

Atacama Large Millimeter Array

ALMA

Document Approval Procedures

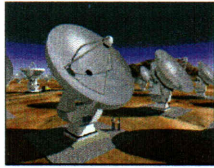
ALMA-80.02.00.00-005-E-PRO

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ALMA Project

**Document Approval
Procedures**

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Change Record

Version	Date	Affected Section(s)	Change Request #	Reason/Initiation/Remarks
A	2002-06-24	All	none	First draft
B	2002-07-23	3.1, 3.2	none	Second draft after comments from Peter Gray
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E	2002-10-31		none	First approved version, fifth revision, changes in response to comments during the approval process (doc approval number ALMA-80.02.00.00-005-D- DAR)

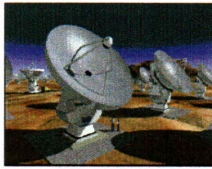
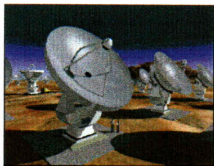


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1 Description

1.1 Purpose

This document provides procedures for the approval of documents for the ALMA Project. These procedures adhere to, and are the implementation of, the policies established in the configuration control section of the ALMA Project Management Plan, in that the approval of documents is the first step in baselining the documentation for the project. The following procedure description is for instructional and informational purposes. All further questions involving these procedures should be addressed to the Documentation Specialist.

1.2 Scope

These procedures should be followed for all approvals of controlled documents within the ALMA Project (see ALMA Documentation Management Plan for definition of controlled document). They provide a mechanism for discussing, circulating and approving all documents related to project designs, policies and procedures.

2 Related Documents and Drawings

2.1 References

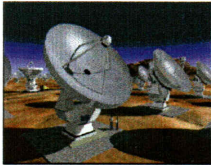
The following list of documents are either applicable to or referenced by this document to the extent specified. If not explicitly stated differently, the latest version of the document is valid.

Reference Doc. #	Document Title	ALMA Document Number
1	ALMA Documentation Management Plan	ALMA-80.02.00.00-001-A-PLA
2	ALMA Document Identification Plan	ALMA-80.02.00.00-002-A-PLA
3	ALMA Official Acronyms and Abbreviations	ALMA-80.02.00.00-004-A-PLA
4	ALMA Project Management Plan	

2.2 Abbreviations and Acronyms

The list of acronyms and abbreviations used within this document are given below. For a complete set of acronyms and abbreviations, please see ALMA Official Acronyms and Abbreviations (reference doc # 3).

Abbreviation or Acronym	Non-abbreviated Reference
ALMA	Atacama Large Millimeter Array
CRE	Change Request document
IPT	Integrated Product Team



3 Document Approval Procedures

The purpose of the document approval process is to enable a wide set of individuals to comment upon a document's contents before the document is given approval. Questions or concerns can be raised, addressed, shared, and archived for a record of the process, and the documents can be revised as necessary, before reaching the final approval phase.

This process parallels the change request workflow, as the review and approval of the initial documentation needs to be given the same level of consideration as a change to the design documentation. In the case of document approval requests, the Documentation Specialist is fulfilling the role as facilitator, much like the role of the CCB Secretary in the change control process.

Guidelines are given for how to submit and process a document approval request. All steps are enumerated for clarity of progression. Not every document will undergo all of the following steps, but will flow through the necessary stages, contingent upon the responses given in prior stages of the workflow. The workflow "state" of the approval process is shown in the main document listing page of the ALMAEDM server. This state designation informs everyone of the status of the document approval as it moves through the process.

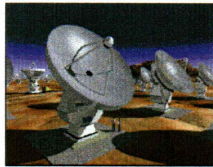
3.1 Document Approval Request form

The document approval request (DAR) is a form that should accompany each document that is being submitted for review and approval. The DAR will be updated as the approval process moves forward, so that it may serve as a record of the approval process. In this way, information regarding the date of submittal, reviewer list, approver list, authorization dates, and archive dates are tracked, in a universally viewable and printable medium, for all documents. The DAR form is completed and archived for every document that is submitted for approval, independent of whether or not the document ever becomes an approved document.

The document approval request form is available in pdf form format, through the ALMA document server. Since the DAR form is an independent document, it must receive an ALMA document number. In order to distinguish the document number of the DAR from the document number of the document submitted for approval, the ALMA document number assigned to the DAR is referred to either as a DAR number or a doc approval request number, in the following procedural outline. The DAR number differs from the main document number only by the document type code. For example, if you are submitting document number ALMA-80.02.00.00-005-B-PRO for approval, then the DAR number to be used is ALMA-80.02.00.00-005-B-DAR.

