review by SP</b>	Lead Author	List of reviewers of the document (list of Polarion users)
<b>Reviewers mailing list</b>	See Reviewers	Lead Author	Automatically filled list of e-mail addresses based on the property <b>Reviewers</b> .
<b>Approvers</b>	Mandatory while document is <b>In Approval by SP</b>	Lead Author	List of approvers of the document (list of Polarion users)
<b>Approvers mailing list</b>	see Approvers	Lead Author	Automatically filled list of e-mail addresses based on the property <b>Approvers</b> .
<b>Review &amp; Approval scope</b>	Mandatory once document has been sent for review until next re-open of the document	Lead Author	This field indicates the kind of approval expected (delta, full or complete). See <a href="#">SPPR-4415 - P9.4.1 Prepare and initiate review</a>
<b>Review &amp; Approval requested for</b>	Mandatory once document has been sent for review until next re-open of the document	Lead Author	This text explains the intended usage of the document once reviewed and approved. The goal of this field is to give context to the reviewers, approvers and Steering Group (STG). The value should remain the same between start of review and end of
<b>STG Decision scope</b>	Mandatory once document has been sent for approval until next re-open of the document	Lead Author	Its value can be: <ul style="list-style-type: none"> <li>• "Not Defined"</li> <li>• <i>"Request only for ACK": request to acknowledge the current design state as a basis for further refinement</i></li> <li>• <i>"Request for publication": final specification decisions before publication</i></li> </ul>
<b><u>Follow-up properties</u></b>			
<b>Progress Assessment</b>	Mandatory	Author	description of the document in base of the Specific Contract plan.
	Optional	Author	

Name	Optional / Mandatory	Updated by role	Description
<b>Progress Description</b>			additional information regarding progress that the Author may need to include.
<b>Progress Percent (0-100)</b>	Optional	Author	percentage of readiness of the document. - 0 % being document not yet started (document structure, or less) - 80 % all content foreseen for this version of the document has been provided in the document. Review of the document may be started. - 100 % being document ready for Domain Approval.

ID	SPPR-10349
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## 6 Annex B- Frequently Asked Questions (FAQ)

**Reminder: Training links and videos are available at [Polarion Sharepoint for System Pillar](#) **  
**Polarion training links**

### 6.1 How to create a document?

#### How to create a document?

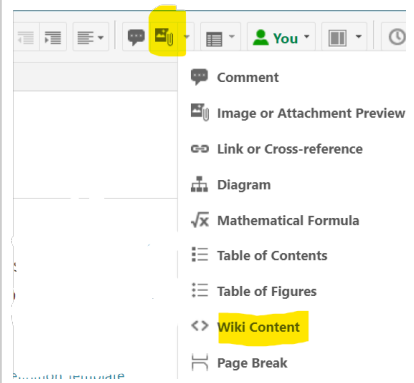
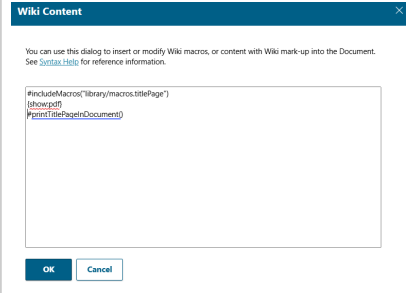
**Reminder: Training links and videos are available at [Polarion Sharepoint for System Pillar](#) **  
**Polarion training links**

Training videos are available to:


- create a blank document
- create a document from a template (RECOMMENDED)  
 Pay attention that when performing the "Re-use document" you will need to change the 'by default' values. See video for more information. More detailed information is available at <https://docs.sw.siemens.com/en-US/doc/230235217/PL20190701144002440.xid1465510/xid1500910>

In all cases, document should

- use the common preamble (see header and chapter 1 of *SPPROCESS/80 Templates/System Definition Template : 722284* )
- contain the 2 wiki-contents. One has {show:wiki} to render it in the browser. The other has {show:pdf} to render the same thing in the PDF

Step	Description	Illustration
1	Open the LiveDoc and go to the top of the document	
2	Add wiki-content	
3	In the editor that shows up, copy/paste:  <pre>#includeMacros("library/macros.titlePage") {show:wiki} #printTitlePageInDocument()</pre>	
4	Re-do same steps to add just below another wiki-content  <pre>#includeMacros("library/macros.titlePage") {show:pdf} #printTitlePageInDocument()</pre>	



Training videos are available at  Polarion training links

if the document is a System Pillar deliverable document, use the workflow named **"generic"**:

- **"generic"** shall be used for deliverable documents.
- **"generic"** may be used also for other documents.
- **"simple"** could be used for documents that does not require review and approval.

