



Network Technology Development

Title: **NTD Document and Data Control and Quality Record Procedure Description**

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1. Purpose of this Document

This document describes the implementation of the *AT&T Documentation and Data Management Policy & Procedure* (Master List ID Number (MLID#) 1711) by Network Technology Development (NTD), one of the Quality Management System (QMS) processes in AT&T. The procedures defined here comply with all AT&T document control requirements, and provide instructions to NTD process associates in creating, storing, accessing, modifying and disposing of controlled documents, data and Quality Records.

1.1 Version Compliance

Controlled documents must abide by the NTD document control procedures in place at the time they are issued. Noncompliant documents must be covered by approved exceptions. NTD Document Control Exception Letters, accessible from the NTD Document Control QIT Home Page, address general exceptions, such as those that occur when the procedures change or the Master List Data Base (MLDB) undergoes system enhancements. Approvals for exceptions that apply on a per-document basis must be stored with the other Quality Records for the document. Documents covered by approved exceptions do not have to be reissued simply to incorporate missing elements; however, upon reissue of any such documents, all required elements must be included.

Controlled Documents, Controlled Data and Quality Records generated prior to an organization's adoption of NTD document control procedures may not fully comply with all requirements specified herein. However, they are still accepted into the library and will be noted as "grandfathered" on the NTD Library Acceptance Checklist and on the MLDB. The dates of adoption by various organizations are summarized here:

- 08/26/1994 – NTD Classic
- 01/02/1996 – Solution Integration Process (SIP)
- 10/28/1996 – International NTD (INTD)

Other significant dates include:

- 01/01/1997 – Initial issues and reissues of all internal, non-restricted SIP documents must be electronically controlled, and stand-alone Modification Requests (MRs) are not allowed for electronic documents.
- 04/15/1998 – Initial issues and reissues of all internal, non-restricted NTD Classic documents must be electronically controlled and the NTD Online Documentation System (ODS) must be used for stand-alone MRs associated with electronic documents.
- 04/15/1999 – Stand-alone MRs are no longer allowed for any documents (paper or electronic).
- 11/13/2000 – Restricted documents are no longer allowed to be controlled on paper; external paper documents must now be kept in an NTD library rather than at the EDA's location.
- 04/13/2002 – Discontinue use of NTD ODS and Distribution Lists. Require that all Quality Records associated with controlled documents be submitted/stored electronically.
- 05/10/2002 – Introduced separate SIP Review/Approval procedure.

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2. Definitions and Acronyms

Within this document, each acronym is spelled out at its first occurrence, with the acronym in parenthesis. A complete glossary can be found in *NTD Acronyms and Definitions* (MLID# 10762). The following terms have special meanings within this procedure:

Term	Definition
Controlled	Refers to the status that a document has on the MLDB when it has been reviewed/approved and has reached its effective date.
Current version of a controlled document	The most recent issue with "controlled" status on the MLDB.
Discontinued Document	An obsolete document that has been removed from control and will no longer be reissued or used to do work.
Document Contact	An individual or group who can provide additional information about the content of a document; this is someone different from the document owner (e.g., co-author, support manager or previous owner).
Document Owner	The individual or group responsible for keeping a controlled document current. The document owner is the author unless otherwise specified by the MLDB. In cases where a document has multiple authors or the owner is someone other than an author, the MLDB shall identify the document owner.
Document User	Any process associate who uses controlled documents.
Draft Document	Refers to an unapproved version of an initial issue or reissue of a document. Draft documents may be accessed via the MLDB for review/approval purposes or to start work while the document is being finalized.
Electronically Controlled Document	A document that is stored and accessed electronically using the AT&T Intranet or other electronic means. This document can be distributed in either paper or electronic form.
External Document	Any document created outside of AT&T or by an AT&T organization that does not subscribe to the AT&T documentation policy (also known as "Externally Generated Document"). Examples of these documents are vendor documents and regulatory standards.
Internal Document	Any document created by an AT&T organization that subscribes to the AT&T documentation policy.
Master List Data Base (MLDB)	An electronic inventory identifying the current version of controlled documents to enable the use of applicable documents and to preclude the use of non-applicable documents. Also known as the Master List. The MLDB can be accessed via the Online Documentation Management System (ODMS) at http://www.qms.att.com/odms/ .
Obsolete	Refers to the status that a document has on the MLDB when it has been discontinued or replaced.
Obsolete Document	Any previously controlled document that has been removed from control and is no longer being used to do work. This could be a discontinued document, a replaced document or a previous version of a reissued document.
Paper Controlled Document	A controlled document that is only available in paper form (i.e., no electronic version is available); the master paper copy is kept in the library.
Pending	Refers to the status that a document has on the MLDB when it has been reviewed/approved and is ready to be controlled, but has not yet reached its effective date.
Replacement Document	Refers to a "controlled" or "pending" document that replaces a discontinued document. An example is an internally-generated document that replaces a Lucent-owned document. The MLDB entry for the discontinued document points to the replacement document.

