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## **Working Procedures for SMG and PT SMG**

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## Introduction

In order to ensure correctness and consistency of the specifications (i.e., technical specifications and technical reports) under responsibility of SMG, clear, manageable and efficient mechanisms are necessary to handle version control, change control, document updating, distribution and management.

Also, the fact that the specifications are/will be implemented by industry almost in parallel with the writing of them requires strict and fast procedures for handling of changes to the specifications.

It is very important that the changes that are brought into the standard, from the past, at present and in the future, are well documented and controlled, so that technical consistency and backwards tracing are ensured.

SMG, in this document referred to as the Technical Body (TB), and its sub-groups together with the Project Team (PT SMG, in this document referred to as PT) are responsible for the technical content and consistency of the specifications whilst the Project Team (PT) alone is responsible for the proper management of the entire documentation, including specifications, meeting documents, administrative information and information exchange with other bodies.

## 1 Scope

This document outlines the working methods [to be] used by SMG and its sub-groups and by PT SMG in relation to document management, i.e. handling of specifications, updating procedures, change request procedures, version control mechanisms, specifications status information etc. It complements the rules and procedures defined in ETSI. This document does not stipulate the details of the internal working of the TB sub-groups. From the Technical Specification Group point of view, a task and responsibility is given to a Working Group (WG) directly answering to SMG. In practice, the work/task may be carried out in a subgroup of that WG.

## 2 Definitions and Abbreviations

Change Control	When a specification has been put under change control, changes to the specification require an approval of formal change requests. Rules for change control are defined in section 4.
Closed	A closed major version of a specification is still published; however no changes to the major version of the specification are possible anymore (not even essential corrections).
CR	Change Request.
Draft	A specification is draft before getting under change control.
Frozen	For a frozen major version of a specification, the only allowed change requests are essential corrections.
Major Version	For version w.x.y of a specification, w is called the major version. Example: For version 7.2.0 of a specification, the major version is 7.
Project Team	The support group supporting the Technical Body.
PT	Project Team
Specification	In this document, the generic term Specification is used for both Technical Specifications and Technical Reports. A distinction between the two is done only where relevant.
TB	Technical Body, denotes Technical Body SMG
TB Change Control	Technical Body Change Control: The Technical Body is responsible for approval of Change Requests.

TB Sub-Group:	An TB Working Group or a subgroup installed by a TB Sub-Group (recursive definition)
TB WG	Technical Body Working Group
Technical Body Working Group	A working group installed by the TB and reporting to the TB. This denotes an SMG Sub-Technical Committee, such as SMG1, SMG2, ...
TB WG Change Control	Technical Body Working Group Change Control: The TB Working Group is responsible for approval of Change Requests.
Version	A specification has versions which are identified by three numbers w.x.y. Example: version 7.12.3.
WI	Work Item.
WID	Work Item Description.
Withdrawn	A withdrawn specification doesn't belong to the set of valid specifications.
Work Item	A work item aims at introduction of a new feature or at enhancement of existing features. It may entail new specifications and/or changes to existing specifications.
Work Item Description	The description of a Work Item in a standard Work Item Description sheet.

### 3 General responsibilities of the Project Team

The Project Team for SMG (PT, or PT SMG) is responsible for the project management of the work of the TB. This includes editorship and management of specifications once they have been put under TB change control. It also includes preparation of and support for the meetings (including meeting reports) of the TB and its Sub-groups, in descending priority

TB > TB WG > other TB SG.

It furthermore includes liaison to other bodies and relevant groups and institutions.

### 4 Handling of Specifications

This section describes the general procedures and events involved in, and related to, the lifetime of a specification.

#### 4.1 Overview

This section gives an overview on the development of a specification, dealing with the unexceptional cases only, and leaving out details. A more detailed description is given in the remainder of section 4.

A new specification is created in a TB WG. At creation, a rapporteur is nominated. The rapporteur elaborates the first versions, version 0.0.0, version 0.1.0, possibly 0.1.1, 0.1.2 and so on, then version 0.2.0 etc..

The versions 0.1.0, 0.2.0, 0.3.0 etc. must be presented to the responsible TB SG. The versions 0.i.1, 0.i.2 etc. may be internal versions.

As soon as title, scope and some other information on the specification is stable, the PT assigns a specification number and enters the specification into the Status List of Specifications, see section

When a specification is sufficiently stable, it is presented as version 1.0.0 to the TB for information.

