

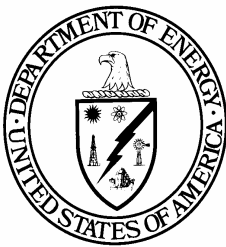
**U. S. Department of Energy**

**Office of the Executive Secretariat**

**Document Online Coordination System  
(DOCS)**

**Systems Configuration Management Plan (SCMP)**

**October, 1998**



**U. S. DEPARTMENT OF ENERGY**

**Assistant Secretary of Human Resources Administration**

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**Operations, Management, Systems Support, and Customer Service Groups**

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## **1. Introduction**

The Document Online Coordination System (DOCS) is a program that combines process improvement with applied technology to facilitate high-quality correspondence that is responsive, explains current policy, and contains a clear and timely message. The DOCS models the entire executive correspondence life cycle from receipt and assignment through response, concurrence, review, signature, dispatch, and records disposition. This Configuration Management Plan (CMP) will provide guidance in applying sound system-oriented Configuration Management (CM) principles to DOCS.

Configuration Management (CM) is a technical administrative discipline that will support DOCS development and maintenance by:

- Identifying the proposed or implemented (actual) configuration of DOCS at discrete points in time.
- Systematically recording and tracing changes to all system components throughout the life cycle.
- Providing tools and processes for controlling changes.
- Allowing everything with (and to) the system, throughout the life cycle of the system, to be verified via auditing and reporting methods and tools.

### **1.1. Purpose**

The purpose of this CMP is to provide guidance for establishing and implementing configuration management for DOCS. It will set forth the policy, procedures and processes used to accomplish systems CM for this project.

### **1.2. Scope**

This CMP is applicable to the entire DOCS project and all Participating Partners, Business Partners, Consulting Partners, and contractors for matters pertaining to DOCS configuration management.

### **1.3. System Overview**

#### **1.3.1. Background**

The Office of the Executive Secretariat has developed a corporate application, Document Online Coordination System (DOCS), to automate the full processing of documents requiring Office of Secretary signature or responses from Congress. The process includes the management, tracking and disposition of all incoming and outgoing documents addressed to or signed by the Secretary, Deputy Secretary, or Under Secretary as well as Congressional, White House, and National Security

Council documents received in or initiated by the Department. Because the disposition (routing) of the documents is accomplished online, DOCS has improved the timeliness and quality of the documents. It is also a tool that is used to focus on life-cycle document management. DOCS has proved to be cost effective by: (1) reducing manual distribution requirements; (2) providing a means to reduce paper reproduction; and (3) reduce onsite storage. It also has provided a tool for improving business processes.

A DOCS pilot test was conducted November 1996 through January 1997. Participating program offices included Executive Secretariat (ES), Defense Programs (DP), Energy Efficiency (EE), General Counsel (GC), Congressional, Public and Intergovernmental Affairs (CI), Policy (PO), and Chief Financial Officer (CR). The pilot evaluation was completed in March 1997. Results of the evaluation were implemented resulting in a revised DOCS.

System acceptance was conducted by the same pilot team. DOCS was accepted into production on October 9, 1997.

### **1.3.2. Functional Overview**

The data contained in DOCS provides active and historical data on departmental Executive Secretariat (ES) controlled documents, multiple categorizations of the types of documents, and document status information. It provides milestone information and enables daily monitoring of the documents. DOCS concurrently maintains over 286,000 active and historical folders. On the average 50 new items are received in DOCS on a daily basis.

### **1.3.3. System Description**

DOCS is a Windows-based, Graphical User Interface application. The system developed with commercial off-the-shelf software (COTS), PCDocs Docsopen, Watermark, and PCDocs Routing, contains data windows, queries, reports, and other objects to help users access information. It also launches WordPerfect 6.1 for processing documents. DOCS employs Microsoft SQL Server, ver 6.5, as the database engine. DOCS resides on an NT 4.0 server. It requires the use of a scanner to capture incoming and outgoing documents.

#### 1.3.4. System Architecture

A diagram of the system architecture is located in Appendix B.

#### 1.3.5. System Users

Over 100 headquarters users will access DOCS. The DOCS System Administrator will have full access rights within DOCS. All other user types will have specific access rights to individual modules and tables. Within each module, users will be allowed to perform specific functions and operations based on their rights.

### 1.4. Document Overview

This Configuration Management Plan (CMP) sets forth the policy, procedures and processes used to accomplish CM for DOCS. As the project matures, appropriate sections of this plan will require periodic updating. Updates will be reflected in a document change page and within the plan by a change bar in the outer margin of the text, adjacent to the updated information. (Note: change bars will only indicate those changes, that came into effect since the previous version of the document.) The CMP is organized as follows:

- **Section 1 - Introduction:** Describes the purpose of the CMP, the DOCS System Overview, the Document Overview, and the Referenced Documents.
- **Section 2 - Configuration Management Organization:** Describes the DOCS Project Organization, SCM Roles and Responsibilities, and the SCM Environment, which includes CMB organization and responsibilities, CM Policy and Procedures, and SCM Methodology and Tools.
- **Section 3 - Configuration Identification:** Provides a description of categories of CIs, CI Identifiers, Baseline Management, DOCS CM Libraries, and System Release.
- **Section 4 - Configuration Control:** Describes Change Control, the SCR , SCR Processing, the Change Tracking System, and Version Control
- **Section 5 - Configuration Status Accounting:** Discusses the process for collecting and reporting the status of CIs.
- **Section 6 - Configuration Audits and Reviews:** Describes the audits and reviews to be conducted on CIs and system components during the system life cycle.
- **Section 7 - Archive and Retrieval:** describes record retention and archiving.

- **Section 8 – Backup and Restore:** describes the procedures for backing up and restoring of data.
- **Section 9 – Records Collection and Retention:** describes record collection and retention procedures.
- **Section 10 - Sub-Contractor and Vendor Control:** describes sub-contractor and vendor control roles in configuration management.
- **Appendix A – DOCS Configuration Management Board Charter:** establishes the Configuration Management Board.
- **Appendix B – DOCS System Configuration Drawings:** contains system architecture drawings.
- **Appendix C – Software Change Request:** contains a sample of the System Change Request Form and a sample of the User's request for a SCR form.
- **Appendix D – Software Change Request Log:** an example of the System Change Request Log that tracks System Change Requests.
- **Appendix E – Help Desk Procedures:** describes the help desk policy and procedures.
- **Appendix F – Acronyms and Abbreviations:** Contains a list of abbreviations and acronyms users throughout this Configuration Management Plan.
- **Appendix G – Configuration Library:** contains a copy of the software and hardware configuration items.

## 1.5. Referenced Documents

This paragraph identifies the documents used in developing the DOCS CMP.

### 1.5.1. Government Documents

*Department of Energy Software Engineering Methodology*, March 1996

### 1.5.2. Non-Government Documents

*DynCorp Software Configuration Management-Implementing Procedures*, March 1997

*Software Engineering Institute Capability Maturity Model for Software*, Version 1.1

### **1.5.3. Documents Reviewed**

DOE-STD-1073-93-Pt. 1 and Pt. 2 Department of Energy Standard, *Guide for Operational Configuration Management Program*, November 1993

*DOE Headquarters Software Configuration Management Guide*, March 1991

IEEE Std 838-1990, IEEE Standard for Software Configuration Management Plans



## **2. Configuration Management Organization**

### **2.1. Project Organization**

The Office of the Executive Secretariat in conjunction with the Office of Information Management – Customer Support (HR-44) is responsible for ensuring the DOCS system development and maintenance is managed and performed in the most efficient and proficient manner. HR-44 has identified a Program Manager/Technical Monitor. The Department's project organization also includes the DOCS System Owner, DOCS System Administrator, and Partnering Program Offices.

The support service contractor is responsible for performing DOCS system development, and has identified a DOCS Project Manager. Project organization also includes the DOCS Senior Technical Manager, the DOCS Configuration Management (CM) representative, and the DOCS Quality Assurance (QA) representative. DOCS Configuration Management (CM) and Quality Assurance (QA) are supported by the contractor's Information Management department Quality Improvement Organization.

### **2.2. Configuration Management Authority**

The authority for the implementation of the DOCS configuration management practices is derived from the Office of the Executive Secretariat. The application of these practices and procedures will ensure each system change proposal meets program objectives, and is necessary or offers a significant benefit.

### **2.3. Configuration Management Roles and Responsibilities**

DOCS configuration management (CM) is responsible for all aspects of CM performed on the project. A CM Representative is assigned to ensure that all CM functions described in this plan are established and performed in a timely manner, and that CM standards and goals are attained within the framework of the Software Engineering Institute Capability Maturity Model (SEI CMM). DOCS CM operates under the premise that the proper amount of CM to be applied to the project is the least amount necessary to do the job. Therefore, CM responsibilities may be performed by project personnel as a collateral duty in conjunction with their primary assignments in order to make more effective use of resources. The CM Representative will be responsible for training DOCS personnel to ensure that they acquire sufficient CM expertise to accomplish any CM-related tasks assigned them.

Table 1-1 on the following page lists each supporting group and their CM roles and responsibilities.

<b>Organization</b>	<b>Roles and Responsibilities</b>
<b>CM</b>	<p>Coordinates CM tasks and activities.</p> <p>Ensures security and integrity of CM controlled systems (hardware, software, documentation, COTS, Networks, libraries).</p> <p>Maintains records, databases, and libraries (repositories) to ensure compliance with CMP.</p> <p>Develops and maintains tools that support CM policies and procedures (checklists, sign-off sheets, training material, inventories).</p> <p>Identifies and controls CIs; implements CMB-directed changes to baselined code, and documentation.</p> <p>Assigns CI Identifiers to all system elements.</p> <p>Generates CM reports.</p> <p>Supervises project team members in implementing and maintaining CM activities.</p> <p>Ensures subcontractor and vendor compliance with CMP.</p> <p>Performs and supports audit and review activities.</p> <p>Provides CM-related training to project team members.</p>
<b>CMB</b>	<p>Reviews and approves all DOCS proposed changes.</p> <p>Reviews and approves the contents and establishment of baselines and system releases.</p> <p>Reviews and approves audit reports; monitors reviews, inspections and walk-throughs.</p> <p>Coordinates and approves interface establishment and changes</p>
<b>DOE Project Management</b>	<p>Allocates CM resources.</p> <p>Addresses CMP non-compliance issues.</p> <p>Reviews CM activity status.</p> <p>Participates as CMB Chair.</p> <p>Resolves CM issues.</p>
<b>Development Team</b>	<p>Addresses various aspects of development, including documentation, code, training, COTS and hardware.</p> <p>Identifies CIs and CI updates and modifications, submits baseline updates.</p> <p>Participates in the configuration control process.</p>
<b>Subcontractors/Vendors</b>	<p>Identifies CIs and CI updates, submits to CMB.</p> <p>Participates in the configuration control process.</p> <p>Complies with CMP requirements.</p>
<b>Librarian</b>	<p>Maintains controlled code, documentation, and requirements.</p> <p>Maintains copies of system documentation.</p> <p>Organizes system releases in conjunction with CM Representative.</p> <p>Maintains distribution lists for document changes/release notices.</p>

**Table 1-1**

## 2.4. Configuration Management Environment

The DOCS Configuration Management environment is a term that describes the total of CM activities, software, hardware and network configurations, COTS, tools, operations and elements within the DOCS project. As with any project, planning is the glue that helps ensure successful CM program implementation through accurate identification, accounting, control, and audit processes.

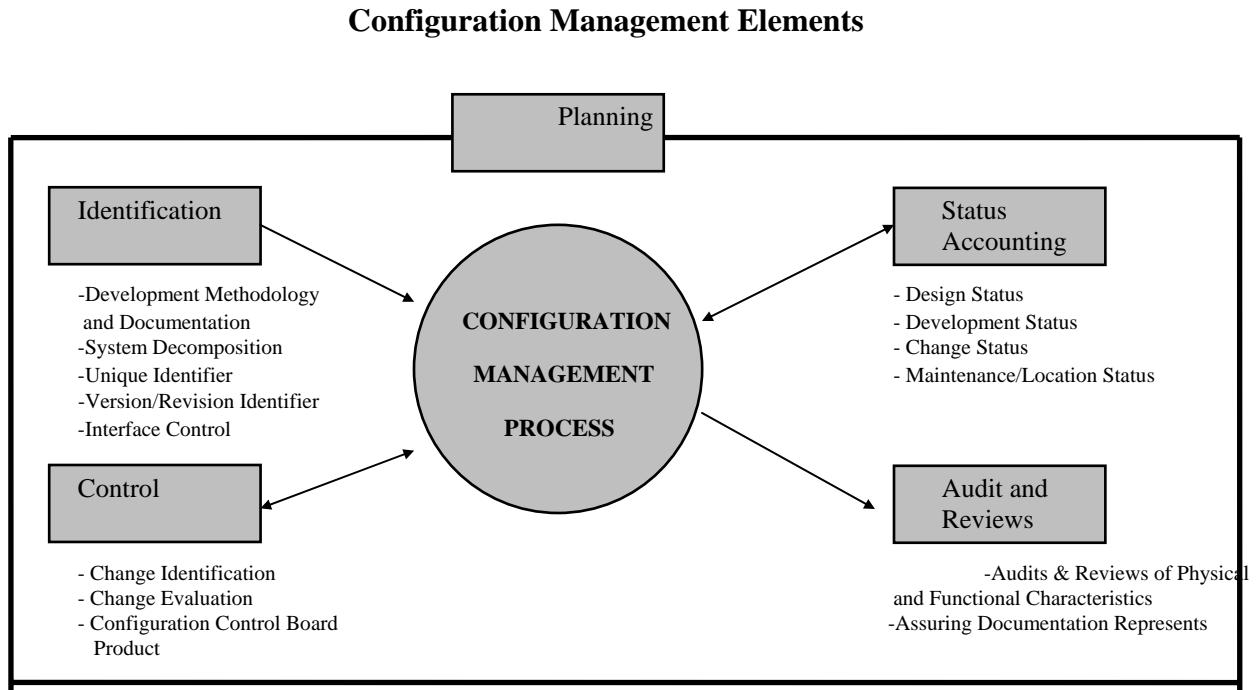


Figure 1-1

### 2.4.1. Configuration Management Board (CMB)

The DOCS Configuration Management Board will be established to: (1) exercise change control over the DOCS baseline and its components; (2) approve DOCS requirements and changes thereto; (3) approve Standard Operating Procedures; (4) approve the DOCS Project Plan; and (5) approve all System Change Requests classified as Type 1, Work Stoppage. The CMB is responsible for informing the Department of Energy Headquarters Information Management Configuration Control Board (HQ IM CCB) of any DOCS hardware/software configuration changes that impact the current HQ configuration standards and/or affect other organizations.