Term	Definition
Reserved	Refers to the status that a document has on the MLDB when an ODMS entry has been created to reserve an MLID# for the document owner, but the document has not yet been placed under control.

2.1 Categories of Outputs

Examples for categories of NTD outputs are given here; procedures for handling them are described in later sections.

Category	Definition	Examples
Controlled Document	<p>A document used, issued or modified by AT&T process associates that affects the quality of network products and services; the controlled document must meet certain criteria as described in the <i>AT&T Documentation and Data Management Policy & Procedure</i> (MLID# 1711) and it must be placed under control on the ODMS MLDB.</p> <p>NOTE: A printed or downloaded version of a document that includes annotations is no longer considered controlled.</p>	<p>Internal:</p> <ul style="list-style-type: none"> • Process/procedure description • Requirements Document • Technology Quality Plan • Feature Requirements Specification (FRS) • Test Plan • Project Plan <p>External:</p> <ul style="list-style-type: none"> • Regulatory standard • Supplier documentation • External Interface Specification
Controlled Data	Data whose modification would have a direct impact on the quality of AT&T products and services.	<ul style="list-style-type: none"> • Data stored in data bases: <ul style="list-style-type: none"> • Planning, Commitment And Delivery Tracker (PCADT) • Online Documentation Management System (ODMS) • Corrective and Preventive Action System (CPAS) • Software • Testing tool
Quality Record	Record of the operation of a Quality System. Must be filed/indexed in a manner such that it can be easily retrieved, and it must be legible, dated, titled and have an established retention time.	<ul style="list-style-type: none"> • Review/Approval Record • Technology Commitment Letter • Acceptance Letter • Release Notes • Test Results Summary

2.2 Types of Documents

As discussed in the *NTD Quality System Description* (MLID# 491), NTD documentation is partitioned into four groups, which are defined in the table below. These documents are primarily differentiated by the scope of their usage. Documentation ranges from the Type I document, which is applicable to all of NTD, to Type IV documents, which are applicable on a project/process basis.

Type	Descriptions	Examples/Notes
I	Documents that assign responsibilities, state policies (<i>why</i> we do things) and provide a general description (<i>what</i> we do) of our quality management system. They are often known as Quality System Descriptions (QSDs) or policies.	<ul style="list-style-type: none"> • <i>NTD Quality System Description</i> (MLID# 491) • <i>S&ND Software Development Policies</i> (MLID# 17178) NOTE: These are the only NTD Type I documents.
II	Documents that discuss NTD processes, methodologies and/or mechanisms across NTD. These documents typically describe <i>who</i> , <i>what</i> , <i>where</i> , <i>when</i> and <i>how</i> some task or series of tasks are performed.	<ul style="list-style-type: none"> • NTD/SIP process descriptions • NTD/SIP procedure descriptions NOTE: The set of NTD Type I and II documents is commonly referred to as the <i>NTD Quality System</i> .
III	If needed, these documents augment Type II processes/procedures and provide details of <i>how</i> something is done within a local environment. These documents are more limited in scope and typically apply to a specific work location, district/organization or technology. Each Type III document must: <ul style="list-style-type: none"> • be fully compliant with the applicable QSD or policy • be consistent with, and explicitly refer to, the NTD/SIP document that it is augmenting (to be ensured by the applicable Process Leader(s) and/or C-Band Manager) • clearly describe the scope of the Local Procedure • be treated as a controlled document (i.e., submitted to the library and catalogued on the ODMS MLDB) 	<ul style="list-style-type: none"> • Local Procedures (e.g., specific technology procedures for acceptance testing) NOTE: Each Type II process/procedure description that is augmented by a Type III document must reference the applicable Local Procedure.
IV	Documents that provide <i>evidence of what has been done</i> . These are the outputs from processes and procedures.	<ul style="list-style-type: none"> • Controlled documents • Controlled data • Quality Records

3. Functional Roles and Responsibilities

The NTD Document Control Quality Improvement Team (QIT) manages this procedure. The responsibilities of the QIT are stated in the following documents:

- *NTD Quality System Description* (MLID# 491)
- *NTD Process Monitoring and Improvement Corrective and Preventive Action Procedure Description* (MLID# 5279)

The QIT monitors the implementation of the procedure and reviews the results with the NTD Quality Council (QC) as needed. Issues that cannot be resolved at the QIT level are escalated as described in the *AT&T Corrective and Preventive Action Policy and Procedure* (MLID# 1667).