Further versions 1.x.y are elaborated until version 2.0.0 is presented for approval at the TB.

After approval, the specification becomes version x.0.0 where  $x \geq 3$ . It is under TB change control. Further changes are made by means of formal change requests, to be approved by the TB. The number x is called the major version of the specification. If all change requests approved were editorial, the new version increments the right most number (e.g., from 7.2.1 to 7.2.2); if at least one approved CR has been non-editorial, the middle number is incremented and the right most number reset to 0 (e.g., from 7.2.1 to 7.3.0).

At some point in time, the specification is frozen: Only corrections of essential errors will be applicable. (At the same time, a new major version may be developed for inclusion of new features.)

At a later point in time, the specification is closed: it is still publicly available, but no changes are carried out any more. (At the same time, higher major versions of the specification may be under development.)

The major versions of specifications may be developed in releases: Releases like Release 1999, Release 2000, Release 20001 are specified in major versions of the specifications.

For example,

- GSM phase 1 is specified in the most recent versions 3.x.y of the specifications, that is in major version 3;
- GSM phase 2 is specified in the most recent versions 4.x.y of the specifications, that is in major version 4;
- GSM Release 96 is specified in the most recent versions 5.x.y of the specifications, that is in major version 5;
- GSM Release 97 is specified in the most recent versions 6.x.y of the specifications, that is in major version 6;
- GSM Release 98 is specified in the most recent versions 7.x.y of the specifications, that is in major version 7.

#### 4.2 Characteristics of a specification

- The specification has a prime responsible TB.
- The specification may have a prime responsible TB WG.
- The specification may have one or more secondary responsible TBs ~~and~~ TB WG.
- The specification may have a prime responsible TB Sub-Group below a Working Group as decided by the prime responsible TB WG.
- The specification should have a rapporteur (i.e., at least one rapporteur): a delegate from a member company (or, in exceptional cases, a PT expert); the delegate participates regularly in the prime responsible TB WG (and further TB SG if applicable).
- The specification is a Technical Report or a Technical Specification
- A specification has versions which are identified by three numbers w.x.y where w is called the major version.

Note: In the description above, attribute values are underlined while attributes aren't.

The prime responsible TB WG may assign prime responsibility for a specification to one of its subgroups.

#### 4.3 Characteristics of a major version of a specification:

A major version 0 or 1 or 2 of a specification has the following characteristics:

- It is either adraft or withdrawn.
- It is TB internal

A major version  $w > 2$  of a specification has the following characteristics:

- It is either under TB WG Change Control or under TB Change Control or closed or withdrawn.
- It is either authorised for publication or TB internal

A major version of a specification under TB WG Change Control is TB internal.

A major version under TB WG Change Control or TB Change Control is called major version under Change Control.

A major version of a specification under TB Change Control is

- either not yet frozen or frozen.

Note: In the description above, attribute vals are underlined while attributes aren't.

#### 4.4 Characteristics of a version of a specification

0.x.y	<ul style="list-style-type: none"> <li>- draft (or withdrawn)</li> <li>- TB internal</li> <li>- no version of the specification has been presented for information to the TB yet</li> <li>- no major version of the specification is under TB change control yet</li> </ul>
1.0.0	<ul style="list-style-type: none"> <li>- draft (or withdrawn)</li> <li>- TB internal</li> <li>- this version 1.0.0 is presented to TB               <ul style="list-style-type: none"> <li>- for information</li> <li>- or for information and approval</li> </ul> </li> <li>- no major version of the specification has been under TB Change Control yet</li> </ul>
1.x.y (x > 0 or y > 0)	<ul style="list-style-type: none"> <li>- draft (or withdrawn)</li> <li>- earlier version 1.0.0 has been presented for information to the TB</li> <li>- no major version of the specification is under TB Change Control yet</li> </ul>
2.0.0	<ul style="list-style-type: none"> <li>- draft or withdrawn</li> <li>- TB internal</li> <li>- earlier version 1.0.0 has been presented for information to the TB</li> <li>- this version 2.0.0 is presented to the TB for approval</li> <li>- no version of the specification has been approved yet</li> <li>- no major version of the specification has been under TB Change Control yet</li> </ul>
2.x.y (x > 0 or y > 0)	<ul style="list-style-type: none"> <li>- draft</li> <li>- TB internal</li> <li>[- earlier version 1.0.0 has been presented for information to the TB]</li> <li>- no major version of the specification is under TB Change Control yet</li> <li>- earlier version 2.0.0 had been presented to the TB for approval but had not been approved by the TB</li> </ul>
x.y.z (x ≥ 3)	<ul style="list-style-type: none"> <li>- under TB Change Control or closed</li> <li>- TB internal or authorised for publication</li> <li>[- earlier version 1.0.0 has been presented for information to the TB]</li> <li>- earlier major versions of the specification, if any, shall be under TB Change Control or closed or withdrawn</li> </ul>
draft y.z of version x	<ul style="list-style-type: none"> <li>- under TB WG Change Control</li> <li>- TB internal</li> <li>[- earlier version 1.0.0 has been presented for information to TB]</li> <li>- earlier major versions of the specification, if any, shall be under TB Change Control or closed or withdrawn</li> </ul>