3.2 Submitting a document for approval

1. Download the latest version of the Document Approval Request form template from the templates folder of the ALMA document server.

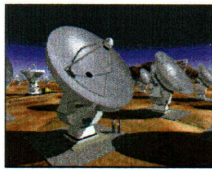


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2. Fill in the information on the DAR template.
 - a. Doc Approval Request #: The Doc Approval Request number (DAR #) is the document number of the document for which you are seeking approval, but with DAR substituted for the document type. For example, if you are submitting document number ALMA-80.02.00.00-005-B-PRO for approval, then the DAR # for it is, ALMA-80.02.00.00-005-B-DAR.
 - b. Status: For forms being submitted, the status should be “submitted”.
 - c. Document Title: Fill in the title of the document.
 - d. Document Number (of document submitted for approval): Fill in the document number of the document for which you are seeking approval. This is not the number of the DAR number.
 - e. Purpose/Scope: Fill in the purpose and scope of the document seeking approval. Use the “automatic” formatting option.
 - f. Abstract/Brief Summary: Fill in a brief abstract or summary of the document for which you are seeking approval. Use the “automatic” formatting option.
 - g. Remarks/Comments: Record any other relevant remarks or notations.
 - h. Suggested Reviewer List: Fill in the names of the individuals that you suggest should review the document and add technical/relevant comment. This list is for technical or comment individuals only. If an outside reviewer (someone without an ALMAEDM account) is requested, the submitter must notify the Documentation Specialist, so that he or she can act as liaison to assist the outside reviewer with the review information. Alternatively, other involved ALMAEDM users may also post information for the outside reviewer, however the Documentation Specialist will do so if no other users are available. The reviewer will not receive direct access to the ALMAEDM system, but will be passed necessary information via the documentation specialist.
 - i. Suggested Approver List: Fill in the names of the individuals that you suggest should approve the new document. This list is for individuals who will need to give final approval to the document only. They may choose to submit technical comment upon the document, but are not required to do so. This list should not include Project Manager or Project Director authorization requests. That level of authorization will be indicated in the “Requires Management Release” section.
 - j. Requires Management Release: Check the appropriate box to indicate that management needs to authorize this document for release. The Project Manager authorization will always be required for release, however the Project Director may not be required. This decision will ultimately be made by the Project Manager, however you are asked to suggest a single or dual signature.
 - k. Access Level: Indicate if the document MUST be available for external access. The default for documents will be internal access only. “Internal



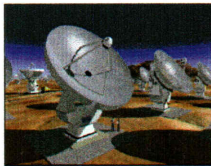
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access” means that the document will be posted on the ALMAEDM server and will be made available to all ALMA contributors who have access to the server. “External access” means that the document will not only be placed on the ALMA document server, but will also be posted to a publicly accessible server. The approvals for, and the actual posting of, the documents to these externally available sites will be governed by the policies and procedures outlined by the ALMA Web responsables.

- l. DAR Initiator: Fill in the name of the initiator of the request. This is often the primary author, but may also be a secondary author, if necessary. This individual will serve as the primary contact for all questions related to the document during the approval process. Therefore, if this individual is not the author, then it should be someone very knowledgeable of the documents content and purpose.
 - m. Date decision required: Fill in the date by which you need the approval decision to be made.
 - n. Priority/Significance: Fill in the priority/significance that you allocate to the document approval. Your selection here does not influence the workflow within the approval process. It merely informs the individuals who are accessing the request of the perceived significance or urgency of the request.
3. When you have completed all of the information, save the file with the correct file name. Use the ALMA standard file naming convention as outlined in the Document Identification Plan (reference doc # 2), and saving the file as a DAR document type, with a pdf file extension.
 4. When you are ready to submit your document for approval, go into the appropriate document approval request folder area of the ALMA document server. This is can be located by going into the “DAR –Document Approval Requests” area within the “Project Office Documents” workspace, of the “ALMA” workspace. It is located at the following URL:
<http://almaedm.tuc.nrao.edu/forums/alma/dispatch.cgi/docapproval>.
 5. Select the green “Add” button and then select the “submit a document for approval” option.
 6. Fill in the online form, by entering all of the requested information. To expedite the entry process, much of this information can be cut and pasted from the DAR form.
 - a. Doc Number: Fill in the document number that you were assigned through the document number generator. This is the main document’s number, so use the appropriate document type code in the document number (not DAR).
 - b. Doc Approval Request #: The Doc Approval Request number (DAR #) is the document number of the document for which you are seeking approval, but with DAR substituted for the document type. For example, if



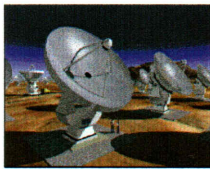
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you are submitting document number ALMA-80.02.00.00-005-B-PRO for approval, then the DAR # for it is, ALMA-80.02.00.00-005-B-DAR.