The CMB will consist of two types of memberships:

- Standing Configuration Management Board Members.

- Non-Standing Configuration Management Board Members.

#### 2.4.1.1. Standing Configuration Management Board Members

Standing configuration management board members will consist of representatives from the DOCS functional areas. These members will have voting privileges.

Configuration Management Board Members	Status	Description
Configuration Management Board Chairperson	F	Representative(s) from the Office of Information Management - Customer Service (HR-44) and/or the Office of the Executive Secretariat (ES)
Program Manager/Technical Monitor	F	Technical monitor assigned by the Office of Information management for the DOCS task.
Project Technical Manager	C	Project manager assigned by the support service contractor for the DOCS task.
Senior Technical Manager	C	Senior technical manager assigned by the support service contractor for the DOCS task.
DOCS System Administrator	F	Representative(s) from the Office of the Executive Secretariat.
Partnering Organization System Manager	F	Representatives from the “One Stop” offices interest authority to obligate funds and to delegate workflow process procedures.  Note: The offices represented on the CMB are usually those offices that participated in the pilot as well as offices with vested interest such as a sub-program within DOCS or a “son of DOCS”(i.e., IDRMS HRDOCS). In addition to the role and responsibilities of a Partnering Organization System Manager, the latter also retains the role and responsibilities of a Library Owner.
Configuration Management Board Secretary	F/C	Appointed by the CMB.

(F)ederal (C)ontractor

#### **2.4.1.2. Non-Standing Configuration Management Board Members**

Non-standing configuration management board members will be representatives of areas not normally included in the normal membership, but whose specialized knowledge of a support or functional area is essential for enhancement of the decision process. These members do not have voting privileges.

#### **2.4.1.3. CMB Roles and Responsibilities**

The CMB reviews and approves all DOCS proposed changes; reviews and approves the contents and establishment of baselines and system releases; reviews and approves audit reports; monitors reviews, inspections and walk-throughs; and coordinates and approves interface establishment and changes.

The following are CMB roles and responsibilities:

**CMB Chairperson** responsibilities include, but are not limited to:

- Acts as final authority for CMB decisions.
- Presides at each CMB meeting, or designates an alternate.
- Approves the CMB agenda.
- Reviews each agenda item; gathers member votes and recommendations; determine change impacts; assigns priorities and due dates; makes disposition determination.
- Reviews and approves CMB minutes prepared by CMB secretary.
- Schedules change implementation.

**CMB Member** responsibilities include, but are not limited to:

- Attends each CMB meeting, or sends an empowered representative.
- Reviews agenda items prior to meeting; determines impact of proposed actions; indicates vote and recommendation to Chair.
- Recommends priorities and due dates.
- Monitors progress on items assigned by Chair.

- Analyzes proposed problem solutions prior to CMB voting on the status of a system change.
- Reviews CMB minutes.

**CMB Secretary** responsibilities include, but are not limited to:

- Prepares and distributes CMB agenda, after Chair approval, to CMB members.
- Presents each agenda item to CMB at meeting.
- Records all CMB actions in CMB minutes; have Chair approve the minutes.
- Enters any relevant CMB actions into Change Tracking System.

#### **2.4.2. Interface Control**

DOCS internal and external interfaces will be identified, developed, and documented by the development team and controlled by the Configuration Management Board. All System Change Requests (SCRs) will be analyzed for potential impact on interfaces.

Should interface impact be determined, the Configuration Control Board will invite representatives of those effected interfaces to participate in CMB decisions for implementation. If the decision to make the proposed change is affirmative, it will have been made only through the concurrence of those representatives.

#### **2.4.3. Configuration Management Policy and Procedures**

DOCS Configuration Management policy is to provide configuration management services to the project consistent with current DOE requirements and guidelines, as defined in this plan and associated procedures. This configuration management plan and supporting procedures are written in compliance with current DOE guidelines.

Deviations from the DOCS CMP and procedures may only be made with the permission of the DOCS Configuration Management Board. Configuration management procedures will accompany the CMP to provide step-by-step guidance for accomplishing Configuration Management. Configuration management will be used to invoke the required discipline for ensuring compliance with project requirements and to ensure the integrity of DOCS products.

#### **2.4.4. Configuration Management Methodology and Tools**

The DOCS configuration management methodology is prescribed within this plan and associated procedures. Configuration management will use tools derived from the Microsoft Office suite to create repositories and libraries that minimize the assignment of personnel, but still accomplish their mission. Later in the project, when and if automated tools might become necessary, migration will be accomplished. Tools will be assigned an identifier and tracked as part of the configuration management environment.



### **3. Configuration Identification**

Configuration Identification includes: (1) selection of Configuration Items (CIs); (2) determination of the types of configuration documentation required for the CIs; (3) issuance of numbers and other identifiers affixed to CIs, technical documentation that describes the CIs, documentation and software versions and/or releases, internal and external interfaces; and (4) establishment of configuration baselines.

#### **3.1. Configuration Items (CIs)**

Configuration Items are defined as an aggregation of hardware, software, or firmware, or any of its discrete portions, which satisfy an end use function and is designated for configuration management. CIs. include:

- Software Configuration Items (SWCIs).
- Hardware Configuration Items (HWCIs).
- System/Sub-system level CI's .
- Documentation Configuration Items (DCIs)

DOCS Configuration Items, which include COTS and telecommunications equipment and software, are identified, selected, documented, and controlled. A unique identifier is assigned to each CI for tracking and status accounting purposes. After CIs are identified, pertinent information is recorded within a Configuration Management Repository. CIs are organized and documented to describe their functionality, their system relationships, and their physical characteristics.

DOCS COTS configuration items are commercially produced products acquired from a vendor, and are tracked as either SWCIs or HWCIs, as appropriate. All COTS CIs are assigned identifiers by configuration management. Normally, there is little change activity associated with COTS, unless the vendor identifies a change. These changes will be implemented by direction of the Configuration Management Board. However, some COTS software is commercially acquired with the intention of modification to change some functionality. This software will be treated and tracked as controlled software. As changes are approved by the Configuration Management Board and implemented, CM to reflect their status as new versions of the SWCI will track them.

##### **3.1.1. Software Configuration Items (SWCIs)**

Software Configuration Items (SWCIs) are configuration items for computer software. Since DOCS is an integration project consisting of non-modified and modified COTS software, all DOCS SWCIs are derived from COTS. DOCS SWCIs will be identified and assigned an identifier by configuration management.

They will be placed on a CI list in the Configuration Management Library and tracked as they are developed and changed. The original COTS software, prior to modification, will be internally tracked as Version 0. As modifications occur, and are approved by the CMB, the version number will roll to Version 1.0 when baselined by the Configuration Control Board. Changes are controlled after baselining, and are only implemented by CMB direction. Un-modified COTS software will be tracked within CM under its commercial version number.

The following is a list of software SWCIs that will be maintained during the production phase.

- **COTS Products** will follow the naming convention of its commercial version number.
- **SQL Database Tables** used with the DOCS database design are outlined and described in the appendixes of the DOCS Programmer System Maintenance Directory,
- **Documents** will include all scanned items and word perfect documents.
- **Userids and Passwords** will be created and maintained on the LAN by the DOCS System Administrator and Senior Technical Manager.

### 3.1.2. Documentation Configuration Items (DCIs)

DOCS II system documentation is also considered as CIs. As a document is developed and accepted by the client, it is placed under configuration control by CM and stored in a secure electronic and physical library. If the system evolves changes that effect documentation, the documentation changes must be approved by the CMB, and implemented by CM as directed.

The following is a list of DOCS II system DCIs that will be maintained during the production phase.

- **DOCS Design Document** contains the detailed proposed system design, based on the required system functionality. It includes the database table structures, and defines the attributes of all data items that are contained within the tables.
- **DOCS User System Reference Manual** serves as a step-by-step DOCS user guide.
- **DOCS Programmer System Maintenance Directory** is a technical reference guide for the DOCS development team (programmers).

- **Documented Source Code** contains source code for any program developed outside of the COTS applications associated with DOCS.

### 3.1.3. Hardware Configuration Items

DOCS Hardware Configuration Items are equipment that requires its configuration status to be tracked. Each unique item of equipment, such as computers, workstations, printers, scanners, etc., is tracked to capture the correct configuration. Changes are controlled, and approved by the Configuration Management Board.

### 3.1.4. System/Sub-system Configuration Items

Several System/ Subsystem level configuration items have been selected for DOCS. These are high-level CI's which break down to lower level hardware, software, and possibly documentation CIs. The Configuration Management Board controls these changes as well.

## 3.2. Configuration Item Identifiers

Configuration Item Identifiers are a means for applying a unique number to Documentation, Hardware, or Software CIs. The following tables show how a unique number is developed for each project CI.

### 3.2.1. SWCI Identification Numbers

Table 3-1 shows an example of creating SoftWare CI identifiers

Field Name	Field Location	Example
CI Type Identifier	Positions 1-2	SW; HW;SYS;DO
CI Number	Positions 3-5	123
Type of CI	Position s 6-8	V01

**Table 3-1**

Therefore, the identifier for a SWCI would be SW123V01; the identifier for a HWCI would be HW456V01.

### 3.2.2. Software Release and Version Identifiers

Table 3-2 shows an example of creating CI identifiers for SoftWare Release and Version control

Field Name	Field Location	Example
Project Identifier	Positions 1-4	DOCS
Program Descriptor	Positions 5-8	APPS
Version and Release Number	Positions 9-12	V1R1

**Table 3-2**

Therefore, the identifier for Version 1, Release 1 of a DOCS Applications program would be DOCS-APPS-V1R1.

### 3.3. Baseline Management

A baseline is an agreed-on point of departure, after which any change must be communicated to all parties involved. It is a CI, or a collection of CIs reviewed, agreed upon, or designated at a given point in time. Baselines may be formal or internal. All baselines, however, are managed, so that their status is always known.

#### 3.3.1. Formal Baselines

The only formal baseline for DOCS is the Production Baseline, which was established at the time of acceptance, October 9, 1997. After the acceptance of DOCS, the DOCS Development Team established a Functional and Physical Configuration Audit (FCA/PCA). The results of that audit are reflected in this document as the DOCS Production Baseline. Functional and Physical Configuration Audits (FCA/PCA) are conducted when a major revision to the DOCS system is required or as the Configuration Management Board deems necessary.

#### 3.3.2. Internal Baselines

Internal baselines can be established at any time at the discretion of Project Management for reasons such as temporarily freezing activity for a specific purpose. Examples could be requirements baselines, design baselines, test baselines, etc. An internal baseline is a baseline of convenience, a point at which the Development Manager wishes to freeze development or change activity temporarily. When this occurs, configuration management will hold all proposed changes until such time that the Development Manager directs the activity to be renewed.

### **3.4. DOCS Configuration Management Libraries (Repositories)**

The CM Representative will establish one or more controlled electronic and/or physical configuration management libraries (repositories). The libraries will be created using existing project tools and will contain various DOCS elements that need to be retained in a secure environment. Project and DOE personnel will be granted various levels of privileges for accessing libraries, as determined by the CMB. Appendix F contains the configuration library.

#### **3.4.1. Physical Library**

Configuration management may establish a Physical Library in which master copies of documents and media will be retained. The DOCS Physical Configuration Management Library will be located, at least initially, within the Configuration Management Representative's office space at Forrestal. A "backup" physical library will be located offsite in the L'Enfant Plaza building. A HR-44 representative will be responsible for providing a secure environment to retain copies of all documents and media.

The Configuration Management Representative will obtain master copies of all project documentation, assign an identifier to them, and place them in secure storage. As changes to these documents occur, the Configuration Management Representative, as Librarian, will implement those changes directed by the Configuration Management Board, revising the documents as directed. An electronic Library List will be maintained with updates on a periodic basis, and published in the DOCS domain. The Library List will show the complete contents of the Physical Library, and include a provision that identifies additions or deletions since the previous list. The Physical Library, like all configuration management libraries, is subject to periodic Software Quality Assurance (SQA) audit.