Notes: In a future version, file name conventions should be added in the table above.

In the table above, statements between square brackets are true but not relevant. The first two lines of each row are implied by section 4.2.

#### 4.5 Actions on a specification

##### 4.5.1 Actions on a new specification (version 0.x.y)

- A new specification (a specification version 0.0.0) may be created by a TB WG. A rapporteur (more exactly: at least one rapporteur) is assigned by that WG. A prime responsible subgroup of the TB WG may be allocated by the TB WG.

- The rapporteur prepares version 0.1.0 and presents it to the prime responsible TB WG/SG for discussion.
- In an iterative process, the rapporteur prepares a new version 0.x+1.0 incorporating comments from the prime responsible TB WG/SG to versions 0.x.y and presents version 0.x+1.0 to the prime responsible TB WG/SG for discussion.
- Between version 0.x.0 and 0.x+1.0, the rapporteur may create versions 0.x.1, 0.x.2, ... with only editorial modifications.
- When the title and scope of a specification is sufficiently stable, a Specification Number is assigned by the PT, which also informs the other relevant Technical Bodies.
- The TB WG reports the creation of a new specification to the TB.
- New specifications should be co-ordinated between the 3GPP TSGs and SMG. These bodies should seek agreement on prime and secondary responsibilities for each specification. In areas of common interest it is recommended to agree on new specifications in joint meetings.
- The TB may cancel a new specification.
- The TB WG may decide to present a specification version 0.x.y to the prime responsible TB and to the secondary responsible TB SG(s) for information; the specification should then be to at least 60% stable.
- The TB WG may also conclude that the specification is already to at least 80% stable and decide to present it to the TB for information and approval; before doing that, comments from secondary responsible TB SGs, if any, should have been taken into account.  
Then the specification is handed over to the PT for the necessary - strictly editorial - cleaning up resulting in version 1.0.0.

#### 4.5.2 Actions on version 1.x.y of a specification

- On decision of the prime responsible TB WG, the PT transforms version 0.x.y of a specification into version 1.0.0, performing the necessary - strictly editorial - cleaning up, and version 1.0.0 is presented by the TB WG to the to the prime responsible TB and to the secondary responsible TB SG(s) for information or for information and approval.
- The TB may decide to put the specification under change control as major version x (where  $x > 2$  depends on the Release which the specification belongs to). In this case, version 1.0.0 is transformed by the PT into version x.0.0, and the further handling is described in section 4.5.4. Otherwise, the handling of the specification continues as described below:
- In an iterative process, the rapporteur prepares a new version 1.x+1.0 incorporating comments from the prime and secondary responsible TB SGs to versions 1.x.y and presents version 1.x+1.0 to the prime and secondary responsible TB SGs for discussion.
- Between version 1.x.0 and 1.x+1.0, the rapporteur may create versions 1.x.1, 1.x.2, ... with only editorial modifications.
- The prime responsible TB WG may decide to present a specification version 1.x.y to the prime responsible TB for approval; the specification should then be to at least 80% stable; comments of the secondary responsible TB SGs should have been taken into account.  
Then the specification is handed over to the PT for the necessary - strictly editorial - cleaning up resulting in version 2.0.0.

#### 4.5.3 Actions on version 2.x.y of a specification

- On decision of the prime responsible TB WG, the PT transforms version 1.x.y of a specification into version 2.0.0, performing the necessary - strictly editorial - cleaning up, and version 2.0.0 is presented by the prime responsible TB WG to the prime responsible TB for approval; comments of the secondary responsible TB SGs should have been taken into account. If version 2.0.0 is not approved, work continues with versions 2.x.y.
- The TB may decide to put the specification under change control. In this case, version 2.0.0 is transformed by the PT into version x.0.0, (where  $x > 2$ , see section a.4), and the further handling is described in section 4.5.4. Otherwise, the handling of the specification continues as described below:
- In an iterative process, the rapporteur prepares a new version 2.x+1.0 incorporating comments from the prime and secondary responsible TB SGs to versions 2.x.y and presents version 2.x+1.0 to the prime and secondary responsible TB SGs for discussion.
- Between version 2.x.0 and 2.x+1.0, the rapporteur may create versions 2.x.1, 2.x.2, ... with only editorial modifications.