The following roles have unique responsibilities in document control procedures:

- Lead Document Control Coordinator (DCC) – defined by AT&T
- NTD Librarian (also known as DCC or Coordinator)

Any process associate may act in one or more of the following capacities throughout this procedure. Specific responsibilities can be found in later sections of this document.

- Document owner
- Document user
- Document contact
- External Document Administrator (EDA)

All process associates are responsible for complying with the AT&T policies and NTD procedures that apply.

3.1 Document Owner

A document owner (individual or group) has responsibility for keeping an NTD-generated document current. The document owner is the author unless otherwise specified on the MLDB. The owner may also be the point of contact for questions about the content of a document.

3.2 Document User

A document user is anyone who uses a controlled document to guide work activity.

3.3 Document Contact

A document contact is an individual or group who can provide additional information about the content of a document. This is someone different from the document owner (e.g., co-author, support manager or previous owner).

3.4 External Document Administrator (EDA)

The EDA administers control for an externally generated document. Responsibilities are stated in Section 7.

3.5 Lead Document Control Coordinator (DCC)

A Lead DCC represents NTD on the AT&T Documentation Process Management Team (PMT) and works with owners or other AT&T processes to ensure that documents used to do work are controlled. Responsibilities include:

- process monitoring to ensure adherence to AT&T policies and NTD procedures
- establishing and maintaining NTD procedures for document control
- coordinating and training Librarians
- functioning as a Subject Matter Expert in the area of Document Control for NTD
- resolving issues related to document control

4. Procedures for Quality Records

NTD process associates must:

- Generate required Quality Records (as specified by the process/procedure within NTD that defines the Quality Record) and ensure that they are correct/accurate.
- Ensure that each Quality Record is legible, is labeled as to its type and identifies the associated solution, project, system, release and/or feature (if applicable).
- Store Quality Records as specified in the associated process/procedure document (the originator may also keep copies of Quality Records if desired, but there can only be one “official” location which is referenced in other documentation).
- Know the storage location for all Quality Records that they need (locations of Quality Records are specified in the processes or procedures that define them).
- Change Quality Records by submitting a new Quality Record or updating the current one.
- Update paper Quality Records by drawing a line through the incorrect information, adding the correct information and initialing/dating the change (correction ink and tape shall not be used).

The NTD library system provides a means for Quality Records to be accessible (identifiable, collected and stored) and well maintained (readable, secure from damage or loss). In addition to Quality Records specifically related to document control, NTD libraries can also be used to store various other Quality Records generated by NTD sub-processes.

NOTE: All Quality Records associated with controlled documents must be submitted and stored electronically.

The following table provides information about document control Quality Records:

Quality Record	Description	Stored By	Stored In	Retention Policy
NTD Library Acceptance Checklist	Contains document information to be provided by the document owner to the Librarian for entry on the MLDB.	Owner	Library	Until document is discontinued
Review/Approval Record	Evidence that a document has been reviewed/approved as required by the process or procedure that generates it.	Owner	Library	Until document is discontinued
NTD MR Record	Evidence that an MR to a document has been resolved and reviewed/approved.	Owner	Library	Until document is discontinued

For guidance in completing these Quality Records, refer to the *NTD Job Aid for Completing Document Control Quality Records* (MLID# 10668). The job aid also lists templates available for use. Templates fall into three categories:

- **Required** templates must be used as is.
- For templates designated as **optional format/required content**, other formats may be used as long as the same content is included.
- **Optional** templates merely provide suggested format/content and can be used or modified as desired.

5. Procedures for Control and Use of NTD Documents

The goal of NTD document control is to ensure that NTD process associates are using approved up-to-date documentation in performing work activities related to NTD's outputs. The following sections provide a description of procedures to be followed by document owners, document users and Librarians to ensure that this goal is achieved.

- For additional help or clarification of any of these procedures, an NTD process associate can contact any Librarian or Lead DCC.
- The responsible Librarian for a given document is determined by requesting the "Coordinator" attribute when querying the MLDB.
- Helpful information for document owners/users can be found at the **Document Control Information for Users and Owners** web page:

<http://www.qms.att.com/odms/NTD/DOC-CNTL/user-owner-info.html>

5.1 Procedures for NTD Document Owners

The following sections provide the specific steps to be followed by the document owner.