Project personnel may obtain temporary custody of a loaner version of the document from the library, or request a permanent copy. Library procedures will be developed and implemented by configuration management.

### **3.4.2. Electronic Library**

CM will establish Electronic Libraries (repositories) for purposes of maintaining project information in a secure environment. The various libraries will contain current and historical project data that will create a comprehensive audit trail of system evolution. Types of electronic libraries are:

- A Requirements Traceability Matrix.
- A Configuration Index of all DOCS CIs.
- A Documentation Library.
- A Training materials repository.
- A System Release repository.
- An SCR Tracking System.
- A library for any internally developed code.

CM responsibilities include, but are not limited to:

- Establishing the physical library facility in a secure environment.
- Establish a CM directory on the DOCS servers.
- Establish a numbering system for all items in the library.
- Create and maintain a library log.
- Remove and archive documents as revisions are made.
- Make copies of master documents and store them in accordance with the Disaster Recovery Plan.
- Prepare the library for SQA audits as directed.

### **3.5. System Release Management**

System Release Management describes a configuration management action whereby a particular version of DOCS is made available for a specific purpose (e.g. test, operations). Prior to a particular version of software being used by the project, CM must release it. CM will only release new versions of the system by direction of the CMB.

When a release is needed, CM will put together the updated software modules, reflective of all approved changes that are ordered to be included within the new release, and make it available. Descriptive documentation detailing the contents of the release, including approved changes incorporated will accompany the release. CM will then retain a copy of the release in a release repository.

## 4. Configuration Control

Configuration Control is the formal process of managing changes to the system. It is focused on identifying changes to a baselined configuration of hardware, software, or documentation; and managing the manner in which proposed changes are processed from inception to ultimate disposition. Configuration Control is manifested through a Change Management system, which will be described in this section.

### 4.1. Change Control

Change Control is the main function of the Change Management Process. The Change Management Process is the systematic evaluation, coordination, development, approval or disapproval; and implementation of changes after the establishment of a baseline. Changes are managed from their inception to final resolution to ensure that a standard repeatable process is maintained for handling proposed changes and to ensure that unauthorized changes are not introduced into a controlled baseline. The vehicle for submitting proposed changes to the approved DOCS baseline is the System Change Request (SCR). Configuration management uses a Change Tracking System to record the progress of a change as it proceeds through the change cycle.

It should be noted that the DOCS System Administrator is responsible for ensuring the DOCS lookup tables are current at all times, and will be required to update these tables upon occurrence. Although this is considered a change to the current baseline, this type of change will not be processed through the formal change control procedures described in this section. The DOCS System Administrator will complete an SCR for each change for record maintenance.

#### 4.1.1. System Change Requests (SCRs)

SCRs will be classified as being one of the following types:

- **New Requirement** – A new requirement is defined as an item requested to be added to the current configuration.
- **Requirement Change** – A requirement change is defined as a change to the configuration that is necessary to fulfill a requirement.
- **Design Change** – A design change is defined as an item that alters the original design of the system (i.e. adding an additional server).
- **Other** – An other change is defined as revisions to other related changes of the current baseline system as a result.

Appendix C contains an example of the System Change Request Form.



#### 4.1.2. System Change Request (SCR) Priorities

SCR priorities are classified as being one of three types. Any SCR maybe upgraded or downgraded, but only upon CMB approval.

Type	Description
1	Work stoppage
2	Application revision within 3-6 months
3	Application upgrade within but no-later-than 12 months

#### 4.1.3. SCR Processing

DOCS users, the Office of the Executive Secretariat, and project personnel may submit a proposed request for changes. All proposed request for changes will be submitted to the DOCS System Administrator on the DOCS User Request for Software Change Form. The DOCS System Administrator will:

- Review the DOCS User Request for Software Change form.
- Forward to the appropriate Configuration Management Board members for initial approval.
- Complete a System Change Request if the change has been initially approved.
- Enter the SCR on to the SCR Log.
- Forward the SCR to the Project Manager.

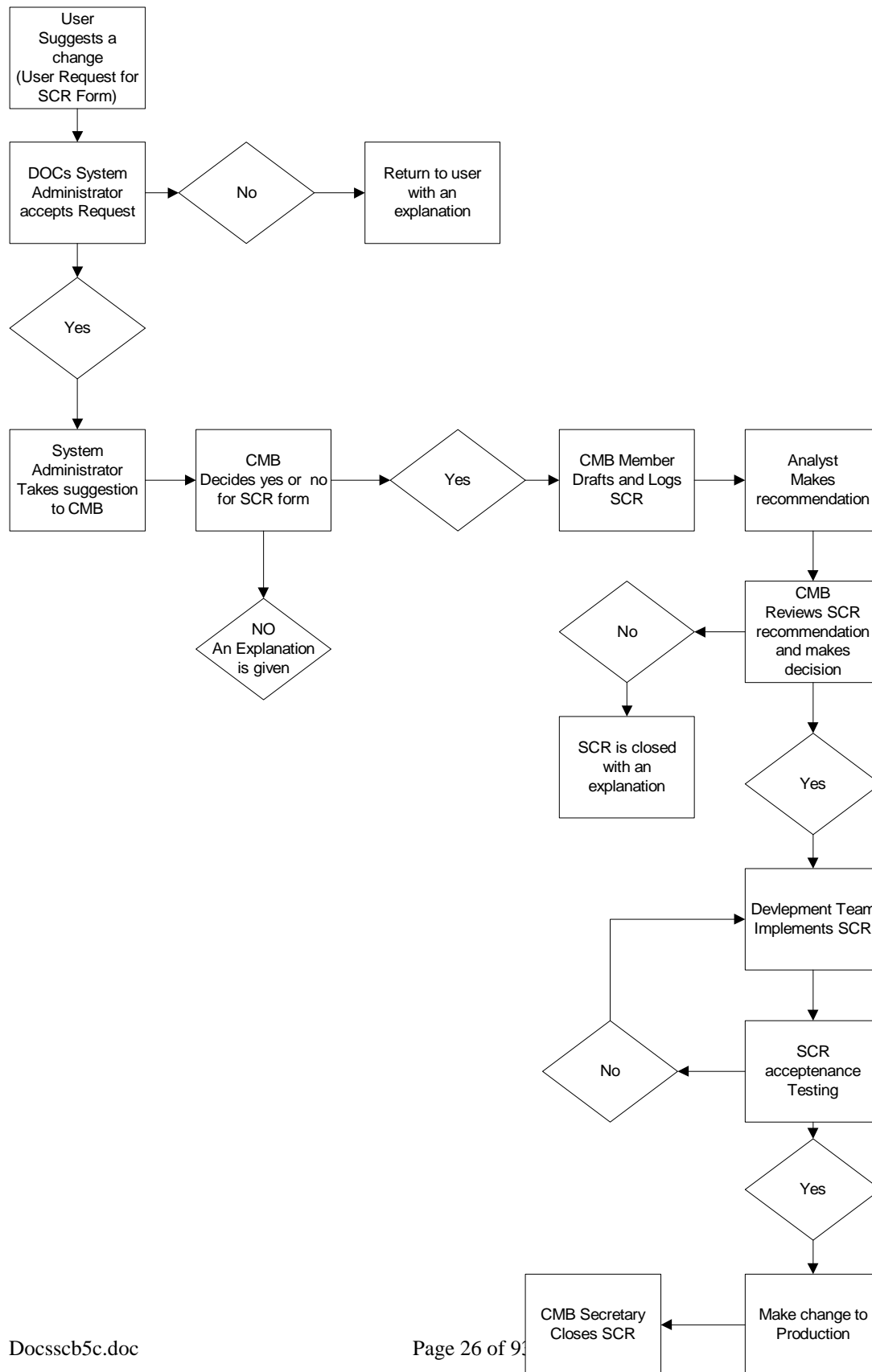
The Project Manager will:

- Review the SCR.
- Provide a detailed estimate of resources and costs associated with the change.
- Submit the SCR with estimates to the Configuration Management Board for final approval.

Appendix C contains an example of the DOCS User Request for Software Change form.

The diagram on the following page depicts the SCR Process.

## SCR Process Model



#### **4.1.3.1. Roles and Responsibilities of SCR Processing**

##### **CM Responsibilities:**

- Collect all SCRs submitted.
- Screen the submitted SCR to ensure all required information is complete; if not return it to form
- Originator for missing information.
- Assign an identifying number to the SCR. Enter SCR into SCR into the Change Tracking System (CTS).
- Schedule SCR for CMB review.
- Record CMB decision for SCR.
- Monitor SCR implementation, if approved.
- Close SCR when implemented or rejected.
- Ensure SCR is included in Configuration Status Accounting System and Configuration Accounting Report.

##### **User Responsibilities:**

- Submits a request to the System Administrator

##### **System Administrator Responsibilities:**

- Reviews and submits request to CMB

##### **SCR Originator Responsibilities:**

- Obtain SCR form, enter all pertinent information.
- Submit to CM.
- Be available for questions when SCR is reviewed at CMB meeting.

## **CMB**

- Review SCR in CMB change package.
- Attend CMB meeting; Members provide accept/reject/rework recommendation to CMB Chair.
- Assign SCR to analyst for proposed solution.
- When analyst returns solution, prepare impact analysis.
- Provide impact analysis and recommendation to accept/reject/rework to CMB Chair.
- Support for SCR implementation as approved for SCRs as needed.

## **Analyst**

- Analyze assigned SCR determine scope of problem.
- Supply status updates to CM as needed.
- Provide proposed solution.
- Submit to CM for review.
- Support CMB by attending meetings in the case of questions or redirection.
- Support SCR implementation as directed.

## **4.2. Software and Documentation Problem Reporting**

When a user experiences a problem with DOCS or supporting documentation and is unable to troubleshoot the problem, the user will be instructed to contact his/her AOSS support staff for assistance. If the AOSS support staff determines the problem is a DOCS functional problem, the AOSS support staff will contact the DOCS Help Desk. The DOCS Help Desk support staff will analyze the problem and if found that DOCS is not performing correctly, the problem will be categorized as one of the following. Appendix E contains Help Desk Procedures.

- **User-related.** The problem is a result of the improper use of the system by the user. A user-related problem will be addressed immediately.

- **System-related.** The problem is a result of an error within the system (e.g., the application software, the telecommunication software, hardware failure/malfunction). Generally system related problems are classified as Other with a Type 1 priority, and will be addressed immediately. All system support documentation will be corrected promptly.

#### **4.3. Change Tracking System**

CM will establish a Change Tracking System (CTS) for tracking status of SCRs that will be available to all project personnel. Within the CTS all SCR status information will be noted for all SCRs.

- SCR number.
- Originator.
- Date of origination.
- Date of initial review.
- Initial Configuration Management Board Date.
- Assigned analyst.
- Proposed solution date.
- Date of second CMB review.
- CMB decision (accept, reject, rework).
- Proposed implementation date, and remarks.

Configuration management will maintain the configuration tracking system by inserting relevant information, as it becomes available.

#### **4.4. Version Control**

A version is an identified body of software and documentation. It is the initial release or re-release of a software configuration item. When a body of software is generated to satisfy a specific purpose, all component parts are identified at the level at which it exists at the time of release. The totality of that software release is called a version. The version is documented in the form of a Version Description Document (VDD), which accompanies the release. As a system matures, the baselined software is inevitably changed to accommodate problem fixes or new capabilities.

The Configuration Management Board has the responsibility of approving the release of a new version and its contents. When a new version is released, CM will maintain copies of all superseded software versions for purposes of an audit trail or for the possibility that an older software version might need to be regenerated.

The process of generating new software versions and maintaining control of older versions is called Version Control. Version Control will be in effect after establishing a baselined coded system.

#### **4.4.1. Software Version Release Methods**

Since DOCS is based on integrated COTS software applications, the major version releases will be dependent upon the respective vendor's software release. The design of DOCS allows for each component of DOCS to be replaced independent of one another. For example, the Watermark Imaging can be replaced without replacing Routing, PCDOCS, or any other DOCS application. It is the intention of the DOCS CMB to remain as current as possible with the vendors' software releases and at a minimum of one version behind the current version available from the vendor.

#### **4.4.2. Production Phase Change Releases**

##### **4.4.2.1. System Modification**

Once the baseline for DOCS has been established, modifications to the system may be identified to further streamline the DOCS automated support of program operations. The modifications will involve changing the way in which the system supports existing functions. Examples of system modifications include, but are not limited to, the following:

- Changing the wording of an error message on a window.
- Deleting a display field from a window.
- Modifying the sequence in which columns of data appear on a report.

##### **4.4.2.2. System Enhancements**

Once the baseline has been established, additional system functionality that would improve the DOCS automated support of program operations may be identified. This type of change is referred to as an enhancement. System enhancements generally require a larger level of effort than for system modification. They are also planned and scheduled. Examples of system enhancements include, but are not limited to the following:

- Providing one or more additional standard reports.
- Development of an application outside of COTS to improve performance of a DOCS window.

#### **4.4.2.3. Software Modification and Enhancement Release Methods**

All changes to the existing DOCS baseline will be made by the DOCS development team in the DOCS test environment. All changes resulting from system problems, system modifications, and/or system enhancements will be fully tested by a designated member of the development team. Changes will then be tested and approved by the DOCS System Administrator or a designee before being moved into the DOCS production environment.

The software release method will be determined by the category of the SCR. One or more of the following methods will be employed depending on the conditions of the SCR and the preference of the CMB.