- The prime responsible TB WG may decide to present a specification version 2.x.y to the TB for approval; the specification should then be to at least 80% stable; comments of the secondary responsible TB SGs should have been taken into account.  
Then the specification is handed over to the PT for the necessary - strictly editorial - cleaning up resulting in version 2.x+1.0.

#### 4.5.4 Actions on version w.x.y of a specification (w > 2)

- On decision of the TB, the PT transforms a version v.x.y of a specification into version w.0.0, performing the necessary - strictly editorial - cleaning up.
- The prime responsible TB WG may agree on Change Requests to the most recent version w.x.y of major version w of a specification. It will then propose these CRs to the TB for approval, however before doing that, it has to seek comments from the secondary responsible TB (WG)s - if any - and to take them into account (joint meetings of the appropriate TB SGs are recommended for that purpose). If and when at least one Change Request to version w.x.y of major version w of that specification is approved by the TB, the PT includes all Change Requests to version w.x.y of major version w of that specification into a new version
  - w.x.y+1 if all change requests approved by the TB are editorial
  - w.x+1.y if at least one change request approved by the TB is not editorial
- From a version w.x.y of major version w of a specification, the PT may create a new version w.x.y+1 where only changes in the front sheet, preface and history are performed (for publication purposes)
- From the most recent version w.x.y of major version w of a specification, the PT may create a new version w.x.y+1 in agreement with the rapporteur and the prime responsible TB WG where only strictly editorial changes are performed.
- If Change Requests have been introduced incorrectly into the most recent version w.x.y of major version w of a specification, the PT may create a new version w.x+1.0 in agreement with the rapporteur and the prime responsible TB WG, to correct the introduction of Change Requests.

#### 4.5.5 Actions on the major version of a specification

- The TB may decide to create a new major version >2 of a specification.
- The TB may decide to withdraw a major version of a specification.
- The TB may decide to close a frozen major version of a specification.
- The TB may authorise a major version >2 for publication or decide that it is TB internal.
- The TB may decide to freeze a major version of a specification under change control.
- The TB may decide to unfreeze a major version of a specification under change control.
- The prime responsible TB WG may decide to create a new major version > 2 of a specification under TB WG Change Control.

These decisions have to be taken in agreement with all relevant TBs (that is with all applicable TSGs, if UMTS is concerned).

## 4.6 Change Request Regime

Modifications to specifications under TB Change Control are decided by the TB, on the basis of Change Requests (CR). These CRs, described in the following sections, shall in principle only be presented to the TB after having been scrutinised by the TB WG responsible for the concerned specification; comments from secondary responsible TBs (if any) have to be sought and comments have to be taken into account.

### 4.6.1 Change Requests

Whenever an error or an inconsistency is discovered or when a new feature is proposed to be included, a Change Request is produced, normally by the one discovering the error but in consultation with the rapporteur and/or with the PT.



In the case of an essential error corrections, separate Change Requests for each affected major versions that is under TB Change Control or TB WG Change Control shall be produced.

In the case of a correction of a non-essential error, separate Change Requests for each affected major versions that is

- under TB Change Control and not yet frozen or
  - under TB WG Change Control
- shall be produced.

#### 4.6.2 Change Request forms

To ensure an appropriate and consistent way of presenting and documenting Change Requests, there exist standardised front covers (forms) for CRs as well as rules on how to accurately identify the modified parts of the specification.

The purpose of the CR form itself is to provide the relevant management information of the proposed changes, e.g. such as

- Target specification with its version number,
- Source of the CR,
- Reason for the proposed change and consequences if not accepted,
- Category of proposed change (i.e. correction, change request corresponding to an earlier phase change request, addition of feature, functional modification of feature, or editorial modification),
- Cross-phase compatibility aspects.

As the degree of acceptability for modifications differs between not yet frozen major versions of specifications and frozen major versions of specifications, the CRs differ on the allowed/possible Categories:

- CRs to a frozen major version of a specification can only be essential corrections whilst
- CRs to a not yet frozen major version of a specification can also fall into any other of the categories quoted above.