- c. Title: Fill in the title of the document.
- d. Upload the document: Use the “browse” button to locate the pdf file of the DAR. The document approval request form is to be uploaded at this prompt, not the document that is being submitted for approval.
- e. Author: Enter the name of the Author(s) of the main document.
- f. Purpose/Scope: Fill in the purpose and scope of the document. Use the “automatic” formatting option.
- g. Enter keywords: Fill in any meaningful keywords.
- h. Add attachments: Place a check the box, by clicking on it. A prompt for the location of the attachments will appear on a new screen, after filling in this initial form and clicking okay at the bottom of the screen. This is where you will be adding in the pdf file of the document that is being submitted for approval.
- i. Send me mail when replies are posted: Click this box to receive an email notification when a reply is posted by a reviewer. This reply could be a question, a technical comment, or an approval decision. It is highly recommended that all submitters click this box, so that you can address any issues that may come up in discussion postings.
- j. Date decision required: Fill in the date by which you need the approval decision to be made.
- k. Reviewer List: Fill in the user names of the individuals that you suggest should review the document and add technical/relevant comment. This list may be modified by the Documentation Specialist (in accordance with the Systems IPT leaders), if she feels it is necessary. You may use the “select from list” button to help you generate the list of user names. When filling out the list, place only one name on each line. Do not add commas or any other separators. Just place each name on a new line (using the return/enter key). This list is for technical or comment individuals only. If an outside reviewer (someone without an ALMAEDM account) is requested, the submitter must notify the Documentation Specialist, so that he or she can act as liaison to assist the outside reviewer with the review information. Alternatively, other involved ALMAEDM users may also post information for the outside reviewer, however the Documentation Specialist will do so if no other users are available. The reviewer will not receive direct access to the ALMAEDM system, but will be passed necessary information via the documentation specialist.
- l. Approver List: Fill in the user names of the individuals that you suggest should approve the new document. This list may be modified by the Documentation Specialist, if she feels it is necessary. You may use the “select from list” button to help you generate the list of user names. When filling out the list, place only one name on each line. Do not add commas



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or any other separators. Just place each name on a new line (using the return/enter key). This list is for individuals who will need to give final approval to the document only. They may choose to submit technical comment upon the document, but are not required to do so. This list should not include the Project Manager and Project Director. Their authorization will be obtained through the “requires management release” selection.

- m. Requires Management Release: Select neither, either, or both the Project Manager and /or Project Director. This will indicate that these individuals need to authorize the document after the individuals from the approver list, but before the actual release of the document. To select both the Project Manager and the Project Director, click on one of them, hold down the shift key, then select the other one. If you are not sure whether the document requires both signatures, just make your best estimate and it will be updated by the Project Manager. In all cases, he or she will minimally be required to sign for release.
 - n. Name of supervisor who authorized the submittal of this document: Type in the name of the ALMA supervisor who cleared this document for submittal. IPT leaders and deputies do not need to fill in a supervisor, but all other individuals should clear the document submission with the ALMA supervisor before they submit the document.
7. When you have completed all of the information, press the “ok” button.
 8. You will now be prompted to add in the attachments. You may use the “browse” button to upload the attachment(s). The pdf file of the document under review must always be attached. The source file for the main document may also be attached, at the discretion of the author.
 9. At this point, the document has been submitted. It is now in the “submitted” stage of the workflow. The full workflow stages are explained below.

3.3 Stages (or workflow states) of the approval process

The stages of the workflow allow for the document to be submitted, reviewed by a group of individuals with technical or related knowledge, approved by IPT leaders who will be impacted by the document, and then given final approved by project management, if warranted. It allows for the document to be revised during the process, and for all discussion of the documents’ contents to be viewed by everyone involved in the process, at all stages of the process.

The workflow is composed of progressive steps or states. During each of these states, the document is undergoing some part of the process, including, review, comment, or administrative modification. A workflow flowchart is available as figure 1, and the processes and notifications that occur during each of the states are described, in detail, following.