As a general rule, when editing a document, pay attention to Work Items:

- Is the Work Item hosted in the document (the Work Item has a "parent" link with the document)?
- Is the Work Item a duplicate of another Work Item (because of a copy/paste, "reuse" done on the document, ...)?
- Is the Work Item frozen to a given version?
- Is the Work Item hosted in another project (that could have another access permission)

[SPPR-10520 ]

#### Notes on document branching (advanced)

Here below some attention points related to **advanced topics**..

As in [Polarion ALM 2404](#), **branching/merging** is still under development by the provider.


The following observations have been made

1. Merge works only for Work Items. Simple text (i.e. text outside WI) is ignored.
  1. Text is well imported to branch at branching but simple text is ignored in auto or manual merge. This means that new simple text content added in branch is not copied to master. The behaviour is the same for normal or heading text.
  2. Links created on a WI are not merged. This means that any link added on WI of the branch is not copied during merge. This because the branch hosts another WI that has a 'branch to' link" even if no overwrite is done on the WI.
2. It is however not the case for text WI which are duplicated only when doing the overwrite. In this case, as it is the same WI shared by master and branch, link are in sync without any merge operation (which could not be the needed behaviour).
3. Cross ref between WI of the doc are not merged correctly. Ref is replaced by "Missing crossreference"
4. Referenced WI are well managed: merge copy the reference (e.g. WI from Capella)
5. Reference WI added on the branch (or on the master) can be pushed to master (or pulled to branch from master). Pay attention that "configuration" (i.e. fields to be displayed on the doc) of the WI type has to be performed on the target master (branch). Configuration of WI type is not automatically copied during merge.
6. "Freeze" status is not propagated during merge (branch -> master or reverse). Reference WI is copied but not its freezing info. In other words, a frozen WI on the branch will not be frozen on the master after merge (push to master).
7. At creation of the branch, Referenced WI are imported in the branch WITH its freezing info.

**If you overwrite workitems - and by this keep the same content in both documents** and workitems with different versions. This duplicates all workitems and leads to confusion if somebody is making a search later - he will see duplicate workitems. Rule: For one workitem there is only one document where it is edited. Only mirror copies, that are not overwritten, shall be shown in other documents. [SPPR-10629 ]


## 6.2 How to name document and its versions?


### How to name document and its versions?

See  SPPR-9688 - Naming conventions of Polarion documents of *SPPROCESS/10 SEMP V 01\_01/ Configuration Management Plan : 722284* for more information on version numbering [SPPR-10519 ]

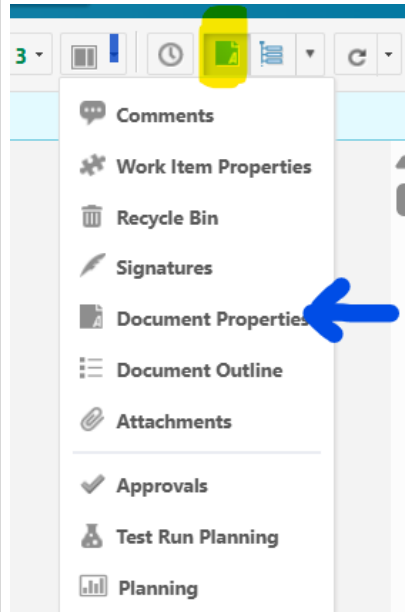
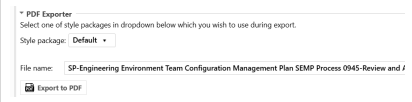
## 6.3 How to export a Polarion Document to a PDF file?

### How to export a Polarion Document to a PDF file?

**Reminder: Training links and videos are available at [Polarion Sharepoint for System Pillar](#) **  
**[Polarion training links](#)**

First, ensures that the pre-amble and the wiki-contents are used. See  SPPR-10520 - How to create a document?