The actual CR forms to be applied and guidance how to apply them are distributed by the PT. The access to them is described in an annex of each TB plenary report.

#### 4.6.3 Contents of Change Requests

Although the CR form shall indicate the details of change, each CR shall have attached the pages of the specification that are affected by the CR, using the latest version of the major version. These pages shall have the proposed modifications clearly marked, by means of the word processor's "revision mode", i.e. new proposed text should be double underlined (xxx) and proposed deletions should be marked by strike through (~~xxx~~), and a bar in the margin should further indicate the change.

In case there are more than one independent CR to the same part of the specification, neither of them should contain the proposed modifications from the other(s), however any potential interaction between the modifications should of course be resolved before presentation.

#### 4.6.4 Handling of the Change Requests

##### Entry to the TB WG:

A proposed CR should be brought to the relevant TB WG or, if applicable, to the prime responsible TB SG in charge of the specification concerned and discussed there, before presentation to the TB. If possible it should be distributed, by the source, as soon as possible and prior to the coming TB SG / TB WG meeting to at least the rapporteur (if not the source) and the PT but preferably to as many 'key delegates' as possible, for the purpose of shortening discussions in meetings and to try at an as early stage as possible to come to a widely acceptable solution. Comments from secondary responsible TBs (if any) have to be sought and comments have to be taken into account before presentation to the TB for approval.

When the relevant TB WG decides to submit a CR to the TB for approval, the CR is categorised as strategic or non-strategic by the TB WG chairperson in agreement with the TB WG. Non-strategic CRs are submitted to the TB for approval without presentation; strategic CRs are submitted to the TB for approval with presentation.

To ease the work of the TB SG and of the PT, a proposed CR should be presented in a form suitable for TB SG agreement and TB approval. If a CR is not immediately accepted it is the responsibility of the originator to update the CR taking into account comments and other guidelines from the relevant groups, including change of reference version if needed, and to re-present it to the TB SG.

Note: It is also highly important that the originator of the CR provides the PT with an electronic copy since the contents is supposed to be incorporated into the specification, by the PT, and re-typing of CRs is clearly a waste of resources and a possible source of errors.

#### **CR identification:**

A CR can have different revisions: rev. 0, 1, 2, and so on. Revision 0 of a CR is the not revised CR. A given revision of a CR is applicable to a certain version of a specification. The CR identifies, to which specification, which version of the specification and which phase it applies. A given revision of a CR is uniquely defined by

- the specification it belongs to
- an alphanumeric string (the CR number) and
- the revision number (default, i.e. the value if no number is given, is 0).

One CR may only apply to one version of a specification, that is to the latest version of a major version. If more than one major version of a specification exists, it may be necessary to elaborate parallel CRs for different major versions.

The uniqueness of the CR number is on a per specification basis, but independent of the major version, i.e. CR No 001 [may] exist for each specification but only once.

The CR number is allocated by the PT. It may be allocated prior, during or after the TB SG meeting at which it is discussed but before submission to the TB. Even though different TB SGs have different working routines it is beneficial and thus recommended that CR numbers are allocated no later than at TB SG agreement.

CR numbers are unique and shall never be reused, not even numbers used for [early] rejected CRs.

#### **Impact on other specifications and Joint CRs:**

If the contents of the CR is such that isolated it makes the whole set of approved Specifications inconsistent, corresponding CRs must also be considered and produced. This shall preferably be carried out by the originator of the CR (and his/her colleagues in other TBs and TB SGs) in advance. The PT is co-responsible for identifying and communicating cross TB and cross TB SG impacts.

In principle, a CR shall not be forwarded to the TB unless the potential impact on other specifications have been thoroughly examined and concluded, either resulting in a 'No impact' statement or in a full and consistent set of corresponding CRs to all affected specifications. Such sets of CRs are normally combined in one single document, by the PT, before submission to all responsible TBs and called 'Joint CR'. An approval by all prime responsible TBs is necessary.

If some of the corresponding CRs are to be considered by other TB SGs or TBs then the PT is responsible for monitoring the result in the TB SGs and to submit the full set, when available, to the TB. This might mean that in some cases the TB SG agreed CRs are not presented to the immediately following TB meeting due to outstanding CRs from other TB SGs or TBs.