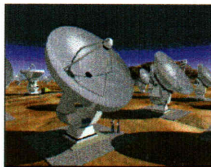
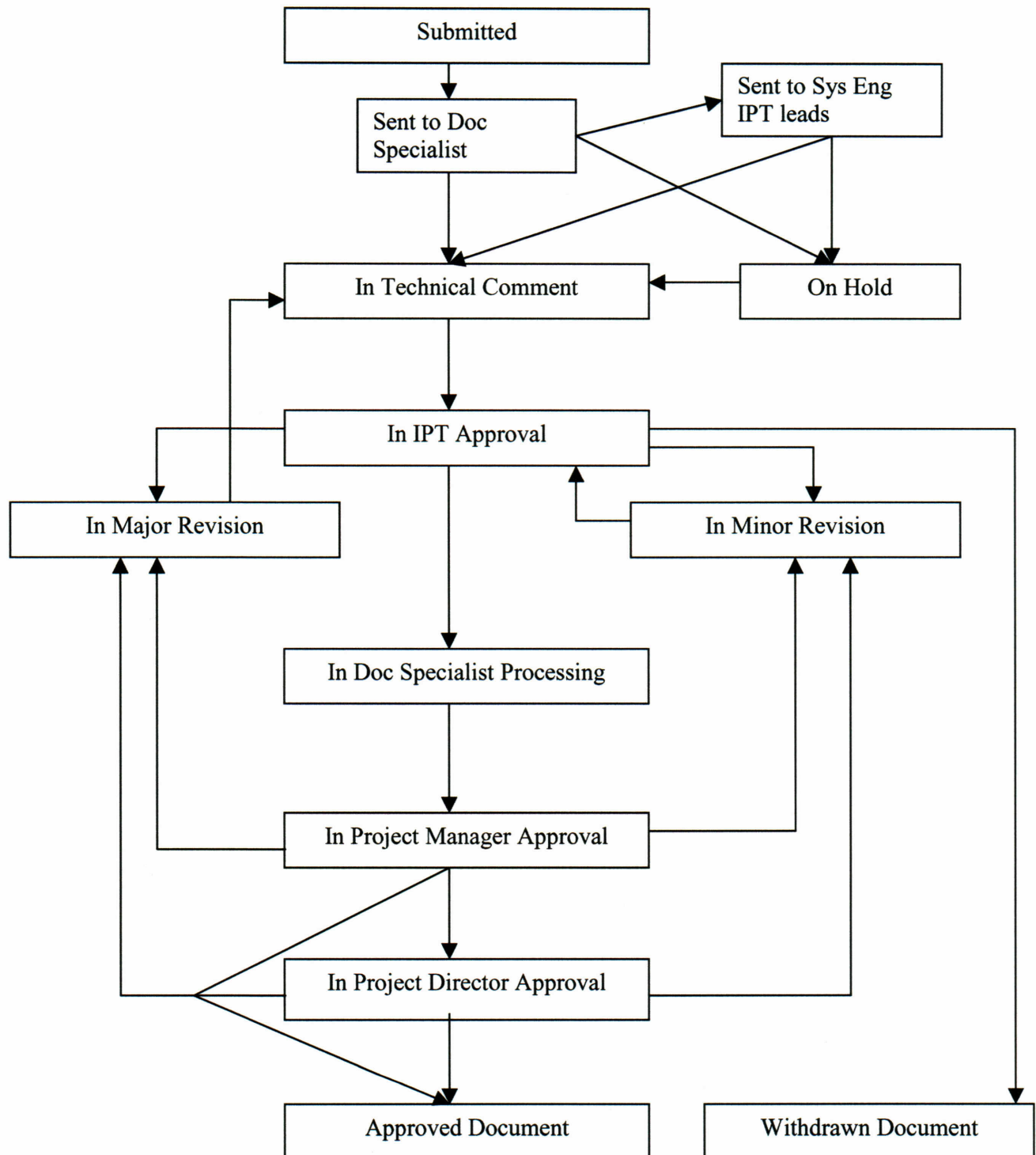
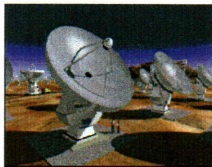


Figure 1: Document Approval Workflow





3.3.1 Submitted

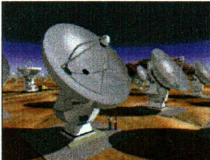
The workflow state becomes “submitted” immediately after the document is uploaded.

1. This submittal triggers an email to the Documentation Specialist. An email will be sent immediately after submittal, and then everyday for 3 days. The email says:
Subject: “A document approval request awaits your attention.”
Text: “A document approval request has been submitted and is awaiting your action
2. The Documentation Specialist receives the notification email, and examines the attached document, the DAR form and the online form to ensure completeness. The Documentation Specialist then checks the list of reviewers and users to be informed of the document. Any modifications to these lists are made, in consultation with the Systems IPT leaders. The Documentation Specialist answers the radio box question, “Is this document ready to move forward?” A selection of “Yes, move forward” takes the change request to “Document – in technical comment”. A selection of “On hold” takes the document to “on hold”. These states are explained below.
3. If necessary, the Documentation Specialist may choose to post a “reply” to the document submittal by adding a reply to the discussion area of the entry. Posting a reply to the document (down in the discussion area) will not change the state, but will notify the author (as long as the author selected this option in the initial upload of the document) of the need for correction or more information, before the document moves forward. If this initial discussion takes more than a day or two, the Documentation Specialist should place the document “on hold”, until the issues are resolved.