NOTE: Not all of these steps apply to external documents; see Section 7 for the appropriate procedures.

5.1.1 Obtaining an MLID# for a new document

The owner must request an MLID# for a new document from the Librarian prior to its review/approval.

- Provide the proposed title, type of document and owner/contact information to the Librarian, who will return the MLID#. Note that the contact must be different from the owner (e.g., co-author or support manager) for future reference in case the owner is not available.
- Optional: Provide related Feature Request Numbers (FRF#s) if they are to be available for query purposes prior to the document being controlled.

At this point, the document will be in the "reserved" state on the MLDB.

5.1.2 Making a draft version available to users

A draft document can be submitted any time after an MLID# is reserved. This could be prior to the initial version being controlled, or between controlled versions (e.g., a draft of Version 3.0 can be submitted after Version 2.0 is controlled or pending).

- Send the Librarian an email with electronic access to the draft document (attached file or URL to a temporary holding area). No Quality Records are required.
- The draft document must contain the MLID#, issue/version number of the next version to be controlled (incremented from the previous number if document is being reissued) and draft date (separate from any issue or effective date on the document); the document must be marked "DRAFT".
- The Librarian will store the draft document on the ODMS Server and update the MLDB to provide a link to it (see Draft Location and Draft Date fields, with a [View Draft](#) link to access the document).
- You should refer users to the MLDB for access to the draft document, rather than to other server locations, web pages or email attachments. This ensures that everyone has access to the same draft version at any point in time.
- A new draft can be submitted at any time to replace the current draft (the Librarian will overlay the document file and update the Draft Date on the MLDB).
- Once the next (or initial) version is placed under control, or when the document is discontinued, the Librarian will delete the draft document file and blank out the Draft Location and Draft Date fields.
- NOTE: Only one draft version can be available at any given time.

5.1.3 Creating the document

For the minimum criteria of an NTD controlled document, see the *NTD Job Aid for Creating Controlled Documents* (MLID# 10669) and the *NTD Job Aid for Multiple-Segment Documents* (MLID# 10653). The owner must ensure that all reference materials mentioned in the body of the document are available to users of the document.

NOTE: The document must be reviewed/approved before it can be issued (see Section 9). Hence, the issue date for a given version cannot be earlier than the approval date for that version.

5.1.4 Placing the document under control

All internal NTD controlled documents must be controlled electronically. Any request to control such a document on paper must be submitted as an exception and approved by the applicable Lead DCC. The evidence of the exception approval must be stored electronically with the other Quality Records for the document.

NOTE: The document owner shall not distribute the document for use in guiding work activities (this includes access via web pages) without following the procedures for placing the document under control.

5.1.4.1 Requirements for initially placing a document under control

The document owner must email the following files to the Librarian:

- 1) Evidence of document review/approval (must be in a single electronic file):

The template *NTD Review/Approval Record* (MLID# 10742) provides required content, but other formats are acceptable.

- 2) NTD Library Acceptance Checklist (LAC) (must be electronic):

Use the required template *NTD Library Acceptance Checklist* (MLID# 6800).

- 3) Document source (in a single electronic file with the exception of a multiple-segment document).

The files can be attachments to the email, or the email can list URLs that link to the files (in the latter case, the link must be directly to the document or Quality Record, not to a higher-level directory or web page that contains other files or links). Once the Librarian has moved the files to the ODMS Server and updated the MLDB entry, the owner is responsible for deleting the files from any server that is accessible by others (to prevent inadvertent access to an unofficial version of the files).

NOTE: The Librarian(s) must be the only one(s) with update permission for the document directories on the ODMS Server.

5.1.4.2 Informing users about a document

It is recommended that the owner notify users about the initial issue of a document. In addition, either of the following may be done:

- Encourage users to subscribe to the document while it is still “reserved” so they will receive email notification about the initial issue and subsequent updates.
- Establish individual subscriptions in ODMS for potential users of the document.
- Request that the Librarian establish subscriptions by 9-digit organization code if the document is applicable at an organizational level.

5.1.4.3 Procedures for controlling restricted documents

For electronically controlled restricted documents, password-protect the document source file to allow access only by authorized personnel and the Librarian. Provide the password to the Librarian (on the LAC) when submitting the document to the library.

5.1.5 Maintaining the document

Changes to controlled documents are the responsibility of the document owner.

- **ANY** changes to a controlled document require a reissue of the document.