<u>SCR Type</u>	<u>Description</u>	<u>Technical Term</u>	<u>Release Method</u>
1	Immediate	Continuous Cutover	Changes to a baseline system are implemented continuously upon occurrence.
2	First Availability	Block Release	Changes are put into the baseline as a group, when warranted by the size of the group.
3	Monthly	Block Release	Changes scheduled to be placed into the baseline as a group at the end of the month.

Other software release methods that may be employed are as follows:

Periodic Update	Baselines are revised in response to a regularly scheduled review performed to identify any required changes.
Phase Approach	A large change is divided into manageable subtasks that are implemented sequentially to minimize disruption to the baseline.

#### **4.4.2.4. User Notification of Changes**

All DOCS users will be notified of system modifications and/or enhancements as well as any effects the changes may have on the use of the system. Changes to the system can vary. The DOCS System Administrator will identify those changes that will require user training.

The method of communicating the change will vary with the degree of the change.

- **Minor Change** is typically communicated to the users by the DOCS System Administrator.
- **Moderate Change** is communicated to users by the DOCS System Administrator through a memorandum accompanied by the amendment page and change pages, which are provided by the support service contractor.
- **Major Change** is communicated to users by the DOCS System Administrator through the distribution of a completely updated document.

#### **4.5. Network CM**

CM will be established for networks for DOCS by establishing and recording the approved network configuration(s) and exercising configuration control of changes through CMB actions.



## **5. Configuration Status Accounting**

Configuration Status Accounting is the recording activity that addresses on the results of other CM activities. It keeps track of the current system documents, the current configuration of the software (and hardware), the status of changes being reviewed, and the status of implementation of approved changes.

### **5.1. Configuration Status Accounting Process**

Configuration Status Accounting is a management information system DOCS will use to ensure that all configuration items, baselines, procedures and processes are managed and controlled. It is defined as the recording and reporting of information needed to manage CIs effectively.

A configuration status accounting process will maintain the following information.

- Record of the approved documentation and configuration identifiers.
- Status of proposed changes to the configuration.
- Status of approved changes.

Configuration management will create a repository, and extract the information needed in the form of a report.

### **5.2. Configuration Status Accounting Report (CSAR)**

The Configuration Status Accounting Report is the report, issued periodically, which shows the status of the system. Configuration management retains a record which:

- defines each CI.
- records the configuration of each CI as it becomes operational.
- tracks implementation of approved changes into the documentation and the CIs .

Through the CSAR, managers can trace the evolution of the baselined documentation from their current status back to their original baseline status. The CSAR begins by identifying each CI by name and configuration identifier. The baselined documents are listed in the following order:

- Implemented change by SCR number, CMB approval date, and implementation date.

- Pending change which is approved, but not yet implemented by SCR number and CMB approval date.
- Status of SCRs that are submitted, but not yet approved, will be added.
- Records of testing activities status and problems detected during test.

## **6. Configuration Audits and Reviews**

Configuration Audits determine to what extent the as-designed/as-tested/as-built product reflects the required physical and functional characteristics specified in the requirements. Functional and Physical Configuration Audits (FCA/PCA) are done once, to establish the Product Baseline. In-process CM status reviews are done whenever needed to verify the configuration. The difference is that FCA/PCAs are formal audits, accomplished by a team, which may or may not consist of Quality Assurance, whereas informal In-process CM status reviews are accomplished by one person, and do not require the formality and resources of the formal audits. FCAs/PCAs can be done incrementally and concurrently.

FCA/PCA audit will be conducted upon the release of a new version release or major system enhancement.

### **6.1. Configuration Audits**

#### **6.1.1. Functional Configuration Audit (FCA)**

The objective of a FCA is to verify that all tests for a CI have been completed and that the performance, based upon the test results, meets the specified performance requirements. A FCA team is formed by direction of project management, led by an appointed Chairperson. CM coordinates the FCA (supporting the Chairperson) by ensuring that:

- all materials are supplied.
- an agenda is published.
- minutes are recorded.
- action items are recorded and reviewed for resolution.

A report is prepared at the conclusion of the FCA, a copy of which is retained on the CM Library.

#### **6.1.2. Physical Configuration Audit (PCA)**

The objective of a PCA is to verify the adequacy, completeness, and accuracy of the documentation that establishes the Production Baseline. A PCA team is formed by direction of project management, led by an appointed Chairperson, and consisting of members from selected functional and partner organizations. CM coordinates the PCA and supports the Chairperson by ensuring that:

- all materials are supplied.
- an agenda is published.
- minutes are recorded.
- action items are recorded and reviewed for resolution.

A report is prepared at the conclusion of the PCA, a copy of which is retained in the CM Library.

### **6.1.3. Roles and Responsibilities for Configuration Audit**

#### **CM Role**

The role of CM for an FCA/PCA is to provide administrative direction and act as coordinator.

#### **CM Responsibilities include, but are not limited to:**

- Work in conjunction with project management and development management, to determine scheduling of the FCA/PCA.
- Ensure that project management has assigned the FCA/PCA Chair.
- Notify appropriate functional groups to nominate FCA/PCA team members.
- Prepare a FCA/PCA plan.
- Prepare a FCA/PCA implementation instruction delineating schedules, roles, and responsibilities of each team member.
- Schedule and conduct the FCA/PCA kickoff meeting.
- Schedule the room for the FCA/PCA.
- Coordinate all administrative and technical materials for team use.
- Record action items discovered by the FCA/PCA team.
- Collect and retain forms and checklists completed by the team.
- Assist the FCA/PCA Chair consolidating action items and preparing the FCA/PCA Report.

- Track all FCA/PCA action items until closure.

**FCA/PCA Chairperson responsibilities include, but are not limited to:**

- Chairs the FCA/PCA.
- Coordinates scheduling with CM.
- Approves the FCA/PCA plan and implementation instruction.
- Screen action items for accuracy.
- Prepares FCA/PCA Report for submittal.
- Recommends action item resolution approval to CMB.
- Upon closure of all FCA/PCA action items, submit final report to CMB recommending closure of FCA/PCA.

**FCA/PCA Team member responsibilities include, but are not limited to:**

- Represents functional area at FCA/PCA.
- Performs responsibilities as directed by FCA/PCA plan, implementation instruction, and FCA/PCA Chair.
- Prepares and uses checklists and forms to identify items.
- Prepares action items to identify anomalies, submit to CM.
- Prepares and implements proposed resolutions to action items as directed.

**CMB responsibilities include, but are not limited to:**

- Monitors FCA/PCA progress.
- Approves FCA/PCA Report.
- Reviews and approves FCA/PCA action item resolutions.
- Reviews and approves final FCA/PCA Report.
- Directs final FCA/PCA Report submittal in accordance with contract requirements.

## **6.2. FCA/PCA Process**

The FCA/PCA Process begins just prior to Acceptance Testing. CM prepares a FCA/PCA Plan that provides guidance for conducting the audit(s). The CM Manager meets with the Project Manager to identify the Chairperson. Implementation instructions are prepared giving more detailed instructions for implementing the FCA/PCA and identifying the team members by their functional area managers. CM prepares an agenda and conducts the kickoff meeting providing team member instruction where needed. After testing is completed, CM arranges a facility for the FCA/PCA and accumulates all the necessary FCA/PCA materials and documentation, using a previously prepared check out list, in that facility.

## **6.3. In-Process CM Status Reviews (Informal)**

The purpose of an In-Process CM Status Review is to verify that the current baseline is consistent with the perceived status of the baseline. CM will conduct the audit by comparing the documentation, hardware and software with the established baseline. The review is usually a single person task. CM will document the results of the review in a report submitted to Project Management. A copy is retained in the CM Library.

## **6.4. Peer Reviews**

The Peer Review (Structured Walk-Through) process is documented in a Quality Procedure, PR-QP006. Major steps for formal peer reviews as follows:

- Provide a plan of action
- Distribute plan to peers or reviewers
- Plan a meeting to gather feedback
- Document meeting and feedback
- Submit a revised plan of action

## **7. Archive and Retrieval**

The object of the archive and retrieval processes is to condense the active database ensuring faster results of a search, etc. The current database will always maintain the current calendar year plus two previous calendar years of data.

CM will expedite the archive process annually at the end of the second quarter of the calendar year, beginning with March 31, 2000. The process will remove affected records from the active database to an archived library. DOCS users will be able to retrieve these records using a specified the specified library.

## **8. Backup and Restore**

The object of the backup and restore processes is to ensure the software life cycle data is stored in a secure environment and can be retrieved in a timely manner. The backup and restore processes will be established by a backup plan established with the use of Arcserve backup software.

Electronic records removed from the directories will be dumped to appropriate storage devices, controlled and retained in a secure environment by the CM manager. All change paper will be retained by the CM manager in a shared directory on the DOCS servers.

The CM Manager will be responsible for providing a duplicate set of the electronic records and change paper to the Office of Information - Customer Service representative located in the L'Enfant Plaza facility. The representative will ensure these items are stored in a secured storage area that may be accessible for retrieval by the CM Manager.



## **9. Records Collection and Retention**

DOCS will comply with DOE Records Collection and Retention Policies. All CM records will be retained for a minimum of five years after retirement of the system.

## **10. Sub-Contractor and Vendor Control**

Configuration management is responsible for ensuring that all DOCS sub-contractors and vendors have CM programs that maintain at least the same degree of CM required of the prime contractor. DOCS consists of both internally developed products and commercially acquired software. Sub-Contractor software is software that has been specifically designed under contract for DOCS, and will be treated like internally developed software. Sub-Contractors are required to comply with the DOCS CM requirements as presented in this plan in developing their software. SCRs are submitted to change a baseline.

DOCS is built on COTS products and therefore configuration management of COTS product development is at the discretion of the Vendor itself.

# Appendix A

## Document On-line Correspondence System (DOCS) Configuration Management Board (CMB) Charter

**Document Online Correspondence System (DOCS)  
Configuration Management Board (CMB)  
Charter**

**1. Purpose**

The purpose of this charter is to establish the DOCS Configuration Management Board and define its scope of authority, identify the membership, and define their responsibilities.

**2. Scope**

The DOCS Configuration Control Board (CMB) is established to provide a board charged with the responsibility for ensuring all proposed changes to DOCS are reviewed to ensure that they are viable and will not adversely impact the operation of the existing system or subsystem. The Software Change Request (SCR) will be the primary change instrument used to propose changes to the DOCS Software Configuration Items (SWCIs).

**Configuration Management Board responsibilities include, but are not limited to:**

- The review and disposition of proposed modifications to current baselines.
- Approve resources for system maintenance and/or enhancements.
- The review, prioritization, assignment of due dates, and disposition of proposed SCRs.
- Ensuring that introduction of the proposed change will not have a negative impact on current operations.
- Determining approved SCR implementation schedules.
- Approval of updated baselines and documentation.
- Approve deviations from standards and schedules, on a case-by-case basis.
- Inform the Department of Energy Headquarters Information Management Configuration Control Board (HQ IM CCB) of any DOCS hardware/software configuration changes that affect the current HQ configuration standards and/or affect other organizations.

### **3. Authority**

The DOCS CMB derives its authority from the DOCS Office of the Executive Secretariat. The CMB will review each proposed SCR against its real or perceived impact on existing services and operations. The CMB has final authority over all issues brought before it for review. CMB decisions are documented in the CMB minutes, and are implemented within the scope of its authority.

### **4. Membership and Responsibilities**

The CMB consists of the CMB Chairperson; the CMB Members; and the CMB Secretary.

#### **4.1. Configuration Management Board Chairperson**

The CMB Chairperson shall be appointed by the Office of the Executive Secretariat and the Office of Information Management. The CMB Chairperson's responsibilities shall include the following responsibilities, but not limited to:

- Approves the CMB Agenda, including determination of agenda items.
- Facilitates the CMB decision process for disposition of approved SCRs brought before the board within the scope of its authority. Decisions may be to approve, disapprove, defer, or send proposed SCRs back to the originator for rework.
- Ensures that originators of proposed changes are informed of decisions concerning disposition.
- Directs system SCR implementation, including schedules.



## **4.2. Configuration Management Board Members**

### **4.2.1. Standing Members**

Standing configuration management board members will consist of representatives from the DOCS\_II functional areas. These members will have voting privileges.

<b>Configuration Management Board Members</b>	<b>Status</b>	<b>Description</b>
Configuration Management Board Chairperson	F	Representative(s) from the Office of Information Management - Customer Service (HR-44) and/or the Office of the Executive Secretariat (ES)
Program Manager/Technical Monitor	F	Technical monitor assigned by the Office of Information management for the DOCS task.
Project Technical Manager	C	Project manager assigned by the support service contractor for the DOCS_II task.
Senior Technical Manager	C	Senior technical manager assigned by the support service contractor for the DOCS task.
DOCS_II System Administrator	F	Representative(s) from the Office of the Executive Secretariat.
Partnering Organization System Manager	F	Representatives from the “One Stop” offices interest authority to obligate funds and to delegate workflow process procedures.  Note: The offices represented on the CMB are usually those offices that participated in the pilot as well as offices with vested interest such as a sub-program within DOCS or a “son of DOCS”(i.e., IDRMS, HRDOCS). In addition to the role and responsibilities of a Partnering Organization Systems Manager, the latter also retains the role and responsibilities of the Library Owner.
Configuration Management Board Secretary	F/C	Appointed by the CMB.