To export a Polarion Livedoc to a PDF file,


Step	Description	Illustration
1	Open the document in Polarion and open its 'Document Properties' (see top right of the page)	
2	In the 'Document Properties', locate the 'PDF Exporter' section'	
3	Change the name of the file according to naming convention of published documents in <i>SPPROCESS/10 SEMP V 01_01/ Configuration Management Plan : 722284</i> . Then, click on 'Export to PDF'. The file will be downloaded to your device.	

Note: A tool is available to export all documents of a (collection of) collection(s). [SPPR-10480 ]

#### 6.4 How to export a Polarion Document to a .DOCX file?

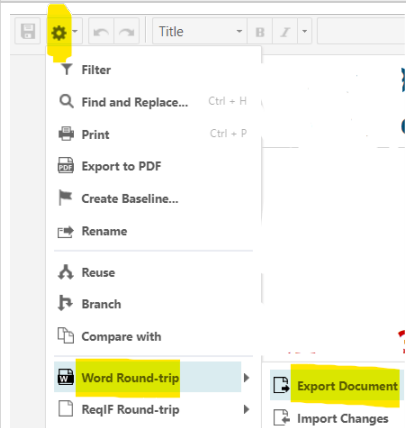
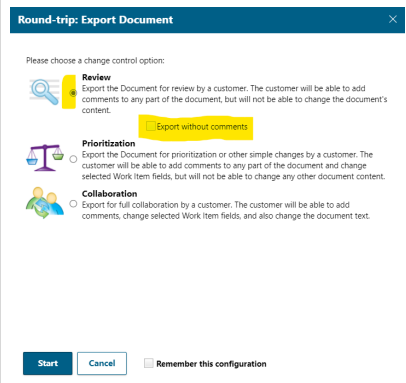
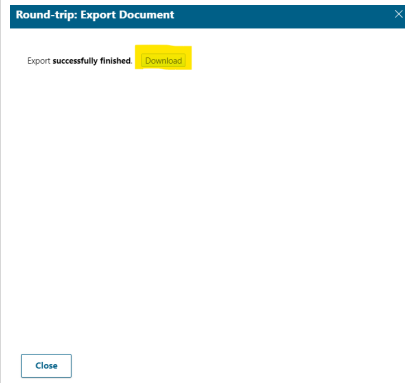
**How to export a Polarion Document to a .DOCX file?**

**Reminder: Training links and videos are available at [Polarion Sharepoint for System Pillar](#) **  
**[Polarion training links](#)**

First, ensures that the pre-amble and the wiki-contents are used. See  SPPR-10520 - How to create a document?

To export a Polarion Livedoc to a Microsoft Word (.docx) file,

Step	Description	Illustration
1	Open the document in Polarion	
2	On the top left, click on the gear button and select ' <b>Word Round-trip</b> ', then ' <b>Export Document</b> '	

Step	Description	Illustration
		
3	In the dialog window that appears, select the review option. You can decide to include or not existing comments via the checkbox	
4	In the next dialog window, click on 'Download' and then close the window	
5	The DOCX file is now on your disk	

[SPPR-10482]

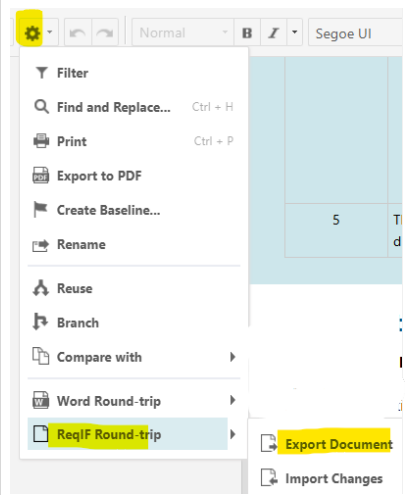
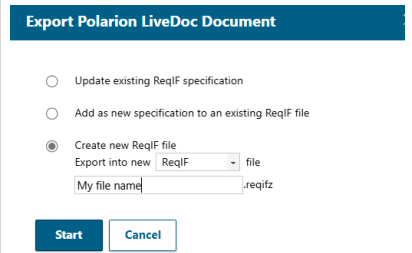
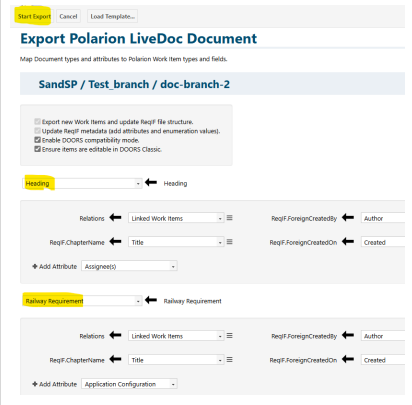