- After an MR is approved, the document must be reissued to incorporate the MR within three months.
- When a document is reissued, it must incorporate *all* approved MRs.
- When a paper document is reissued, it must be converted to electronic format.

5.1.5.1 Reissuing a controlled document

See the *NTD Job Aid for Creating Controlled Documents* (MLID# 10669) for required document control elements. All changes or MR(s) must be reviewed and approved. See Section 10 for more information on review/approval of MR(s) or modified documents.

As with the initial issue, the document owner must provide the following to the Librarian:

1) Evidence of review/approval:

Provide evidence of review/approval of the modified document or (optionally, for NTD Classic) of the MR(s) that initiated the change – one of the following templates may be used (either one provides required content, but other formats are acceptable – the review/approval record must be in a single electronic file):

- *NTD Review/Approval Record* (MLID# 10742)
- *NTD MR Record* (MLID# 13851) [if there are multiple such records, concatenate them into a single file] – only allowed for NTD Classic

2) NTD Library Acceptance Checklist (LAC) (must be electronic):

- Use the required template *NTD Library Acceptance Checklist* (MLID# 6800)

3) Document source (see Section 5.1.4.1)

For NTD Classic, submit the reissue to the same Librarian who is currently listed as the Coordinator on the MLDB entry. For SIP, submit the reissue to the appropriate division Librarian.

5.1.5.2 Discontinuing a controlled document

- Notify the Librarian when control of a document is to be discontinued.
- If appropriate, provide the Librarian with the MLID# of a replacement document (status must be “controlled” or “pending”).

5.1.5.3 Transferring ownership of a controlled document

- Notify the Librarian when ownership of a document is to be transferred to another process associate (e.g., when the owner changes job responsibilities or leaves the organization).
- Provide the new owner’s information to the Librarian in writing (email is sufficient).
- The document does not have to be reissued for change in ownership (the MLDB record will indicate new owner).
- The Lead DCC can transfer ownership to the support manager if a new owner is not identified.

5.1.5.4 Moving a controlled document to a different Library

- Notify the Librarians of the sending and receiving libraries.
- Coordinate the move with the Lead DCC(s) if a document is being moved from an NTD Classic library to a SIP library (or vice versa).

5.2 Procedures for NTD Document Users

The following sections provide the specific steps to be followed by the document user.

5.2.1 Determining the current version of a controlled document

The current version of a document is defined as the most recent issue with status of “controlled” on the MLDB. Stamps or stickers cannot be used in lieu of the MLID# on the first page to identify controlled copies of documents. The user must check the MLDB to verify the current version when a controlled document is used to perform work:

- Query the MLDB.
- Verify that the status is “controlled” and that the MLID#, title, issue date and issue/version number match those on the document being used.
- Do not use bookmarks or links to the document from web pages (other than the MLDB) to determine the current version.

5.2.2 Ensuring that documents used for work are controlled

If a document needed to do work is *not* under control, the user must take action to get it placed under control:

- Contact the owner of the document and request that it be placed under control.
- Contact the Lead DCC or local management if the owner will not comply with document control procedures.

NOTE: It may be decided to control the document as an external document if the owner does not comply. See the procedures in Section 7.

5.2.3 Separating obsolete documents from documents used to perform work

The document user must separate obsolete documents from controlled documents that are used to guide work activity.

- Mark obsolete documents to prevent inadvertent use (e.g., “Obsolete – For Reference Only”) if they are retained for knowledge and/or legal preservation purposes.
- Dispose of obsolete documents (if not kept) per the *AT&T Security Policy and Requirements* (MLID# 11323).

5.2.4 Subscribing to documents via ODMS

NOTE: Being on the ODMS Subscription List does not remove responsibility for checking the MLDB to verify that the current version of a controlled document is being used to do work.

Use the ODMS subscription feature to *subscribe* to documents (paper or electronic) needed to do work.

- Subscribers receive an email from the system whenever certain document attributes are changed (e.g., title, issue date, issue/version number, electronic location or status).
- Subscribers who are identified while the document is in “pending” or “reserved” status will be automatically notified when the document becomes “controlled”.
- See the ODMS on-line help for more information.

5.2.5 Accessing controlled documents

5.2.5.1 Accessing draft versions of documents

If the owner has submitted a draft version of the next (or initial) issue of a document to the library, it can be accessed via the Draft Location field on the MLDB. The latest Draft Date will also be displayed. A [View Draft](#) link will be available for direct access to the draft document if the Draft Location is displayed.

5.2.5.2 Searching for documents on the MLDB

The MLDB can be queried for a specific MLID# or by any combination of fully/partially-specified attributes, date ranges and/or owner/coordinator names. See the ODMS online help for assistance.