Other "consequential" CRs, needed for reasons other than direct consistency, may be drafted, presented and agreed independently. This covers typically additions to Test specifications and O&M specifications. It should be noted though that if a CR causes an inconsistency with an existing/approved test or O&M specification, the corresponding CRs should be presented together with the core specification CR.

#### **Handling of the CR in the TB:**

If the TB WG has agreed to a CR and comments from secondary responsible TB (SG)s have been taken into account, the CR is forwarded to the prime responsible TB for formal approval. It is the responsibility of the PT to make sure that TB WG agreed CRs are made available to the TB, and that they are properly formatted, numbered and consistent. Likewise, it is the responsibility of the PT to ensure that Joint CRs are complete and put together before submission to the TB(s).

Non-strategic CRs are submitted to the TB for approval without presentation; strategic CRs are submitted to the TB for approval with presentation.

The PT is responsible for making available to the TB summary lists of all CRs presented for decision. This list is then updated to include the result of each and every CR.

Note: This list is generated from the CR database held by the PT, see section 7.

#### Decisions on CRs, and results:

The TB considers and concludes on each strategic CR independently, except for Joint CRs which are handled and concluded together, and the verdicts could be as follows:

<u>Verdict</u>	<u>Meaning</u>
Approved:	Contents to be incorporated in the specification.
Postponed:	Concept of CR seems acceptable in principle but further refinements are necessary. CR is sent back to the TB-SG for revision and possible re-submission at a later TB meeting.
Rejected:	CR not acceptable in any sense. If further discussions on the subject should take place that shall be done on the basis of different documents and approaches.

Non-strategic CRs presented to a TB meeting are automatically accepted at the end of the meeting if no TB delegate requested discussion of the CR during the TB meeting. If at least one delegate requests discussion of a non-strategic CR during the TB meeting, the CR is presented to the meeting and further treated as a strategic CR.

If there is at least one Approved CR to a given specification, a new version number of the specification is allocated (see clause 4.2.3), and the PT will produce and issue a new version of the specification after the TB approval.

#### Control and notification of CR decisions:

- The PT makes available the list of non-strategic CRs presented to a TB meeting before the meeting to all heads of delegation.
- Towards the end of each TB meeting, the PT issues lists containing the detailed result of the CRs presented at the meeting, including information about the consequential new version numbers of the concerned specifications. These lists form an annex to the meeting report (and hence are part of a permanent document). These lists, being the evidence of which specifications have changed and how, are important management tools for both TB delegates and the PT since it always takes some time before the new versions of the specifications as such can be compiled and released.

**Databases:** See section 7.

#### 4.6.5 Updating and release of new versions of the specifications

After TB approval of one or more CRs, the PT produces a new version of the specification (with the version number incremented according to above).

## 5 Availability and distribution of specifications

The latest versions of TB approved and TB WG approved specifications are made available on a TB server (exact location see TB meeting report) by the PT. For specifications (or major versions of specifications) that are not yet under change control, the versions presented to the responsible TB-SG or WG, shall be made available to the PT by the rapporteur and made available on a TB server by the PT.

## 6 Work items

For project management purposes, the work is itemised in Work Items (WI), which are documented, developed and handled as described in this section.

The possible modifications of the specifications are basically of different natures:

- Error corrections; Modifications which correct overlooked errors or inconsistencies in the specifications.
- Enhancements; Modifications that enhance the system, e.g. by new services or features, or by improving performance or decreasing costs.

Modifications of the correction category are ongoing maintenance tasks and are handled with direct CRs and thus not by means of Work Items.

Modifications of the enhancement category are handled within the concept of Work Items as described in the sections below. Note that prior agreement of the TB is needed before any substantial work is launched.

### 6.1 Creation of a Work Item

When an enhancement of the standard is considered desirable a delegate or delegation can make a proposal by submitting a Work Item Description sheet to the relevant TB or TB WG.

- For new services, features or functions, the TB responsible for Services and System Aspects is the relevant TB. This TB also assigns prime and, if necessary, second responsible TBs for the corresponding work items.
- For pure performance enhancements, other TB WGs may be the responsible TBs (the test specifications are normally not seen as independent work items).

The relevant TB WG should study and refine the WI sheet before passing it on to the TB for adoption.

No substantial work shall commence in a TB WG prior to a decision of the responsible TB.

The actual WI description sheets to be used and guidance how to apply them are distributed by the PT. The access to them is described in an annex of each TB plenary report.

The TB shall not approve a WI unless the Work Item Description (WID) sheet has been properly filled in to the degree possible at that time.