3.3.2 Sent to Systems Engineering IPT leaders

The workflow state becomes “sent to Systems Engineering IPT leaders” if the Documentation Specialist does not respond to the “Is this document ready to move forward?” question within 3 days of notifications.

1. This will trigger an email out to the Systems Engineering IPT leader and deputy. The email says:
Subject: “A document is awaiting your action”
Text: “A document approval request was submitted 3 days ago and no response has been issued. Please act upon the request as soon as possible.”
2. The Systems Engineering IPT leaders will then be called upon to process the document approval by insuring its completeness and then modifying the reviewer and users to inform lists, as necessary. One of the Systems Engineering IPT leaders must then answer the same radio box question, “Is this change request ready to move forward?” His response will change the workflow state following the same patterns as those outlined for the Documentation Specialist.

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3.3.3 On hold

The workflow state “**on hold**” occurs when the Documentation Specialist (or one of the Systems Engineering IPT leaders) selects this from the radio button.

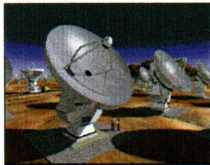
1. The “on hold” states identifies this document as being seen by the Documentation Specialist or Systems leaders, but not yet moved forward, for need of more information or clarification. In order for a document in this state to move forward, the same “ready to move forward” question as above must be answered. A selection of “Yes, move forward” takes the change request to “Document - in technical comment”. A selection of “On hold” takes the document to “on hold”. These states are explained below.

3.3.4 Document – in technical comment

The workflow state becomes “document – in technical comment” immediately after the Documentation Specialist selects “Yes, move forward”. This state will last until all of the reviewers have stated that they are done with comments or until 14 days have elapsed, whichever is first. If outside reviewers (people without ALMAEDM accounts) are used, the Documentation Specialist will act as a liaison for these individuals in interactions with the ALMAEDM system. Alternatively, other involved ALMAEDM users may also post information for the outside reviewer, however the Documentation Specialist will do so if no other users are available. The reviewer will not receive direct access to the ALMAEDM system, but will be passed necessary information via the documentation specialist.

When this state is entered:

1. This sends an email out to the author, the individuals listed on the “Reviewer list”, and the individuals listed on the “Approver list”. The email says :
Subject: “A document approval request is entering technical comment.”
Text: “A document that you authored, are asked to comment upon, or will be asked to provide final authorization on, has entered the technical comment state. If you are listed as a "reviewer" please comment as soon as possible. If you are listed as a "approver", you are not required to comment yet, as you are merely being informed of the discussion.”
2. The list of people on the Reviewer List are to use the link that accompanies the email, to log into ALMAEDM and read the attached document. They may then post “replies” by selecting the grey “reply” and filling in a meaningful title and comment. Attachments may also be added at this point, if the reviewer wishes. All attachments must be either pdf or text format.
3. The reviewer must then respond in the grey radio box, located on the profile page of the document. This is the main page for the document (the page that the initial link took the reviewer to). In the radio box, the reviewers are asked the question, “Are you done with adding technical comments?”. Their answer choices are “Yes, I have no further comment” or “No, I still want further information”. A



“yes” answer will signal that the reviewer is done commenting. A “no” answer signals that the reviewer wants to add more comments after discussion of his or her comments with others in the review list, the author, and/or other parties. A reviewer may add as many “replies” (comments) as he or she wishes (for as many days as he or she wishes – within the 14 day limit), until he or she signals that he or she is done with the discussion, by selecting “yes” in the radio box. Only reviewers will receive the radio box option. Individuals invited in for information only, will not receive a radio box option. If an individual receives the request to act as a reviewer and does not wish to review the document or does not have adequate expertise to review the document. That individual should post a reply that states that he or she does not wish to review the document and the reason for his unwillingness. He or she should also then answer “Yes, I have no further comment” in the parameter box.