For example, to find all documents associated with a particular NTD feature, query by [FRF Numbers](#). A listing of all matching documents will be returned.

5.2.5.3 Accessing an electronically controlled document

For an electronically controlled document, query the MLDB to obtain the document's electronic location.

- View and/or download the document directly from the MLDB by clicking on the hyper-linked title.
- Request a paper/email copy from the responsible Librarian if the electronic version cannot be accessed.
- The MLDB entry is normally linked to the Portable Document Format (PDF) rendition of a controlled document. For most NTD documents, access the source file (e.g., MS WORD) by simply removing the ".pdf" extension from the URL. For some types of documents (including templates and PowerPoint presentations), the MLDB entry is linked to the source file, but a PDF rendition can be accessed by simply appending ".pdf" to the URL.

WHY PDF? There are several reasons for linking to the PDF rendition of a document:

- PDF is universally readable, regardless of platform or operating system.
- PDF provides a read-only file that can't be inadvertently modified by the user.
- The PDF file is much smaller than the source file, resulting in faster download.
- Pagination on a PDF document is constant regardless of the printer being used.

- If the document is in a folder whose name matches the MLID# of the document, the associated Quality Records (e.g., LAC and review/approval record) can be accessed by removing the file name portion of the URL and viewing the directory contents.

NOTE: Electronic documents can be printed/downloaded and used for work as long as the document has been verified to be current.

5.2.5.4 Web links to electronically controlled documents

Link to the MLDB entry for the document rather than directly to the document itself (e.g., from bookmarks, web pages or other documents). This prevents the user from being impacted if the document is moved to a new electronic location (since the MLDB will always point to the correct location).

- If the link is not to the MLDB entry, then it must be to the exact URL found in the Electronic Location on the MLDB.
- The following URL string may be used for linking to the MLDB "short report" for a document (replace "nnnnn" by the MLID# of the document):

http://www.qms.att.com/odmsbin/pa?Application=DocMgmt&Key2Data=KS_SearchByMasterID&MasterId=nnnnn

- The following URL string may be used for linking to the MLDB "long report" for a document (replace "nnnnn" by the MLID# of the document):

http://www.qms.att.com/odmsbin/pa?Application=DocMgmt&Key2Data=KS_SearchByMasterIDLong&MasterId=nnnnn

- A web page may contain multiple links for a controlled document (e.g., for renditions in PDF and/or HTML, as well as the source file), as long as the officially controlled version is clearly designated. For example:

XYZ Feature Requirements Specification (MLID# nnnnn) [[in PDF](#) - controlled] [[in WORD](#) - for reference only]

- A web page can point to multiple versions of a document (previous, current, pending and/or draft versions) as long as the officially controlled version is clearly designated and the others are identified as not controlled.

5.2.5.5 Accessing a paper-controlled document

Request a printed copy from the responsible Librarian.

5.3 Procedures for NTD Librarians

NTD Librarians perform activities that are detailed in the *NTD Librarian Procedure Description* (MLID# 7238).

6. Procedures for Controlled Data

Computer systems must be managed in a way that data protection, data preservation and accessibility are maintained. Data that has a direct impact on the quality of AT&T's products or services must be controlled. The following data base administration requirements help to ensure this:

- Systems storing controlled data must be login/password protected for the individuals who have update capability.
- Systems storing controlled data must be regularly backed up to ensure adequate preservation. The back-up frequency is determined by the owner of the data, and should be often enough so that data loss would not seriously impact AT&T processes.

The minimum requirement for control of data (including software) is that the user must be able to verify the correct version of the data (e.g., date/time stamp or version number).

Additional requirements for control of data may be specified in local procedures that augment this procedure.

6.1 Document Control Server Requirements

The following requirements help to ensure the architectural soundness and compatibility of any system used for storing controlled documents. If a given system does not currently meet these requirements, a committed plan for meeting them must be in an implementation phase.

- The system is compliant with the *AT&T Foundation Architecture* (MLID# 6184).
- A Security Assessment has been performed on the system and an Action Plan for resolving security recommendations is in place.
- The system has an AT&T Disaster Recovery classification assigned and a Disaster Recovery plan in place.
- The system maintains 24x7 availability (with a maximum of 4 hours downtime per month).
- The system has a network presence on the AT&T Unified Global Network (UGN) network.

A list of servers that meet these criteria can be found in the Quality Record *NTD Local Organizational Librarians*, which can be accessed from the NTD Quality System Table of Contents web page.