#### **4.2.2. Non-Standing Members**

Non-standing configuration management board members will be representatives of areas not normally included in the normal membership, but whose specialized knowledge of a support or functional area is essential for enhancement of the decision process. These members do not have voting privileges.

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#### **4.2.3. Member Responsibilities**

Members will receive read-ahead materials and analysis supplied by the Secretariat, which will provide lead time for delineating the impacts of the proposed changes by the Members as representatives of the organizational



elements affected by these impacts. CMB Members have the following responsibilities:

- Attends each CMB meeting, or sends an empowered representative.
- Reviews agenda items prior to meeting; determines impact of proposed Actions; indicates vote and recommendation to Chair.
- Recommends priorities and due dates.
- Monitors progress on items assigned by Chair.
- Analyzes proposed problem solutions before CMB voting on the status of a system change.
- Reviews CMB minutes.

#### **4.3. Configuration Management Board Secretary**

The CMB Secretary shall be the Configuration Management Representative and is responsible for CMB administrative functions. The Secretariat coordinates CMB preparations and activities to assure that the board is prepared for meetings and that all actions are recorded. The CMB Secretariat has the following responsibilities:

- Coordination of meeting schedules and agendas with the CMB Chairperson.
- Publication and distribution of CMB agendas.
- Preparation and distribution of change packages to the Chairperson and Members in advance of the meeting.
- Recording, publication and distribution of CMB minutes to the DOCS CMB Members and the project community.
- Tracking and maintaining the status of changes.
- Performing other support functions as directed by the CMB Chairperson.

## **5. Protocols**

CMB meetings will be held at the direction of the CMB Chairperson. Emergency meetings can be scheduled by the CMB Chairperson within one week of the requestor's notice. Agendas will be distributed as approved by the CMB Chairperson. Items not contained in the agenda may be discussed, at the discretion of the Chairperson.

The CMB Secretary will record pertinent information, including Members in attendance and decisions/actions associated with each proposed change. CMB minutes from the previous meeting will typically be distributed within three working days of the meeting. Change packages will be distributed to Members as soon as possible prior to a scheduled meeting. Disposition direction detailing the actions decided upon for each proposed change will be recorded in the minutes by the CMB Secretariat, and monitored for implementation. Action items assigned at CMB meetings will be monitored by the Chairperson to assure timely closure.

### **5.1. Baselines**

The DOCS project works with the following baselines:

- The Current Baseline, which consists of the existing baseline configuration
- The Planned Baseline, which consists of the Current Baseline plus those SCRs which have been approved, but have not yet been implemented
- The Projected Baseline, which is a long term planning, conceptual baseline serving as a tool for documenting future views of known or anticipated needs.

## **5.2. Change Management Process**

Proposed SCRs are submitted to the CMB Secretariat for processing. Upon receipt, the Secretary assigns a tracking number to the proposed SCR. An anticipated CMB review date is decided upon and the Secretary drafts a proposed agenda. A change package consisting of all SCRs contained in that agenda, and the agenda is distributed by the Secretary to all CMB Members and others, as directed by the Chairperson. Members prepare an Impact Analysis for each proposed SCR. At the CMB meeting, each proposed SCR is reviewed, in conjunction with the Member's Impact Analysis statements. Members provide their recommendations, and a decision to approve or disapprove is resolved, with an implementation date scheduled. When all agenda items have been exhausted, the Chairperson closes the meeting. The Secretary distributes minutes within three working days.

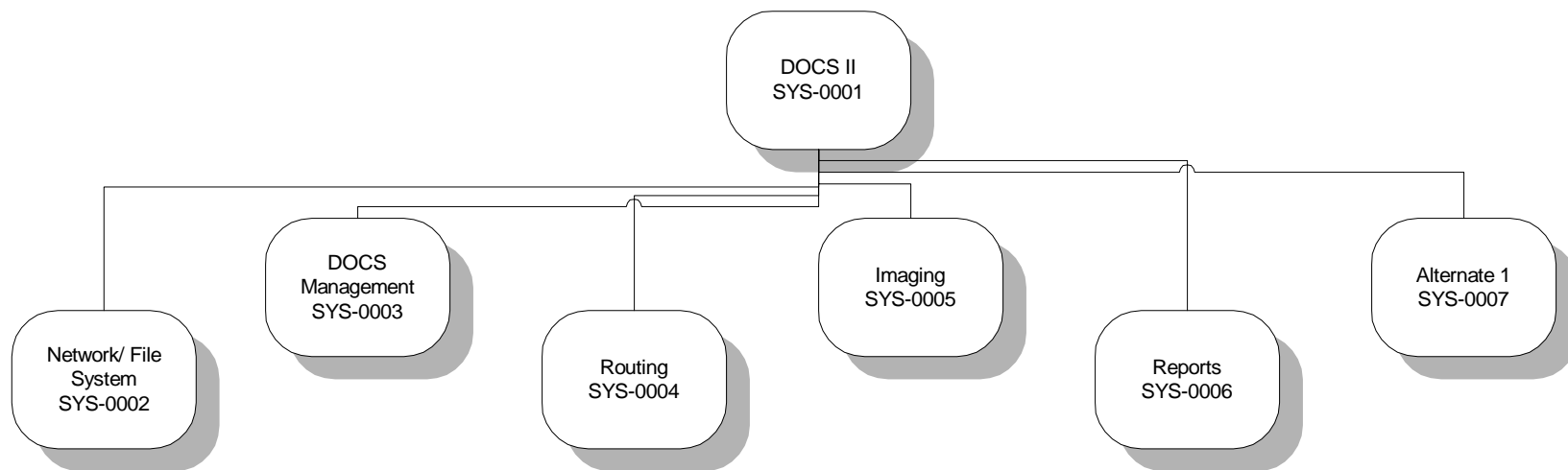
# Appendix B

## DOCS System Configuration Drawings

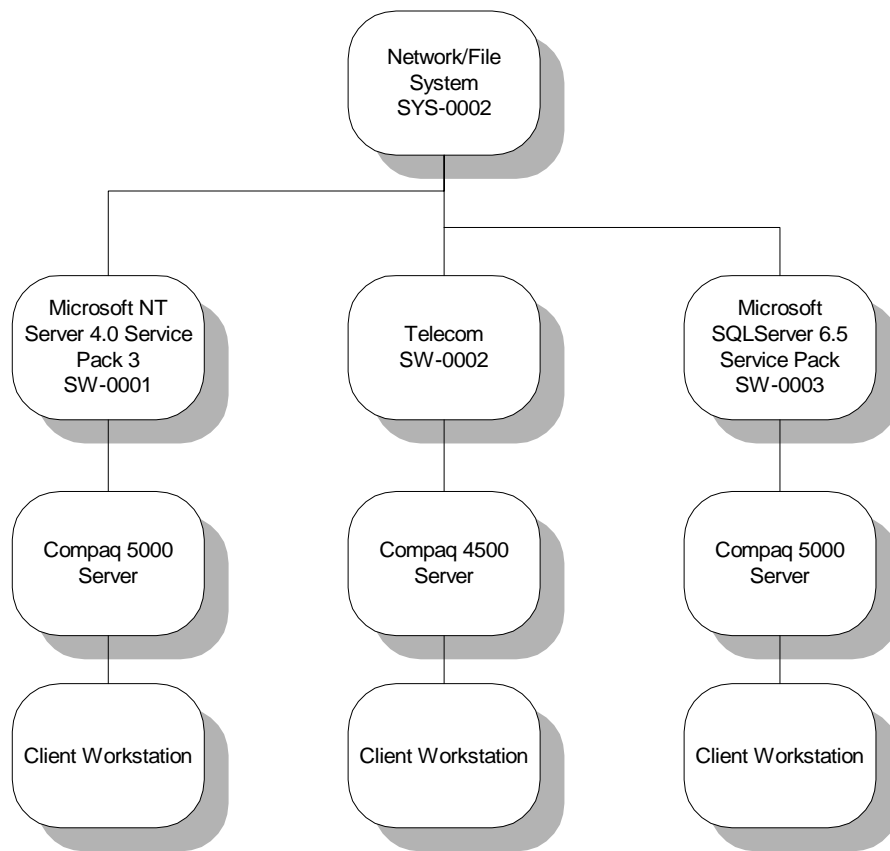




## DOCS II System Configuration Baseline V1

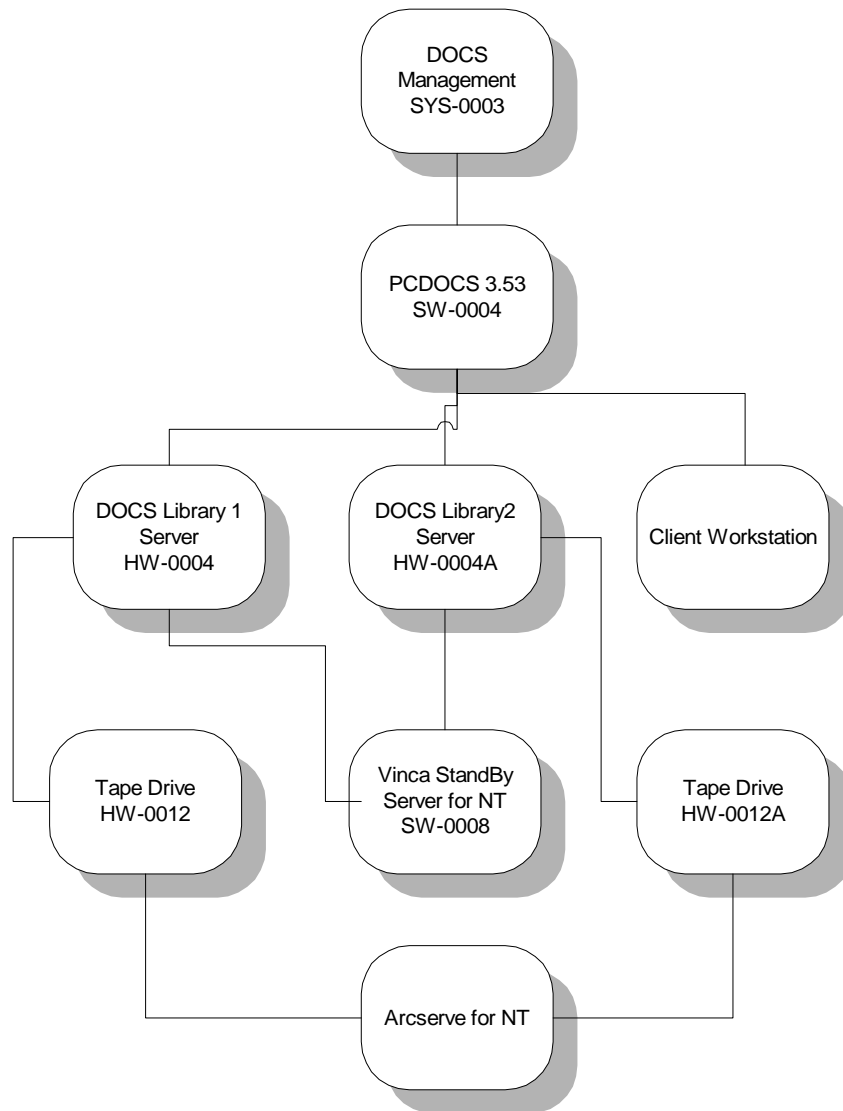


## DOCS II System Configuration Baseline V1

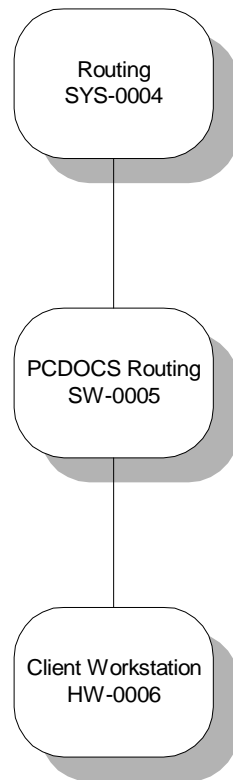




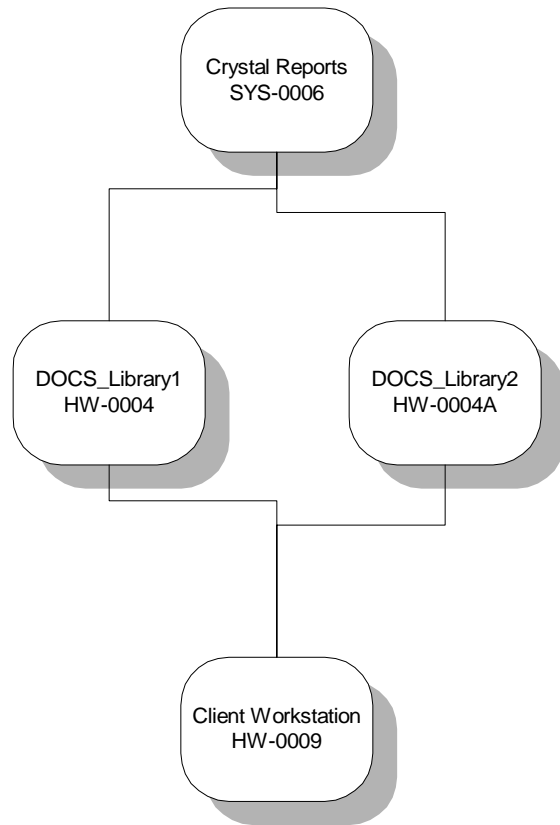
## DOCS II System Configuration Baseline V1