4. After a reviewer posts a “reply” an email is sent out to the submitter of the document (as long as this option was selected when the form was initially submitted -see “submitting a change request” above). Once notified, the submitter must read the entry and post a response to all significant comments or questions that the reviewers have posted.
5. Once all reviewers have answered “yes” to the above question, the state is automatically changed to “Document – in IPT Approval”.
6. When the document leaves this state, and email is sent to the reviewers, stating that the document has left the review state.
7. The Documentation Specialist has an override power so that he or she may move the document forward in the workflow, in the case where he or she does not get a full response from all of the reviewers. This power is implemented by the Documentation Specialist changing the state of the item in the workflow. This is done by selecting “Document – in IPT Approval” within the grey “change workflow state” box on the document’s main profile page. This moves the state to “Document – in IPT Approval”, described below. Only the Documentation Specialist and the Systems Engineering IPT Leaders will be given the rights to manually change the workflow state, no other users will be able to see this as an option. The workflow state will also automatically move forward after the 14 day review period has ended.

3.3.5 Document – in IPT Approval

The workflow state becomes “Document – in IPT Approval” after all of the technical reviewers have responded that they are done with technical comments (or when the Documentation Specialist overrides because there is not a total response).

1. Upon entry to this state, the author of the document will receive an email of the following:
Subject: “A document approval request you authored is entering IPT level approval”
Text “A document that you authored is entering the IPT approval state. At this



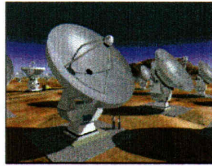
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point, approval is being requested from the individuals listed in the "approver list" for the document."

2. At this time, the author should double check that they have addressed all review comments, so that the document is ready for final consideration by the IPT approvers.
3. Upon entry to this state, the individuals on the "Approver List" for the document will receive an email of the following:
Subject: "A document approval request is awaiting your response"
Text "A document approval request is awaiting your action. Please respond as soon as possible."
4. These individuals then use the link that accompanies the email, to log into ALMAEDM and read the document. If any individual feels that he or she needs more information or that more review is needed, the individual may then post "replies" by selecting the grey "reply" and filling in a meaningful title and comment. Attachments may also be added at this point, if needed. All attachments must be either pdf or text format
5. Approvers may also elect to get comments from other individuals not listed as reviewers, or from reviewers who did not comment when asked. This may be done by emailing the newly requested reviewer and asking them to post comments after reading the document. When asking for more reviewers, please also inform (by cc or another email) the Documentation Specialist so that the individual can be added to the reviewer list.
6. When the IPT approver has decided that the document received adequate commentary, and they are ready to make a decision, he or she must then respond in the grey radio box, located on the profile page of the document. This is the main page for the document (the page in the initial link). In the radio box, the authorizing individual is asked the question, "Do you approve this document"? The answer choices are "Yes, I approve this document", or "No, this document requires minor revision", or "No, this document requires major revision". If a "no" response is submitted, the approver must also post a reply that states what issues need to be addressed within the proposed revision. A "minor revision" classification will require the author to make changes that will not have to be reviewed again by the individuals on the "reviewer list", while a "major revision" will require undergoing the entire review again. In either case, the "approvers" will need to re-read the document after the changes are made.
7. If all "approvers" respond with "yes, I approve this document", then the state will change to In Documentation Specialist Processing.
8. If one or more "approvers" respond with "No, this document requires minor revision", then the state changes to "Document – in minor revision".
9. If one or more "approvers" respond with "No, this document requires major revision", then the state changes to "Document – in major revision".



3.3.6 In Documentation Specialist Processing

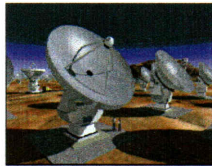
The workflow state becomes “in Documentation Specialist Processing” – this happens for documents that have had all of the technical reviewers responding that they are done with technical comments (or when the Documentation Specialist overrides because there is not a total response) and all IPT level approvers have responded.

1. Upon entry to this state, the Documentation Specialist receives an email of the following:
Subject: “A document approval request is awaiting your attention”
Text “A document approval request is awaiting your action. Please respond as soon as possible.”
2. The Documentation Specialist must assure that all of the responses are complete and that all approvals or revision requests have been recorded through authorization stamps and appropriate reference approval entries on both the document title page and the document approval form.
3. For documents requiring only IPT and Systems Engineering level approvals, the Documentation Specialist will trigger the document into the next appropriate workflow state, based upon the statements from the reviewers. For documents requiring higher level approvals, the Documentation Specialist will ensure that all information is updated on the “request for document approval form” before sending the document forward to “Document – in project management approval” state.
4. The Documentation Specialist changes the state of the workflow through answering the radio box question: “Change state to?”
The answer options are :
-- “Document – in project manager approval”
-- “Withdrawn Document”
-- “Approved Document”

3.3.7 Document- in minor revision

The workflow state becomes “in minor revision” – this happens for documents that have had all of the technical reviewers responding that they are done with technical comments (or when the Documentation Specialist overrides because there is not a total response) and one or more IPT level approvers have responded that the document needs minor revisions.