7. Procedures for Control and Use of External Documents

For External Documents, the document user has the unique responsibility of initiating the process of placing the document under control and ensuring that an External Document Administrator (EDA) is designated.

The user of an external document must:

- Determine if the document is used to guide NTD work activities and if changes would impact NTD's outputs; if so, it needs to be controlled.
- Determine if the document is already controlled, by querying the MLDB.
- Assume responsibility as the EDA or work within the NTD process to determine the appropriate EDA if the document is not yet on the MLDB.

The EDA places the external document under control as follows:

- Identify the correct version of the document appropriate for use; note that the appropriate version may be marked Draft since not all external organizations use formal document control policies when generating documents.
- Store the document so users can access it from the MLDB or obtain copies from the Librarian.
 - Paper external documents must be stored in an NTD library.
 - For electronically controlled external documents, provide a file to the Librarian for storage on the ODMS Server or provide a URL to the external source.
- Submit a LAC to the Librarian so that the MLDB can be updated (and so that an MLID# can be assigned for initial control).
- Ensure documents are reissued, moved to another library, discontinued or assigned a new owner (EDA) as appropriate. See procedures in Section 5.1.5.
- NOTE: A record of review/approval is not required for external documents.

Once an EDA is assigned and the external document has been placed under control, the document user must:

- Access the document per instructions on the MLDB.
- Verify the correct version of the document by checking the MLDB when using it to do work.

8. Procedures for Control and Use of Templates

Forms and document templates must be issued individually as stand-alone controlled templates, rather than being included as attachments to other controlled documents. This allows users to populate and store them electronically.

Instructions for owners of templates:

- Stand-alone templates must be electronically controlled. The source file must be PC-compatible (e.g., MS Office).
- Ensure that the template contains a version number, issue date, effective date (if different from the issue date), unique title and MLID#, and that it can be verified for completeness. Other elements of controlled documents are optional.
- Ensure that the initial issue of a template is reviewed/approved by the appropriate Process Leader (for NTD Classic templates) or C-Band Manager (for SIP templates). Reissued templates must be approved by the owner at a minimum.
- Submit a record of review/approval to the Librarian with the LAC.
- Ensure that the template has an entry on the MLDB. The entry must point to the source file (rather than a PDF rendition) to facilitate on-line population of the template.
- Store templates until they are reissued or discontinued.

Instructions for users of templates:

- Check the MLDB to verify that the current version is being used.
- Access the PDF rendition (if necessary) by appending “.pdf” to the URL found on the MLDB (applies for most NTD templates).
- Populate each field that does not apply with some entry (e.g., NA) unless the field is designated as optional.

9. Procedures for Review/Approval of NTD Documents

For all document types, the *NTD Document Review and Approval Procedure Description* (MLID# 493) is used for review/approval of the initial issue, unless otherwise specified by the process or procedure that generates the document.

Reviewers serve as approvers and are selected by the owner based on the information contained in the document. For all document types, criteria for selection of reviewers/approvers may be specified by the generating process or procedure. In addition, the following criteria apply:

- Type I – Applicable Process Owner is required. Others may include PMT or QIT representatives and/or Quality Council members.
- Type II – Applicable Process Leader is required. Others may include PMT or QIT representatives of related processes/procedures.
- Type III documents:
 - For NTD Classic, the applicable Process Leader(s) and C-Band Manager (or above) for those who use the local procedure are required.
 - For SIP, the C-Band Manager for those who use the Local Procedure is required.

10. Procedures for Modification of NTD Documents

The *NTD Modification Procedure Description* (MLID# 496) is used for review and approval of MR(s) to NTD controlled documents and data, unless otherwise specified by the process or procedure that generates the output. MR(s) must be approved by the owner at a minimum, unless otherwise specified. Additional reviewers/approvers may be selected by the owner based on the information that changed. Furthermore, MR(s) to Type I, II and III documents must be reviewed/approved, at a minimum, by the same roles as stated in the previous section.

Alternatively, the modified document or data may be re-reviewed and approved as described in the previous section. Reviewers/approvers for reissued Type I, II or III documents must include the same roles as stated above. Unless otherwise specified by the generating process or procedure, reissues of Type IV documents/data must be reviewed/approved by the owner at a minimum.

11. Acknowledgments

The author acknowledges valuable process improvement input from the NTD Document Control QIT, the NTD Quality Management Team and previous authors and reviewers of the document.