Once the TB has approved the WI, it is included in the WI Status List and the WI Description sheet is included in the WID compilation. Both these actions are carried out by the PT. The WID should be updated as soon as new information is available.

The effects of the WI in terms of initial work distribution and responsibilities in the TB (WG)s must be identified and allocated. Also, one or more rapporteurs have to be identified for the initial tasks, typically one for the service aspects and one for the system requirements. This should preferably be done prior to submission to the TB, but in the worst case during the following TB (WG) meetings. This information is also included in the WI Status List managed by the PT. During the lifetime of the WI, additional responsibilities as well as output documents and corresponding rapporteurs can be identified. Similarly, this information is then included in the status list.

A work item normally implies the creation of new specification and Change Requests to existing specifications.

### 6.2 Type of Work Items

Modifications of the standard could in principle be of two different types:

- New services/features/functions that in general affects several specifications and several TB-SGs;
- Pure [technical] enhancements that affects a small number of specifications and TB-SGs only (generally only one).

Of these, modifications of the latter type can be submitted to the TB SG(s) and then TB directly as a Change Request without prior presentation/agreement of a WI Description sheet. Such CRs shall instead refer to the pseudo Work Item 'Technical Enhancements'. For the other type of modifications, the following sections apply.

### 6.3 Start and continuation of the work and responsibilities

An early task when elaborating a work item is to identify the tasks related to the WI and allocate those to the TBs and TB SGs.

In most cases the tasks from a WI can be split immediately in the following areas:

- Service requirements
- System/Architectural requirements and implications
- Protocol specifications

#### **Service requirements:**

The responsibility of the service requirements can usually be allocated immediately at the creation/adoption of the WI. Occasionally other groups may be given responsibility for the service requirements. This might be another TB-SG, e.g. a Task Force. In any case, however, it should be a single group and one that reports directly to the TB.

#### **System/Architectural requirements and implications:**

Also, the responsibility for system/architectural requirements should be allocated immediately, even though the implications and requirements normally will be seen only after the study on service/system requirements have been initiated. The responsibility for the system/architectural requirements must be given to a single body to guarantee the consistency of the adopted solution.

The choice of group should not [pre-]determine the technical choices and in many cases, the responsibility for system and architectural requirement study needs a widening of the competency and a readiness to look to a variety of technical aspects. This can be obtained either by drawing the attraction of the suitable experts (e.g., by setting special meetings or clear meeting dates) or by the organisation of joint meetings.

The overall consistency of the system architecture must be maintained along with the numerous modifications due to various work items. This responsibility is allocated to the TB SG on system/architecture (SMG 12) which for this purpose ensures the co-ordination of the development of general architecture concepts and their applications to individual Work Items, and should thus also draw attention and expertise from other TBs and TB SGs as well.

#### **Protocol specifications:**

The responsibility for the elaboration of the protocol specifications can in most cases not be allocated at the early stages since it depends on the technical implementation choices and hence on the results of the study of the service/system requirements as well as on the architectural conclusions.

The identification of new protocols to be specified and/or existing protocols to enhance will be derived from the system/architectural requirements. In general, modifications of existing protocols are done by the TB SG in charge of the protocol in question, whilst the responsibility for development of new protocols is allocated by the TB based on proposals from the TB SG on system/architecture. Then, whether the actual work is done in the TB SG itself or in an ad hoc subgroup thereof is at the discretion of that TB SG.

### 6.4 Realisation of Work Items

#### 6.4.1 Planning and categorisation of the deliverables (and control thereof)

##### **Planning:**

An initial time plan should be set up at an early point. As a basis, the time plan should include at least the following points:

1. Presentation for principle agreement of the service requirements;
2. Presentation for principle agreement of the architectural/system implications and requirements;
3. Presentation for information of the drafts of all needed deliverables,
4. Presentation for approval of all needed deliverables.

The time plane includes realistically achievable dates for each step and should be part of the Status List.

The WI Status List contains also information/lists about existing and planned permanent and semi-permanent documents related to the WI, e.g. future specifications as well as interim/temporary requirements "specifications", including the responsible TB SG/group, the rapporteur, the state of the documents, expected completion dates, etc.