1. Upon entry to this state, the author receives an email of the following:
Subject: “A document approval request is awaiting your attention”
Text “A document you submitted for approval, has been moved to the “document - in minor revision” state. Please take a look at the comments from the reviewers and revise the document accordingly.”
2. The author must then revise the document and resubmit it. This revision should be submitted with a new document version number and with the changes listed on the change record, within the document. Use the “modify” button to add the new version of the document into the system. Ensure that the “save previous versions”



check box is filled in, so that the original draft will be maintained.

3. Once the document is uploaded. The author must answer the question in the radio box. The question is “Are you finished with revisions?” The answer choices are, “yes, I am finished with revisions” or “no, I withdraw the document entirely.” The “yes” answer changes the state of the workflow back to “Document – in IPT Approval”, so that it can be once again be read and approved by the appropriate IPT leaders. The “no” answer changes the state of the workflow to “Withdrawn Document”.

3.3.8 Document- in major revision

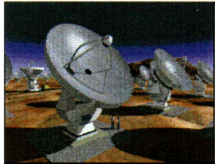
The workflow state becomes “in major revision” – this happens for documents that have had all of the technical reviewers responding that they are done with technical comments (or when the Documentation Specialist overrides because there is not a total response) and one or more IPT level approvers have responded that the document needs major revisions.

1. Upon entry to this state, the author receives an email of the following:
Subject: “A document approval request is awaiting your attention”
Text “A document you submitted for approval, has been moved to the “document - in major revision” state. Please take a look at the comments from the reviewers and revise the document accordingly.”
2. The author must then revise the document and resubmit it. This revision should be submitted with a new document version number and with the changes listed on the change record within the document. Use the “modify” button to add the new version of the document into the system. Ensure that the “save previous versions” check box is filled in, so that the original draft will be maintained.
Once the document is uploaded. The author must answer the question in the radio box. The question is “Are you finished with revisions?” The answer choices are, “yes, I am finished with revisions” or “no, I withdraw the document entirely.” The “yes” answer changes the state of the workflow back to “Document – in technical comment. The “no” answer changes the state of the workflow to “Withdrawn Document”.

3.3.9 Document – in Project Manager Approval

The workflow state becomes “Document – in Project Manager Approval” after all of the technical reviewers have responded that they are done with technical comments, and all other necessary approvals have been obtained.

1. Upon entry to this state, the Project Manager receives an email of the following:
Subject: “A document approval request is awaiting your response”
Text “A document approval request is awaiting your action. Please respond as soon as possible.”
2. The Project Manager is to use the link that accompanies the email, to log into ALMAEDM and read the document. If the Project Manager feels that he or she needs more information, he or she may then post “replies” by selecting the grey

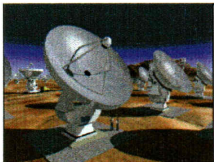
	ALMA Project Document Approval Procedures	Doc # : ALMA-80.02.00.00-005-E-PRO Date: 2002-10-31 Status: Released <i>(Draft, Pending, Approved, Released, Superseded, Obsolete)</i> Page: 17 of 19
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- “reply” and filling in a meaningful title and comment. Attachments may also be added at this point, if needed. All attachments must be either pdf or text format
- When the Project Manager has made a decision, he or she must then respond in the grey radio box, located on the profile page of the document. This is the main page for the document (the page in the initial link). In the radio box, the Project Manager is asked the question, “Do you approve this document”?
The answer choices are:
“Yes, I approve this document. It does not require Project Director signature”,
“Yes, I approve this document. It needs to go for Project Director signature”
“No, this document needs minor revision”
“No, this document needs major revision”.
If a “no” response is submitted, the Project Manager must also post a reply that states what issues need to be addressed within the proposed revision. A “minor revision” classification will require the author to make changes that will not have to be reviewed again by the individuals on the “reviewer list”, while a “major revision” will require undergoing the entire review again. In either case, the “approvers” will need to re-approve the document after the changes are made.
 - If the project manager responds with “Yes, I approve this document. It does not require Project Director signature”, then the state will change to “approved document”.
 - If the project manager responds with “Yes, I approve this document. It needs to go for Project Director signature”, then the state will change to “Document – in Project Director approval”.
 - If the project manager responds with “No, this document requires minor revision”, then the state changes to “Document – in minor revision”.
 - If the project manager responds with “No, this document requires major revision”, then the state changes to “Document – in major revision”.