## 6.5 How to export a Polarion Document to a ReqIF file?

### How to export a Polarion Document to a ReqIF file?

ReqIF is a standardized exchange file format. Its goal is to exchange requirements (text and their attributes) between tools.

For more information, see <https://docs.sw.siemens.com/en-US/doc/230235217/PL20190701144002440.xid1465510/xid1489529>

To export requirements of a document to a .reqif file,

Step	Description	Illustration
1	Open the document in Polarion	
2	On the top left, click on the gear button and select ' <b>ReqIF Round-trip</b> ', then ' <b>Export Document</b> '	
3	Select the option applicable to you and click on start	
4	Select options for DOORs compatibility, mapping and then, once done, click on ' <b>Start Export</b> '.  Notes: - number of mapping to define will depend on the list of types of Work Items present in your document. - Pay attention that if you choose to export relations, a lot of mappings will have to be selected (due to number of C2P kind of elements) - it is possible to save and load templates	
5	Click on the hyperlinks to get result of the exported ReqIF (and log of the export operation).	

[SPPR-10668 ]

## 6.6 How to compare two versions of a document?

### How to compare two versions of a document?

To compare revisions of the document, follow the steps explained at <https://docs.sw.siemens.com/en-US/doc/230235217/PL20200109160045845.xid1465510/xid1500897>

Note: You may also be interested in the training video 'Tracking changes\_Time

Machine\_History\_Baselines\_Freezing' at [Polarion training links](#) [SPPR-10489 ]

## 6.7 How to create a baseline of a Polarion Document?

**To create a baseline of a Polarion document, see the dedicated chapter at <https://docs.sw.siemens.com/en-US/doc/230235217/PL20200109160045845.xid1465510/xid1755015> [SPPR-10494 ]**

To create a baseline of a Polarion document, see the dedicated chapter at <https://docs.sw.siemens.com/en-US/doc/230235217/PL20200109160045845.xid1465510/xid1755015> [SPPR-10494 ]

## 6.8 How to's related to metadata

### 6.8.1 How should I manage definitions, glossaries, ...

See *SPPROCESS/30 SP Metadata Management/Glossary Usage Guidelines : 722284*

### 6.8.2 How should the reference to external documents be made

1. How should the reference to external documents be made (e.g. RFCs, IEC standards, other publications and books)?
2. Which Format of the reference itself should be used (eg. IEEE)?
3. Where to store the references (central listing of references)?
4. How to use references in info texts or system requirements?

See *SPPROCESS/30 SP Metadata Management/References Usage Guidelines : 722284* for more details.

### 6.8.3 How should internal (Livedoc in SP Polarion) documents be referenced?

See *SPPROCESS/30 SP Metadata Management/References Usage Guidelines : 722284* for more details.

## 6.9 How are the documents exported?

A publication platform is being developed. See *SPPROCESS/10 SEMP V 01\_01/Configuration Management Plan : 722284* for more information.