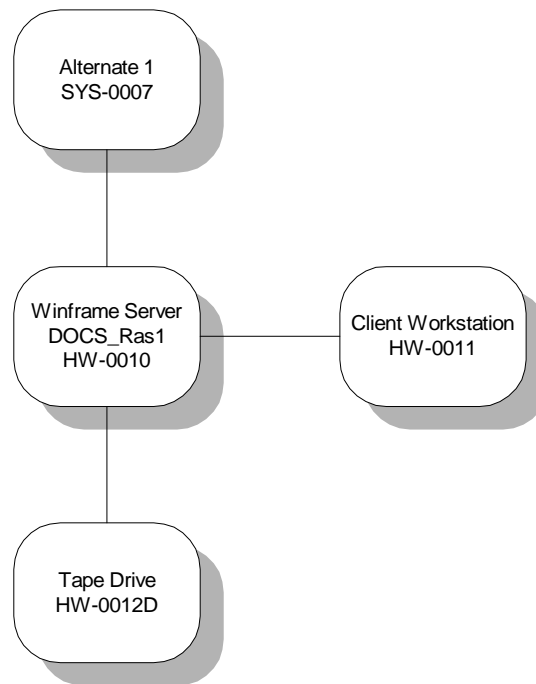
## DOCS II System Configuration Baseline V1



## DOCS II System Configuration Baseline V1



## DOCS II System Configuration Baseline V1



# Appendix C

## Software Change Request Forms

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# Appendix D

## Software Change Request Log



SCR #	Short Title	Date Submitted	Approval			Status				Date Completed	Cancelled	Comment
			Pri orit y	Change Approved	Change <u>not</u> Approved	On Hold	Technical Evaluation	In- Progress	Target Date			
DOCS0001	EE's InBox Report	12/22/1997							#####	2/17/1998		Rel. 2.0
DOCS0002	EE's 'New Items' Report	1/29/1998							#####	2/17/1998		Rel. 2.0
DOCS0003	Charge Sort to "DOE Org"	2/2/1998								2/6/1998		Rel. 1.1
DOCS0004	Remove Status	2/3/1998							#####	2/6/1998		Rel. 1.1
DOCS0005	Add date range selection	2/9/1998					2/10/1998			2/17/1998		Rel. 2.0
DOCS0006	Selection criteria on ES/OSE	2/9/1998					2/10/1998			2/28/1998		Rel. 2.1
DOCS0007	Report Output From Search	2/9/1998					2/10/1998 & 4/30/98		TBD			Ref. memos from 2/10 & 4/30
DOCS0008	Critical items by status date	2/10/1998										
DOCS0009	COTS policy definition	3/5/1998					4/2/1998					
DOCS0010	ES/OSE Rpt - flex status	3/4/1998									3/17/1998	superceded by SCR # DOCS0013
DOCS0011	Electronic Concurrence	3/9/1998										
DOCS0012	Enlarge Special Inst. On Profile	2/6/1998		4/10/1998								
DOCS0013	Rev. ES/OSE process & rpt	3/17/1998		4/10/1998			3/18/1998		4/3/1998	3/27/1998		Release 2.1, 2.2
DOCS0014	Remove Info copies from status	3/17/1998		4/10/1998								
DOCS0015	Enlarge Special Inst. On Reports	3/17/1998		4/10/1998								
DOCS0016	Exhaustive Single items Report	4/14/1998		4/16/1998						4/24/1998		Release 2.3
DOCS0017	Improve Perf. - All Items Report	4/16/1998								4/24/1998		Release 2.3
DOCS0018	Improve Status on Overdue items Report	4/16/1998										

DOCS0019	Improve Perf. - Executive Reports	5/5/1998										
DOCS0020	Routing Report - Rpt. Folders w/out matching routes	5/20/1998										



# Appendix E

## Help Desk Procedures

**Document Online Coordination System  
(DOCS)  
Help Desk Procedures**

- A. DOCS user calls respective program office AOSS Help Desk.
- B. Program office AOSS Help Desk creates and assigns incident.
- C. Program office AOSS support team visits user to assess problem.
  - 1. If problem is not related to DOCS, the program office AOSS support team resolves the problem or refers it elsewhere.
  - 2. If problem is related to DOCS, the program office AOSS support team is responsible for first resolving the problem.
- D. Further assistance is required by the DOCS Technical Team
  - 1. The program office AOSS Help Desk contacts the DOCS Help Desk and transfers the incident to DOCS.
    - a. If an incident was not created using APPLIX, the DOCS Technical Team will first assess the problem to ensure it is DOCS related before an incident is created.
    - b. If the DOCS Technical Team finds the problem is not DOCS related, the team refers the problem back to the respective program office AOSS Help Desk for resolution.
  - 2. Workflow Process Related.
    - a. The problem is first referred to the respective program office Correspondence Process Analyst (CPA).
    - b. If the CPA is unable to resolve the problem, the CPA refers the problem to the Office of the Executive Secretariat Process Analysts for assistance.
    - c. The CPA closes the incident.
  - 3. System-Related.
    - a. The DOCS Technical Team resolves the problem.
    - b. The DOCS Technical Team closes the APPLIX incident and informs the respective program office AOSS Help Desk the problem has been resolved.



# Appendix F

## Acronyms and Abbreviations

## Appendix F – Acronyms and Abbreviations

This section contains a list of acronyms and abbreviations used in this Configuration Management Plan.

CB	Configuration Control Board
CI	Configuration Item
CM	Configuration Management
CMB	Configuration Management Board
CSCI	Computer Software Configuration Item
CSAR	Configuration Status Accounting Report
DCI	Document Configuration Item
DOCS	Document On-Line Coordination System
DOE	Department of Energy
DOE IM CCB	Department of Energy Information Management Configuration Control Board
HWCI	Hardware Configuration Item
IMSD	Information Management Support Division
SCR	System Change Request
SWCI	Software Configuration Item
COTS	Commercial off-the-shelf software
CMP	Configuration Management Plan
SEI	Software Engineering Institute
SEICMM	Software Engineering Institute Capability Maturity Model
QA	Quality Assurance
FCA	Functional Configuration Audit
PCA	Physical Configuration Audit
SQA	Software Quality Audit
CTS	Change Tracking System
VDD	Version Description Document



# Appendix G

## **Configuration Library**

<b>Hardware Configuration Library</b>					
<b>ITEM</b>	<b>Version #</b>	<b>Identification Numbers</b>	<b>Config. Item #</b>	<b>Notes</b>	<b>Location</b>
<b>Compaq Server - Library 1</b>			HW-0004		
Monitor					
<b>Compaq Documentation</b>				<b>Most Complete Set</b>	
Server Setup and Management	3.21	185932-007	HW-0004/packA		Carol
CD - SmartStart and Support Software	3.21	198413-027	HW-0004/packA/cd1-2		Carol
CD - Management	3.21	185638-007	HW-0004/packA/cd2-2		Carol
Integration Server - User Guide	3rd Ed	185748-003	HW-0004/packA/b1		Carol
Software Products	3.21	295832-002	HW-0004/packB		Carol
CD - IntranetWare from Compaq - Disk 1	3.2	295953-001	HW-0004/packB/cd1-9		Carol
CD - IntranetWare from Compaq - Disk 2	3.2	295952-001	HW-0004/packB/cd2-9		Carol
CD - NetWare and IntranetWare Options from Compaq	3.2	295951-001	HW-0004/packB/cd3-9		Carol
CD - Cheyenne Software from Compaq	3.20A	186557-003	HW-0004/packB/cd4-9		Carol
CD - Microsoft Windows NT from Compaq - Disk 1	3.2	182339-006	HW-0004/packB/cd5-9	NT - 3.51 and ArcServe 2.01	Carol
CD - Microsoft Windows NT from Compaq - Disk 2	3.2	182040-007	HW-0004/packB/cd6-9	NT - 3.51 and ArcServe 2.01	Carol
CD - SCO OpenServer 5 from Compaq	3.2	186559-002	HW-0004/packB/cd7-9		Carol
CD - Raptor Software for Windows NT	3.2	295948-001	HW-0004/packB/cd8-9		Carol
CD - Netscape Servers for Windows NT	3.21	185580-005	HW-0004/packB/cd9-9		Carol

CD - Program License Diskette	3.2	Serial # 028579563	HW-0004/packB/d1		Carol
Smart-2 Array Controller - User Guide	3rd Ed	184482-003	HW-0004/b1-6		Carol
ProLiant 5000 Servers - Reference Guide	2nd Ed	221085-002	HW-0004/b2-6		Carol
Tape Drive - Installation Guide	6th Ed	141080-006	HW-0004/b3-6		Carol
Cleaning Compaq Tape Drives - Reference Guide	2nd Ed	184881-002	HW-0004/b4-6		Carol
DAT Drive - User Guide	6th Ed	199433-006	HW-0004/b5-6		Carol
4/16-Gigabyte TurboDAT Drive - User Guide	5th Ed	199433-005	HW-0004/b6-6		Carol
Reference Information - Pack		219329-002	HW-0004/ref	miscellaneous booklets	Carol
Program License Agreement	7th Ed	198405-007	HW-0004/L1		Shelf
Customer Registration	1	182672-001	HW-0004/m1		Shelf
<b>Compaq Server - Library 2</b>			HW-0004A		
Monitor					
<b>Compaq Documentation</b>					
Server Setup and Management	3.21	185932-007	HW-0004A/packA		Dwight
CD - SmartStart and Support Software	3.21	198413-027	HW-0004A/packA/cd1-2		Dwight
CD - Management		Missing	Missing		
Integration Server - User Guide		185748-002	HW-0004A/packA/b1		Dwight
Software Products	3.21	295832-002	HW-0004A/packB		Dwight
CD - IntranetWare from Compaq - Disk 1	3.2	295953-001	HW-0004A/packB/cd1-9		Dwight
CD - IntranetWare from Compaq - Disk 2	3.2	295952-001	HW-0004A/packB/cd2-9		Dwight
CD - NetWare and IntranetWare Options from Compaq	3.2	295951-001	HW-0004A/packB/cd3-9		Dwight
CD - Cheyenne Software from Compaq	3.20A	186557-003	HW-0004A/packB/cd4-9		Dwight
CD - Microsoft Windows NT from Compaq - Disk 1	3.2	182339-006	HW-0004A/packB/cd5-9	NT - 3.51 and ArcServe 2.01	Dwight
CD - Microsoft Windows NT from Compaq - Disk 2	3.2	182040-007	HW-0004A/packB/cd6-9	NT - 3.51 and ArcServe 2.01	Dwight
CD - SCO OpenServer 5 from Compaq	3.2	186559-002	HW-		Dwight

			0004A/packB/cd7-9		
CD - Raptor Software for Windows NT	3.2	295948-001	HW-0004A/packB/cd8-9		Dwight
CD - Netscape Servers for Windows NT	3.21	185580-005	HW-0004A/packB/cd9-9		Dwight
CD - Program License Diskette					
Smart-2 Array Controller - User Guide	3rd Ed	184482-003	HW-0004A/b1-6		Dwight
ProLiant 5000 Servers - Reference Guide	2nd Ed	221085-002	HW-0004A/b2-6		Dwight
Tape Drive - Installation Guide		141080-006	HW-0004A/b3-6		Dwight
Cleaning Compaq Tape Drives - Reference Guide					
DAT Drive - User Guide					
4/16-Gigabyte TurboDAT Drive - User Guide	5th Ed	199433-005	HW-0004A/b6-6		Dwight
Reference Information - Pack		219329-002	HW-0004A/ref	Miscellaneous booklets	Dwight
Program License Agreement	7th Ed	198405-007	HW-0004A/L1		Shelf
Customer Registration	1	182672-001	HW-0004A/m1		Shelf
<b>Compaq Server - Image 1</b>			HW-0007		
Monitor					
<b>Compaq Documentation</b>					
Server Setup and Management	3.10A	185932-003	HW-0007/packA		Shelf
CD - SmartStart and Support Software	3.10A	198413-024	HW-0007/packA/cd1-2		Shelf
CD - Management	3.10A	185638-004	HW-0007/packA/cd2-2		Shelf
Integration Server - User Guide		185748-003	HW-0007/packA/b1		Shelf
Software Products	3.10A	185934-003	HW-0007/packB		Shelf
CD - NetWare Software from Compaq - Disk 1	3.1	181108-011	HW-0007/packB/cd1-16		Shelf
CD - NetWare Software from Compaq - Disk 2	3.1	181108-011	HW-0007/packB/cd2-16		Shelf
CD - Microsoft Windows NT from Compaq - Disk 1	3.1	182239-005	HW-0007/packB/cd3-16		Shelf
CD - Microsoft Windows NT from Compaq - Disk 2	3.1	182040-006	HW-0007/packB/cd4-16		Shelf