3.3.10 Document – in Project Director Approval

The workflow state becomes “Document – in Project Director Approval” after all of the technical reviewers have responded that they are done with technical comments, and all other necessary approvals have been obtained.

- Upon entry to this state, the Project Director receives an email of the following:
Subject: “A document approval request is awaiting your response”
Text “A document approval request is awaiting your action. Please respond as soon as possible.”
- The Project Director is to use the link that accompanies the email, to log into ALMAEDM and read the document. If the Project Director feels that he or she needs more information, the Project Director may then post “replies” by selecting the grey “reply” and filling in a meaningful title and comment. Attachments may also be added at this point, if needed. All attachments must be either pdf or text format
- When the Project Director has made a decision, he or she must then respond in the

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grey radio box, located on the profile page of the document. This is the main page for the document (the page in the initial link). In the radio box, the Project Director is asked the question, “Do you approve this document”?

The answer choices are:

“Yes, I approve this document.”

“No, this document needs minor revision”

“No, this document needs major revision”.

If a “no” response is submitted, the Project Director must also post a reply that states what issues need to be addressed within the proposed revision. A “minor revision” classification will require the author to make changes that will not have to be reviewed again by the individuals on the “reviewer list”, while a “major revision” will require undergoing the entire review again. In either case, the “approvers” will need to re-approve the document after the changes are made.

4. If the Project Director responds with “Yes, I approve this document”, then the state will change to “approved document”.
5. If the Project Director responds with “No, this document requires minor revision”, then the state changes to “Document – in minor revision”.
6. If the Project Director responds with “No, this document requires major revision”, then the state changes to “Document – in major revision”.

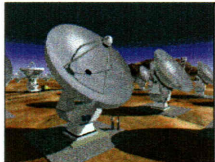
3.3.11 Approved Document

The workflow state becomes “approved document” –this happens when the request is approved by the Project Director.

1. An email is sent out to the author, the list of reviewers, the IPT leaders, and the ALMA Documentation Specialist. The email states:
Subject: “A document has received final approval”
Text “A document that you authored, were informed of, were a reviewer for, or issued a decision on has been approved.”
2. At this point, the Documentation Specialist will ensure that all authorizations are recorded on the document, the status of the document is updated, and that the document is placed into the correct file on the ALMA Document Server. The DAR form will be maintained in the same location on the ALMA document server, however the Documentation Specialist will also place a link in the correct place of the product tree folder structure of the web file system. This link will enable users to link back to the DAR record, from its appropriate location in the file structure. The document itself will be moved to the appropriate place in the project level documents and operations documents areas of the product tree folder structure of the web file system.

3.3.12 Withdrawn Document

The workflow state becomes “withdrawn document” when the document is withdrawn by the author

	ALMA Project Document Approval Procedures	Doc # : ALMA-80.02.00.00-005-E-PRO Date: 2002-10-31 Status: Released <i>(Draft, Pending, Approved, Released, Superseded, Obsolete)</i> Page: 19 of 19
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1. An email is sent out to the list of reviewers, the list of approvers, the IPT leaders, and the Documentation Specialist. The email states:
Subject: "A document approval request has been withdrawn"
Text "A document that you were informed of, were a reviewer for, or issued a decision on has been withdrawn."
2. At this point, the Documentation Specialist will ensure that all authorizations are recorded on the DAR form, the status of the document is updated, and that the document is placed into the correct file on the ALMA Document Server. The DAR form will be maintained in the same location on the ALMA document server, however the Documentation Specialist will also place a link in the correct place of the product tree folder structure of the web file system. This link will enable users to link back to the DAR form, from its appropriate location in the file structure. The document itself will remain with the DAR record, with a link inserted into the appropriate place of the product tree folder structure of the web file system and a notation indicating that this document was withdrawn.
3. Documents may no longer be withdrawn once the document reaches final approval (release by JAO Project Manager and/ or Project Director), but may be obsoleted or superseded through a Change Request.

4 Resubmitting a Previously Withdrawn Document

If an author wishes to resubmit a previously withdrawn document approval request, it must be resubmitted as a new request. When resubmitted, it must have new document numbers for both the main document that the approval is being requested for and the document approval request form. The document's change record reference the older document approval request number, so that these prior discussions can be referenced by individuals who wish to review them.

5 Archival of Document Approvals

All document approvals will be archived for the life of the project. The complete record will be maintained, with all comments and attachments in association with the document approval form. The main form will be maintained as pdf and the rest of the comments and associated documents will be maintained as either text or pdf. All attachments to documents seeking approval, must be submitted as pdf or text.