## 6.10 What is the format of dates to be used in document, properties, ...?

**The date format to be used is YYYY-MM-DD**

The date format to be used is YYYY-MM-DD

Example: 2023-10-18

Source: ISO 8601 (International Standard)

[SPPR-10593 ]

## 7 Overview of main changes between versions

### Main changes between V1.0 and V2.0

Main changes between **V1.0** and **V2.0** of : *SPPROCESS/SEMP Annex D Processes/SEMP Process 0945-Review and Approval Process : 722284* are:

Chapter	Main changes	Status
All	Align roles with <i>SPPROCESS/10 SEMP V 01_01/Configuration Management Plan : 722284</i> and <i>SPPROCESS/10 SEMP V 01_01/Quality Management Plan : 722284</i> and correct some internal consistency issues	
§6 and §7	Removal of the two training sub-processes as the added value is low, it does not exist for other processes and makes document a bit heavier to read	
All	Light rework of sentences to try to ease reading (shorter sentences, bullet points, ...) Add links to other useful content where relevant (RMP, CMP, templates, ...) Replace name of roles by link to the related role Work Item	
§3, §4, §5	Add chapters related to document properties	
§8	Add a FAQ related to document management questions and how to's	

[SPPR-10432 ]

## 8 Open points: Issues and tasks for this document


### 8.1 Open or in progress

#### Proposed actions coming from review of Document Management Plan (Marc SANGO)

We propose to CORE Group:

1. To promote mandatory usage of this plan to Task/Domain Leads. This could be a point addressed in a coordination meeting.  
Both process and tools are mandatory for all Task/Domains
2. To facilitate the identification of mandatory reviewers, the Core Group should provide in the remit the list of reviewers or their skills regarding the scope the deliverables requested.
3. To facilitate the identification of these additional approvers, the Core Group should provide this in the remit.

Status	 Open
Assignee(s)	Steffen Schmidt, SCHWAN Nico
ID	SPPR-10758

**[MARTIN] a short 1 page compressed guideline (like a Ref Card) for review and approval process**  
a short very compressed guideline to the content of  Configuration Management Plan - Annex C Document Management Plan, Review and Approval Process would help a lot.

The goal of this task is to draft a 1 (max 2) pages overview of key info of the Review and Approval process targeting document authors.

See [https://en.wikipedia.org/wiki/Reference\\_card](https://en.wikipedia.org/wiki/Reference_card)

Status	 In Progress
Assignee(s)	Václavík Martin, Ing.
ID	SPPR-10762

#### Change rule related to minimum approvers feedback at end of approval process

In French, copy of mail from Marc SANGO 2025-09-26:

"Re-bonjour Gilles,

Suite à notre échange, je viens de voir que la règles de clôture des approbations a changé entre la V3 et V4.

Je pense que la règle de la V4 est très restrictive et si on la garde comme tel, on risque d'avoir certains documents jamais approuvé dans SP vu le nombre. Je pense que la règle de la V4 est adaptée. Qu'en penses-tu ? Marie-Pierre et Sayfeddine et vous ?

SEMP V3



Current revision Showing revision #364565 SEMP V3

### P9.5.7 Close and document approval

After approval of the Work Items and the comments resolutions by all Approving Users the Author evaluates the exit criteria of the approval:

1. All disapprovals comments have been satisfactorily resolved;
2. All comments that relate to other work Items have been raised as Change Requests;
3. The scope of the approval has been achieved;

If the evaluation is successful (at least one person approved and there is no disapproval), the approval is closed and the Work Item is set to done. Inform the Quality Manager and the Team Lead about the approval result.

## SEMP V4

### How to close the approval process?

Step	Description
1	Open the document
2	Check that: <ol style="list-style-type: none"> <li>1. No disapproval are still open</li> <li>2. agreement received from all approvers</li> <li>3. The scope of the approval has been achieved;</li> <li>4. All comments 'resolved' on the <b>Document Approval</b> Work Item by the corresponding approver or actions have been logged (see <a href="#">SPPR-5455 - P9.5.3 Analyse and react to disapproval and comments</a>)</li> </ol>

Proposal from Gilles ANTOONS

OK to change the rule. From experience so far, it is a good idea.

Proposal is, in order to close the approval to have:

- at least one approver from Railway AND one from Supplier


ABT

- delay has ended and at least one reminder has been sent to approvers

Status	 Open
Assignee(s)	ANTOONS Gilles
ID	SPPR-11806

[archive] Rationale and analysis related to use of branches - See [SPPR-10301 - Support TrafficCS in solving collaborative issue \(branching, separate docs, manual operations, ...\)](#)

## 8.2 [Work in progress] Ref Card for review and approval process

This 1-A4-page ref card is prepared in the scope of the task  SPPR-10762 - [MARTIN] a short 1 page compressed guideline (like a Ref Card) for review and approval process . Once mature, this content will be moved to one of the 1st chapters of this Livedoc.