CD - Cheyenne Software from Compaq	3.1	186557-001	HW-0007/packB/cd5-16		Shelf
CD - Microsoft Internet Information Server	3.1	185570-004	HW-0007/packB/cd6-16		Shelf
CD - OS/2 Warp and LAN Server Software from Compaq - Disk 1	3.1	181068-010	HW-0007/packB/cd7-16		Shelf
CD - OS/2 Warp and LAN Server Software from Compaq - Disk 2	3.1	181656-004	HW-0007/packB/cd8-16		Shelf
CD - OS/2 Warp and LAN Server Software from Compaq - Disk 3	3.1	185822-002	HW-0007/packB/cd9-16		Shelf
CD - Netscape FastTrack Server for Windows NT	3.1	185580-003	HW-0007/packB/cd10-16		Shelf
CD - SCO OpenServer 5 from Compaq	3.1	186559-001	HW-0007/packB/cd11-16		Shelf
CD - SCO UnixWare 2.1 from Compaq - Disk 1	3.1	182341-005	HW-0007/packB/cd12-16		Shelf
CD - SCO UnixWare 2.1 from Compaq - Disk 1	3.1	182342-005	HW-0007/packB/cd13-16		Shelf
CD - Oracle 7 for NetWare	3.1	189459-009	HW-0007/packB/cd14-16		Shelf
CD - Oracle 7 for Windows NT	3.1	189460-009	HW-0007/packB/cd15-16		Shelf
CD - Oracle 7 for SCO OpenServer	3.1	189462-009	HW-0007/packB/cd16-16		Shelf
CD - Program License Diskette	3.1	Serial # 008535672	HW-0007/packB/d1		Shelf
Smart-2 Array Controller - User Guide	3rd Ed	184482-003	HW-0007/b1-6		Shelf
ProLiant 5000 Servers - Reference Guide	2nd Ed	221085-002	HW-0007/b2-6		Shelf
Tape Drive - Installation Guide	6th Ed	141080-006	HW-0007/b3-6		Shelf
Cleaning Compaq Tape Drives - Reference Guide					
DAT Drive - User Guide					

4/16-Gigabyte TurboDAT Drive - User Guide					
Reference Information - Pack			HW-0007/ref	misc pamphlets in plastic bag	HW-0011X box
Program License Agreement					
Customer Registration					Shelf
<b>Compaq Server - Image 2</b>			HW-0007A	newest server and info	
Monitor					
<b>Compaq Documentation</b>					
Server Setup and Management	3.20A	185932-006	HW-007A/packA		
CD - SmartStart and Support Software	3.20A	198413-026	HW-007A/packA/cd1-2		
CD - Management	3.20A	185638-006	HW-007A/packA/cd2-2		
Integration Server - User Guide	3rd Ed	185748-003	HW-007A/packA/b1		
Software Products	3.20A	295832-001	HW-007A/packB		
CD - IntranetWare from Compaq - Disk 1	3.2	295953-001	HW-007A/packB/cd1-9		
CD - IntranetWare from Compaq - Disk 2	3.2	295952-001	HW-007A/packB/cd2-9		
CD - NetWare and IntranetWare Options from Compaq	3.2	295951-001	HW-007A/packB/cd3-9		
CD - Cheyenne Software from Compaq	3.20A	186557-003	HW-007A/packB/cd4-9		
CD - Microsoft Windows NT from Compaq - Disk 1	3.2	182339-006	HW-007A/packB/cd5-9		
CD - Microsoft Windows NT from Compaq - Disk 2	3.2	182040-007	HW-007A/packB/cd6-9		
CD - SCO OpenServer 5 from Compaq	3.2	186559-002	HW-007A/packB/cd7-9		
CD - Raptor Software for Windows NT	3.2	295948-001	HW-007A/packB/cd8-9		
CD - Netscape Servers for Windows NT	3.21	185580-004	HW-007A/packB/cd9-9		
CD - Program License Diskette	3.2	Serial # 28437525	HW-007A/packB/d1		

Smart-2 Array Controller - User Guide	3rd Ed	184482-003	HW-007A/b1-6		
ProLiant 5000 Servers - Reference Guide	2nd Ed	221085-002	HW-007A/b2-6		
Tape Drive - Installation Guide					
Cleaning Compaq Tape Drives - Reference Guide					
DAT Drive - User Guide					
4/16-Gigabyte TurboDAT Drive - User Guide					
Reference Information - Pack		219329-002	HW-007A/ref	misc pamphlets in plastic bag	HW-0011X box
Program License Agreement		198405-007	HW-007A/L1		
Customer Registration		182672-001	HW-007A/m1		
<b>Compaq Server - Winframe/RAS</b>			HW-0010		
Monitor					
<b>Compaq Documentation</b>					
<b>Compaq Server - Web Server</b>			HW-0011	In Computer Lab - GE004A	
Monitor		S02976			
<b>Compaq Documentation</b>					
Server Setup and Management	3.21	185932-007	HW-0011/packA		Shelf
CD - SmartStart and Support Software	3.21	198413-027	HW-0011/packA/cd1-2		Shelf
CD - Management	3.21	185638-007	HW-0011/packA/cd2-2		Shelf
Integration Server - User Guide	3rd Ed	185748-003	HW-0011/packA/b1		Shelf
Software Products	3.21	295832-002	HW-0011/packB		Shelf
CD - IntranetWare from Compaq - Disk 1	3.2	295953-001	HW-0011/packB/cd1-9		Shelf
CD - IntranetWare from Compaq - Disk 2	3.2	295952-001	HW-0011/packB/cd2-9		Shelf
CD - NetWare and IntranetWare Options from Compaq	3.2	295951-001	HW-0011/packB/cd3-9		Shelf
CD - Cheyenne Software from Compaq	3.20A	186557-003	HW-		Shelf

			0011/packB/cd4-9		
CD - Microsoft Windows NT from Compaq - Disk 1	3.2	182339-006	HW-0011/packB/cd5-9	NT - 3.51 and ArcServe 2.01	Shelf
CD - Microsoft Windows NT from Compaq - Disk 2	3.2	182040-007	HW-0011/packB/cd6-9	NT - 3.51 and ArcServe 2.01	Shelf
CD - SCO OpenServer 5 from Compaq	3.2	186559-002	HW-0011/packB/cd7-9		Shelf
CD - Raptor Software for Windows NT	3.2	295948-001	HW-0011/packB/cd8-9		Shelf
CD - Netscape Servers for Windows NT	3.21	185580-005	HW-0011/packB/cd9-9		Shelf
CD - Program License Diskette	3.2	Serial # 028579584	HW-0011/packB/d1		Shelf
Smart-2 Array Controller - User Guide	3rd Ed	184482-003	HW-0011/b1-6		Shelf
ProLiant 5000 Servers - Reference Guide	2nd Ed	221085-002	HW-0011/b2-6		Shelf
Tape Drive - Installation Guide	6th Ed	141080-006	HW-0011/b3-6		Shelf
Cleaning Compaq Tape Drives - Reference Guide	2nd Ed	184881-002	HW-0011/b4-6		
DAT Drive - User Guide					
4/16-Gigabyte TurboDAT Drive - User Guide					
Reference Information - Pack		219329-002	HW-0011/ref	miscellaneous booklets	Shelf
Program License Agreement	6th Ed	198405-006	HW-0011/L1		Shelf
Customer Registration	1	182672-001	HW-0011/m1		Shelf
		<b>Additional Compaq Materials</b>			
Server Setup and Management	3.3	185932-008	HW-0011X/packA/	In the green file on the shelf	
CD - SmartStart and Support Software	3.3	198413-028	HW-0011X/packA/cd1-2	In the green file on the shelf	
CD - Management	3.3	185638-008	HW-0011X/packA/cd2-2	In the green file on the shelf	
Smart-2 Array Controller	3rd Ed	184482-003	HW-0011X	In the green file on the shelf	
Smart-2 Array Controller	3rd Ed	184482-003	HW-0011X	In the green file on the shelf	
Smart-2 Array Controller	3rd Ed	184482-003	HW-0011X	In the green file on the shelf	



<b>Legend:</b>					
Letters and number placed before a forward slash (/) are the Configuration number, example: SW-0004.					
Any letters or numbers that follow the slash have the following meaning :					
<b>b</b> - a book, manual, significant publication part of the software or hardware release					
<b>CD</b> - a CD-ROM that accompanies the software or hardware item					
<b>d</b> - signifies a 3.5" disk					
<b>l</b> (lowercase) - signifies license					
<b>m</b> - signifies a miscellaneous item, can be a registration, or extra items in the pack					
<b>pack</b> - Compaq materials came in groups, and to differentiate between the different groups of CD's and instruction booklets, I named them pack A and pack B.					
<b>ref</b> - Compaq also included a box of miscellaneous instruction pamphlets, and I grouped them together and named them as a "reference" pack					
After any of these letters, the numbers signify which one that item is out of the total group, example 1-9 (item one out of nine items).					
One exception occurs where all three disks are still packaged together, so I signified that with a "d3" , instead of breaking them out into 1-3, etc.					

Software Configuration Library					
ITEM	Version #	Numbers	Config. Item #	Location	
<b>Microsoft Windows NT</b>					
<i>Windows NT - Image 1(Boxed Set)</i>	4	CD Key - 419-5903164	SW-0001B	R/C	
Image 1 - "Start Here : Basics and Installation"	4	CD Key - 419-5903164	SW-0001B/b1-2	R/C	
Image 1 - "Hardware Compatibility List"	4	CD Key - 419-5903164	SW-0001B/b2-2	R/C	
Image 1 - Installation CD	4	CD Key - 419-5903164	SW-0001B/cd1	R/C	
Image 1 - Setup Disk 1	4	CD Key - 419-5903164	SW-0001B/d1-3	R/C	
Image 1 - Setup Disk 2	4	CD Key - 419-5903164			
Image 1 - Setup Disk 3	4	CD Key - 419-5903164			
<i>Windows NT - Library 1 (Boxed Set)</i>	4	CD Key - 806-3674026	SW-0001C	R/C	
Library 1 - "Start Here : Basics and Installation"	4	CD Key - 806-3674026	SW-0001C/b1-2	Carol's desk	
Library 1 - "Hardware Compatibility List"	4	CD Key - 806-3674026	SW-0001C/b2-2	Carol's desk	
Library 1 - Installation CD	4	CD Key - 806-3674026	SW-0001C/cd1	R/C	
Library 1 - Setup Disk 1	4	CD Key - 806-3674026	SW-0001C/d1-3	R/C	
Library 1 - Setup Disk 2	4	CD Key - 806-3674026	SW-0001C/d2-3	R/C	
Library 1 - Setup Disk 3	4	CD Key - 806-3674026	SW-0001C/d3-3	R/C	
<i>Windows NT - Image 2 (Boxed Set)</i>	4	CD Key - 419-5633362	SW-0001D	R/C	
Image 2 - "Start Here : Basics and Installation"	4	CD Key - 419-5633362	SW-0001D/b1-2	R/C	
Image 2 - "Hardware Compatibility List"	4	CD Key - 419-5633362	SW-0001D/b2-2	R/C	
Image 2 - Installation CD	4	CD Key - 419-5633362	SW-0001D/cd1	R/C	
Image 2 - Setup Disk	4	CD Key - 419-5633362	SW-0001D/d3	R/C	
<i>Windows NT - Library 2 (Boxed Set)</i>	4		SW-0001A	R/C	
Library 2 - "Start Here : Basics and Installation"	4		SW-0001A/b1-2	Dwight's Office	
Library 2 - "Hardware Compatibility List"	4		SW-0001A/b2-2	R/C	
Library 2 - Installation CD	4				
Library 2 -Setup Disk 1	4				

Library 2 -Setup Disk 2	4		SW-0001A/d2-3	R/C	
Library 2 -Setup Disk 3	4		SW-0001A/d3-3	R/C	
<i>Windows NT RAS/Web Server</i>	4	CD Key - 296-0037567	SW-0001	R/C	
"Start Here : Basics and Installation"	4	CD Key - 296-0037567	SW-0001/b1-2	R/C	
"Hardware Compatibility List"	4	CD Key - 296-0037567	SW-0001/b2-2	R/C	
Installation CD	4	CD Key - 296-0037567	SW-0001/cd1	R/C	
Setup Disk 1	4	CD Key - 296-0037567	SW-0001/d1-3	R/C	
Setup Disk 2	4	CD Key - 296-0037567	SW-0001/d2-3	R/C	
Setup Disk 3	4	CD Key - 296-0037567	SW-0001/d3-3	R/C	
<b>Microsoft SQL Server</b>					
<i>SQL Server - Box 1</i>	6.5		SW-003	R/C	
What's New in SQL Server 6.5	6.5		SW-003/b1-9	R/C	
Programming ODBC for Microsoft SQL Server	6.5		SW-003/b2-9	R/C	
Comprehensive Index	6.5		SW-003/b3-9	R/C	
Guide to Microsoft Distributed Transaction Coordinator	6.5		SW-003/b4-9	R/C	
Administrator's Companion	6		SW-003/b5-9	R/C	
Transact - SQL Reference	6		SW-003/b6-9	R/C	
Database Developer's Companion	6		SW-003/b7-9	R/C	
Setup	6		SW-003/b8-9	R/C	
Programming SQL Distributed Management Objects	6		SW-003/b9-9	R/C	
Installation CD	6.5	50622-807-0030524			
<i>SQL Server - Box 3</i>	6.5		SW-003A		
What's New in SQL Server 6.5	6.5		SW-003A/b1-9		
Programming ODBC for Microsoft SQL Server	6.5		SW-003A/b2-9		
Comprehensive Index	6.5		SW-003A/b3-9		
Guide to Microsoft Distributed Transaction Coordinator	6.5		SW-003A/b4-9		
Administrator's Companion	6		SW-003A/b5-9		
Transact - SQL Reference	6		SW-003A/b6-9		