12. References

12.1 Templates

<u>MLID#</u>	<u>Template Title</u>
6800	<i>NTD Library Acceptance Checklist</i>
10742	<i>NTD Review/Approval Record</i>
13851	<i>NTD MR Record</i>

12.2 Local Procedures

Refer to the **Index of SIP Local Procedures** (via the SIP Home Page) for a complete list of Local Procedures that augment SIP process or procedure descriptions.

Refer to the web page **Local Procedures for the NTD sub-processes** (via the NTD Home Page) for a complete list of Local Procedures that augment NTD process or procedure descriptions.

12.3 Other References

<u>MLID#</u>	<u>Document Title</u>
491	<i>NTD Quality System Description</i>
493	<i>NTD Document Review and Approval Procedure Description</i>
496	<i>NTD Modification Procedure Description</i>
1667	<i>AT&T Corrective and Preventive Action Policy and Procedure</i>
1711	<i>AT&T Documentation and Data Management Policy & Procedure</i>
5279	<i>NTD Process Monitoring and Improvement Corrective and Preventive Action Procedure Description</i>
6184	<i>AT&T Foundation Architecture</i>
7238	<i>NTD Librarian Procedure Description</i>
10653	<i>NTD Job Aid for Multiple-Segment Documents</i>
10668	<i>NTD Job Aid for Completing Document Control Quality Records</i>
10669	<i>NTD Job Aid for Creating Controlled Documents</i>
10762	<i>NTD Acronyms and Definitions</i>
11323	<i>AT&T Security Policy and Requirements</i>
17178	<i>S&ND Software Development Policies</i>

13. Change History

Version	Issue Date	Eff. Date	Reason for Re-Issue
1.0	02/14/1994	02/14/1994	Initial issue
2.0	08/26/1994	08/26/1995	Incorporates suggestions and recommended changes resulting from user reviews as well as internal and pre-assessment audits.
3.0	03/30/1995	03/30/1995	Incorporates suggestions and recommended changes resulting from user reviews and audits.
4.0	09/30/1995	09/30/1995	Incorporates minor editorial changes and recommended changes resulting from user reviews.
5.0	05/20/1996	05/20/1996	Incorporates minor editorial changes and recommended changes resulting from user reviews. Address electronic documentation.
6.0	10/28/1996	10/28/1996	Incorporates minor editorial changes and recommended changes resulting from user reviews, audits and alignment with NCS documentation policy. Created stand-alone templates; moved Librarian procedures to a separate document.
6.1	03/07/1997	03/07/1997	Incorporates minor editorial changes and recommended changes resulting from user reviews, audits, changes in NCS documentation policy and ODMS Release 3.0.
7.0	02/23/1998	04/15/1998	Incorporates minor editorial changes and recommended changes resulting from user reviews and changes in NCS documentation policy.
7.1	09/28/1998	09/28/1998	Changes in conjunction with NCS ODMS Release 3.3.
7.2	04/05/1999	05/03/1999	Incorporates changes to simplify the process description as chartered by the NTD Quality Council following the 1998 ISO recertification audit.
7.3	11/13/2000	11/13/2000	Modified in conjunction with ODMS Release 4.0. Other changes and clarifications due to process improvements.
7.4	11/21/2001	11/21/2001	Modified in conjunction with ODMS Release 5.0 and SIP 4.1. Also expanded scope of documentation policy from ANS to all of AT&T.
8.0	04/13/2002	04/13/2002	Modified to streamline various procedures, remove outdated procedures (e.g., use of ODS and Distribution Lists, etc.) and align with changes in management of SIP libraries.
8.1	05/10/2002	05/10/2002	Updated to align with changes for SIP 5.0.
8.2	04/10/2003	04/10/2003	Updated to align with changes for OneProcess Service Realization Process (SRP).

NOTE: The log of changes for previous versions can be found in the archived previous versions. See Librarian for access.

14. Log of Changes

Changes for Version 8.2:

- Throughout: Removed reference to *SIP Review/Approval Record Template* (MLID# 25461) and *SIP Review/Approval Procedure Description* (MLID# 25425).
- Sections 2, 3.1 and 3.3: Noted that Document Owner and Document Contact can be an individual or a group.
- Section 2.1: For Controlled Document examples, changed “Acceptance Test Plan” to “Test Plan” and “Release Delivery Plan” to “Project Plan”.
- Section 3.5: Removed statement about Lead DCC role being shared by NTD Document Control QIT Leader and SIP Document Control Element Owner.
- Section 4: Removed table row for SIP Review/Approval Record.
- Section 5: Changed URL of Document Control Information for Users and Owners web page.
- Section 5.1.5.1, item 1: Noted that MR Record can only be used for NTD Classic.