#### **Categorisation:**

Before the substantial work on a Work Item starts, the WI shall be examined in the light of its technical and commercial dependency with respect to the existing specifications as well as with respect to other Work Items. Aspects that must be considered and settled at an early stage are:

- Required versus acceptable time scales;
- Whether the WI has an impact on Mobile Stations or not;
- Whether the WI has an architectural impact or not;
- To which degree the WI needs to be standardise (and hence how much can be left "open", to speed up the work);
- Whether the WI can be technically and/or commercially combined/grouped with other WIs;
- .....

Unless the above aspects are sorted out in the beginning of (or prior to) the work, the risk of getting inefficient and non-optimal specifications increases and the control of the work becomes difficult and unmanageable.

These aspects are also contained in the WI Status List.

#### **6.4.2 Choice of deliverables**

The WI will be realised as new specifications and/or amendments to existing specifications; the exact structure lies with the individual TB SGs and the TB. Typically, a new feature may result in at least three completely new specifications (Stages 1, 2 and 3) but also cause amendments to the major protocol specifications.

#### **6.4.3 Contents of deliverables**

##### **6.4.3.1 Service Requirements**

This task, allocated and controlled according to above clauses, consists in describing in details the aim of the work item, as seen by those for which a service is provided, e.g. end users, operators, service providers, etc.

Apart from the general rules on how to write specifications, certain state of the art ways of producing service requirements specifications are established in the TB, but as most new types of service differ in nature and structure from each other, no detailed rules are written.

In many cases it is preferred that prior to the actual service requirements specification being produced, an initial combined service and system/architectural requirements and considerations document is produced, involving both service oriented and implementation expertise. In particular when an ad hoc Task Force is charged with performing a study on a certain WI (aspect) such a starting point document is produced and then used as a basis for the TB SGs when carrying out the detailed work on service requirements/descriptions and technical realisation specifications. Such setting-the-basis documents are generally kept for some time after the actual work on the detailed specifications has progressed to a mature level (mainly for the purpose of easing the understanding and to shorten the interaction and negotiation period between service requirements and system/architectural and technical restrictions).

Such 'setting-the-basis' document can also be used to describe the project management of a work item (to collect all prepared but not yet approved CRs related to the WI in question and so on).

##### **6.4.3.2 Technical realisation specifications**

This covers both the overall architectural and interface specific detailed specifications. The architectural implications and requirements need to be identified at a very early stage, both for the purpose of knowing which parts of the

standard (and hence of the UMTS system) are affected by a WI, but also for the purpose of supporting the identification of cross-WI similarities (and hence more overall efficient solutions).

The overall co-ordination of the architectural/system requirements is with a single group as stated above, whilst the ensuing detailed protocol definitions and specifications may be distributed over several groups (according to their scope).

#### 6.4.3.3 Test Specifications

Changes to the core specifications may have impact on the test specifications. The corresponding changes to test specifications have to be approved before publication the new core specifications.

#### 6.5 Closing of Work Items

When all necessary modifications for a given Work Item (or group of Work Items) are completed all over the scope of the system, and all the corresponding new specifications and Change Requests have been approved and released, then the Work Item is officially closed.

### 7 Management documents and tools

This clause summarises and lists the various permanent or semi-permanent documents (and means of documenting).

All these documents/tools are within the responsibilities of the PT but are available to SMG delegates. They are made available on a document server (the exact location is published in each TB meeting report).

All data bases are in Microsoft Access format unless otherwise stated.

#### 7.1 Status List of Specifications

This list (data base) contains information about all SMG specifications, in terms of specification number, title, latest approved version, history on version numbers, rapporteur and some other details.

#### 7.2 Work Item Status List

This data base contains information about all SMG work items, in terms of identified future specifications, identified specifications to be amended, supplementary/temporary documentation, expected/planned completion dates and intermediary milestones, and other management information related to specifications, responsible TB Sub-Groups, rapporteurs, completion dates etc..

#### 7.3 Change Request data base

The Change Request data base records all CRs to specifications.

#### 7.4 Mailing lists data bases

The members data base contains information of all SMG delegates.

#### 7.5 Electronic tools used/preferred

For the various types of documents and parts of documents of SMG, a minimum variety of word processors etc. should be used. The following lists those tools to be used for documents:

Type	Tool(s)	Comments
Text	Microsoft Word 6 [to be discussed]	
Graphics	[to be defined]	
SDL, MSC,	Telelogic SDT	Rapporteurs can obtain, as a loan, this software from ETSI
TTCN	Telelogic ITEX	rapporteurs can obtain, as a loan, this software from ETSI [to be confirmed]

Databases	Microsoft Access 2.0 [to be discussed]	
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