### Purpose

This Plan defines the standardized workflow for managing System Pillar deliverable documents through review, approval, and release stages within Polarion ALM. It ensures document quality, compliance, and stakeholder alignment across all System Pillar tasks and domains. [SPPR-11484 ]

### 8.2.1 Document Lifecycle Workflow

#### States of deliverables


Deliverables go through different states shown in  SPPR-4417 - Diagram of the Review and Approval process Typically, a document goes through:

1. **Open:** Document created, initial drafting starts.
2. **In Progress:** Authors edit content and Work Items; informal domain reviews may occur.
3. **In Review by SP:** Formal review phase by designated reviewers; document baseline created.
4. **In Approval by SP:** Formal approval phase by assigned approvers; work is frozen.
5. **In Decision by Steering Group:** Steering Group finalizes approval decision, documented by official minutes.
6. **Released:** Document is frozen, read-only, and ready for publication and use.

[SPPR-11485 ]

### 8.2.2 3. In Review by System Pillar (Review Process)


#### Review Preparation:




(for more info see  SPPR-2497 - P9.4 Process Tasks related to the review)

- Author ensures document completeness, spelling/grammar accuracy (British English), cross-references, and template compliance.
- Clear definition of review scope (full or delta).
- Select mandatory reviewers covering all impacted domains plus optional experts. Submit reviewers list in document properties.
- Notify reviewers using standard email templates with document baseline, deadlines (min 7 working days), and review focus.

[SPPR-11487 ]

#### Commenting:

(for more info see  SPPR-10421 - How to raise comments?)

- Reviewers annotate a document near relevant content.
- Classify comments as (for more info see  SPPR-4427 - P9.4.2 Identify review comments ):
  - [Major] (significant, requiring consensus) or
  - [Minor] (cosmetic/informational).
- Comments must be concise, solution-oriented, and strictly within review scope.
- Avoid comment-on-comment or off-topic organizational critiques.
- Response and Resolution (for more info see  SPPR-4428 - P9.4.3 Analyse and react to review comments ):
- Author analyses comments, accepts or rejects with reasons, and proposes resolutions.
- Optional open comments meeting for major unresolved issues with a minimum 60% reviewer quorum.
- Implement agreed rework, circulate updated document for reviewers' confirmation (10+ working days) (for more info see  SPPR-4424 - P9.4.4 Implement rework proposal ).

- Reviewers close resolved major comments; unresolved cases escalate or create Polarion issues.

[SPPR-11486 ]

**Closure:**

(for more info see [↔ SPPR-4421 - P9.4.6 Close review](#) ):

- Author verifies all comments addressed, scope covered, and creates review report.
- Change status to In Approval by SP and create a baseline.

[SPPR-11489 ]

### 8.2.3 4. In Approval by System Pillar (Approval Process)

**Preparation for Approval by System Pillar:**

(for more info see [↔ SPPR-5394 - P9.5.1 Prepare and initiate approval](#))

- Confirm review closure and readiness.
- Define approval scope: delta (changes), full (content), or complete (including derivations).
- Assign mandatory approvers: authors, Core Group convenors, impacted domain leads; optionally experts or sector bodies.
- Notify approvers (min 10 working days) with document link, baseline, and approval objectives.

[SPPR-11488 ]

**Approvers independently provide approval:**

(for more info see [↔ SPPR-5395 - P9.5.2 Approve Document](#) )

- Approve without comments
- Approve with minor comments ([Minor])
- Disapprove with major comments ([Major]) requiring justification
- Log decisions and comments into approval

[SPPR-11491 ]

## 5. Decision Process Description

### Decision Process by Steering Group

(for more info see [↔ SPPR-10524 - P9.x Decision process](#) )

- Core Group convenor of respective Task/Domain requests the agreement from the Steering Group (STG).
- Steering Group will deliver its approval.
- Steering Group (STG) decision will be materialized by minutes of the meeting
- The Lead Document Author will then:
  - attach those minutes to the document and
  - set the document state to Released.

[SPPR-11490 ]

## 8.3 Done