Database Developer's Companion	6		SW-003A/b7-9		
Setup	6		SW-003A/b8-9		
Programming SQL Distributed Management Objects	6		SW-003A/b9-9		
Installation CD	6.5				
<i>SQL Server - Loose books and CD</i>	6.5		SW-003B	Richard	
What's New in SQL Server 6.5	6.5		SW-003B/b1-9	Richard	
Programming ODBC for Microsoft SQL Server	6.5		SW-003B/b2-9	Richard	
Comprehensive Index	6.5		SW-003B/b3-9	Richard	
Guide to Microsoft Distributed Transaction Coordinator	6.5		SW-003B/b4-9	Richard	
Administrator's Companion	6		SW-003B/b5-9	Richard	
Transact - SQL Reference	6		SW-003B/b6-9	Richard	
Database Developer's Companion	6		SW-003B/b7-9	Richard	
Setup	6		SW-003B/b8-9	Richard	
Programming SQL Distributed Management Objects	6		SW-003B/b9-9	Richard	
Installation CD	6.5	50622-807-0029746	SW-003B/cd1	Richard	
<i>SQL Server - Box 2</i>	6.5		SW-003C	R/C	
What's New in SQL Server 6.5	6.5		SW-003C/b1-9	R/C	
Programming ODBC for Microsoft SQL Server	6.5		SW-003C/b2-9	R/C	
Comprehensive Index	6.5		SW-003C/b3-9	R/C	
Guide to Microsoft Distributed Transaction Coordinator	6.5		SW-003C/b4-9	R/C	
Administrator's Companion	6		SW-003C/b5-9	R/C	
Transact - SQL Reference	6		SW-003C/b6-9	R/C	
Database Developer's Companion	6		SW-003C/b7-9	R/C	
Setup	6		SW-003C/b8-9	R/C	
Programming SQL Distributed Management Objects	6		SW-003C/b9-9	R/C	
Installation CD	6.5	50622-807-0029541	SW-003C/cd1	R/C	
<i>SQL Server - Random Owners</i>					

What's New in SQL Server 6.5	6.5				
Programming ODBC for Microsoft SQL Server	6.5				
Comprehensive Index	6.5		SW-003D/b3-9	Dwight	
Guide to Microsoft Distributed Transaction Coordinator	6.5				
Administrator's Companion	6		SW-003D/b5-9	Dwight	
Transact - SQL Reference	6		SW-003D/b6-9	Dwight	
Database Developer's Companion	6		SW-003D/b7-9	Dwight	
Setup	6		SW-003D/b8-9	Dwight	
Programming SQL Distributed Management Objects	6		SW-003D/b9-9	Dwight	
Installation CD	6.5	50649-070-0097147	SW-003D/cd1	Computer room	
What's New	6			R/C	
<b>PC DOCS</b>		Pin # -9541			
<i>PC DOCS - Box 1</i>	3.5.3	Pin # -9541	SW-0004		
Docs Enabled Products	3.5.3	Pin # -9541	SW-0004/b1-9	R/C	
Docs Designer and Data Dictionary	3.5.3	Pin # -9541	SW-0004/b2-9	R/C	
Quick Start Guide	3.5.3	Pin # -9541	SW-0004/b3-9	R/C	
DOCS Routing Installation and User's Guide	3.5.3	Pin # -9541	SW-0004/b4-9	R/C	
DOCS Imaging User's Guide	3.5.3	Pin # -9541	SW-0004/b5-9	R/C	
Administrator's Guide	3.5.3	Pin # -9541	SW-0004/b6-9	Carol	
DOCS Imaging Installation and User's Guide	3.5.3	Pin # -9541	SW-0004/b7-9	R/C	
User's Guide	3.5.3	Pin # -9541	SW-0004/b8-9	R/C	
Installation and Setup	3.5.3	Pin # -9541	SW-0004/b9-9	R/C	
Installation CD	3.5.1	Serial # - 01-0130-001-00006342	SW-0004/cd1	Joe	
DOCS Routing (on same CD)		Serial # - 14-0001-001-00007127	SW-0004/cd1		
Interchange for Lotus Notes (on same CD)		Serial # - 05-0001-001-00006367	SW-0004/cd1		
API Toolkit (on same CD)		Serial # - 08-0002-001-00006343	SW-0004/cd1		
<i>PC DOCS - Richard's Bookshelf</i>		Pin # -9541			
Docs Enabled Products	3.5.3	Pin # -9541	SW-0004B/b1-9	Richard	
Docs Designer and Data Dictionary	3.5.3	Pin # -9541	SW-0004B/b2-9	Richard	

Quick Start Guide	3.5.3	Pin # -9541	SW-0004B/b3-9	Richard	
DOCS Routing Installation and User's Guide	3.5.3	Pin # -9541	SW-0004B/b4-9	Richard	
DOCS Imaging User's Guide	3.5.3	Pin # -9541	SW-0004B/b5-9	Richard	
Administrator's Guide	3.5.3	Pin # -9541	SW-0004B/b6-9	Richard	
DOCS Imaging Installation and User's Guide	3.5.3	Pin # -9541	SW-0004B/b7-9	Richard	
User's Guide	3.5.3	Pin # -9541	SW-0004B/b8-9	Richard	
Installation and Setup	3.5.3	Pin # -9541	SW-0004B/b9-9	Richard	
Installation CD	3.5.1	Serial # - 01-0130-001-00006342	SW-0004B/cd1	Joe	
DOCS Routing (on same CD)		Serial # - 14-0001-001-00007127	SW-0004B/cd1		
Interchange for Lotus Notes (on same CD)		Serial # - 05-0001-001-00006367	SW-0004B/cd1		
API Toolkit (on same CD)		Serial # - 08-0002-001-00006343	SW-0004B/cd1		
<i>PC DOCS - Different Owners</i>		Pin # -9541			
Docs Enabled Products	3.5.3	Pin # -9541	SW-0004C/b1-9	Dwight	
Docs Designer and Data Dictionary	3.5.3	Pin # -9541	SW-0004C/b2-9	Dwight	
Quick Start Guide	3.5.3	Pin # -9541	SW-0004C/b3-9	Dwight	
DOCS Routing Installation and User's Guide	3.5.3	Pin # -9541			
DOCS Imaging User's Guide	3.5.3	Pin # -9541			
Administrator's Guide	3.5.3	Pin # -9541	SW-0004C/b6-9	Dwight	
DOCS Imaging Installation and User's Guide	3.5.3	Pin # -9541			
User's Guide	3.5.3	Pin # -9541	0		
Installation and Setup	3.5.3	Pin # -9541	SW-0004C/b9-9	Carol	
Installation CD	3.5.1		SW-0004C/cd1	Computer room	
Installation CD	3.5.1		SW-0004A/cd1	Dwight	
<i>Next PC DOCS Version</i>		Pin # -9541			
Supplement and Upgrade Strategies	3.7	Pin # -9541	SW-0004E/b1-2	Richard	
DOCS Open Implementation Guide for Microsoft SQL Server	3.7	Pin # -9541	SW-0004E/b2-2	Richard	
Installation CD	3.7	CD Key -	SW-0004E/cd1	Richard	
<b>Watermark Enterprise (FileNet)</b>					

Administrator's Guide - Enterprise Image Server	2.12		SW-0006/b1-2	R/C	
User's Guide - Enterprise Edition	2.12		SW-0006/b2-2	R/C	
Administrator's Guide - Enterprise Image Server	2.12				
User's Guide - Enterprise Edition	2.12		SW-0006B/b2-2	R/C	
Administrator's Guide - Enterprise Image Server	2.12		SW-0006C/b1-2	Richard	
User's Guide - Enterprise Edition	2.12		SW-0006C/b2-2	Richard	
Administrator's Guide - Enterprise Image Server	2.12			R/C	
User's Guide - Enterprise Edition	2.12		SW-0006D/b2-2	R/C	
Administrator's Guide - Enterprise Image Server	2.12			R/C	
User's Guide - Enterprise Edition	2.12		SW-0006A/b2-2	R/C	
<b>Watermark HSM (FileNet)</b>					
Administrator's Guide			SW-0007/b1	R/C	
Administrator's Guide			SW-0007B/b1	R/C	
Administrator's Guide			SW-0007A/b1	Richard	
<b>Vinca - Standby Server for NT</b>					
<i>Vinca - Box 1</i>	1.21c	SBNT-S	SW-0008	R/C	
"User's Guide"	1.21c		SW-0008/b1	R/C	
Disk 1	1.21c		SW-0008/d1-2	R/C	
Disk2	1.21c		SW-0008/d2-2	R/C	
<i>Vinca - Box 2</i>	1.21c	SBNT-S	SW-0008A	R/C	
"User's Guide"	1.21c				
Disk 1	1.21c		SW-0008A/d1-2	R/C	
Disk2	1.21c		SW-0008A/d2-2	R/C	

<b>Cheyenne ArcServe for Windows NT</b>					
<i>ArcServe - Image 1</i>	6	Serial # - 10063901	SW-00009A	R/C	
Release Notes	6	Serial # - 10063901	SW-00009A/b1-2	R/C	
User Guide	6	Serial # - 10063901	SW-00009A/b2-2	R/C	
Installation CD	6	Serial # - 10063901	SW-00009A/cd1	R/C	
<i>ArcServe - Image 1 -Upgraded from 6.0</i>	6.5	Serial # - 73899168	SW-0009	R/C	
User Guide	6.5	Serial # - 73899168	SW-0009/b1	R/C	
Installation CD	6.5	Serial # - 73899168	SW-0009/cd1	R/C	
<i>ArcServe - Image 2</i>	6.5	Serial # - 73603878	SW-0009B	R/C	
User Guide	6.5	Serial # - 73603878	SW-0009B/b1	R/C	
Installation CD	6.5	Serial # - 73603878	SW-0009B/cd1	R/C	
<i>ArcServe -</i>	6.5	Serial # - 73603883	SW-0009C	R/C	
User Guide	6.5	Serial # - 73603883	SW-0009C/b1	Richard	
Installation CD	6.5	Serial # - 73603883	SW-0009C/cd1	R/C	
<i>ArcServe - Library 2</i>	6.5	Serial # - 73602936	SW-0009D	R/C	
User Guide	6.5	Serial # - 73602936	SW-0009D/b1	R/C	
Installation CD	6.5	Serial # - 73602936	RRB		
<b>Word Perfect - Corel</b>					
Corel Work Perfect Suite	6.1		SW-0010/cd1	R/C	
Corel Work Perfect Suite	6.1		SW-0010A/cd1	R/C	
<b>Citrix Winframe</b>					
<i>Citrix Winframe - Box 1</i>	1.7	CTX-00F4-9301-F918-000165	SW-0011	R/C	
Quick Installation Guide	1.7	CTX-00F4-9301-F918-000165	SW-0011/b1-5	R/C	
Solutions Guide	1.7	CTX-00F4-9301-F918-000165	SW-0011/b2-5	R/C	
Concepts and Planning	1.7	CTX-00F4-9301-F918-000165	SW-0011/b3-5	R/C	
PC Client Users Guide	1.7	CTX-00F4-9301-F918-000165	SW-0011/b4-5	R/C	
Installation Guide	1.7	CTX-00F4-9301-F918-000165	SW-0011/b5-5	R/C	



Release Notes	1.7	CTX-00F4-9301-F918-000165	SW-0011/m1-5	R/C	
Activation Guide	1.7	CTX-00F4-9301-F918-000165	SW-0011/m2-5	R/C	
Quick Reference Card - Win16 Client, DOS Client, Win32 Client	1.7	CTX-00F4-9301-F918-000165	SW-0011/m3-5	R/C	
Quick Activation Guide	1.7	CTX-00F4-9301-F918-000165	SW-0011/m4-5	R/C	
Support Services Card	1.7	CTX-00F4-9301-F918-000165	SW-0011/m5-5	R/C	
Setup Boot Disk 1, 2, and 3	1.7	CTX-00F4-9301-F918-000165	SW-0011/d3	R/C	
Installation CD - WFE17015 - 15 Users	1.7	CTX-00F4-9301-F918-000165	SW-0011/cd1	R/C	
<i>Citrix Winframe - Box 2</i>	1.7	CTX-00F4-9301-9095-001459	SW-0011B	Shelf 1	
Quick Installation Guide	1.7	CTX-00F4-9301-9095-001459	SW-0011B/b1-5	Shelf 1	
Solutions Guide	1.7	CTX-00F4-9301-9095-001459	SW-0011B/b2-5	Shelf 1	
Concepts and Planning	1.7	CTX-00F4-9301-9095-001459	SW-0011B/b3-5	Shelf 1	
PC Client Users Guide	1.7	CTX-00F4-9301-9095-001459	SW-0011B/b4-5	Shelf 1	
Installation Guide	1.7	CTX-00F4-9301-9095-001459	SW-0011B/b5-5	Shelf 1	
Quick Activation Guide	1.7	CTX-00F4-9301-9095-001459	SW-0011B/m1	Shelf 1	
Setup Boot Disk 1	1.7	CTX-00F4-9301-9095-001459	SW-0011B/d1-3	Shelf 1	
Setup Boot Disk 2	1.7	CTX-00F4-9301-9095-001459	SW-0011B/d2-3	Shelf 1	
Setup Boot Disk 3	1.7	CTX-00F4-9301-9095-001459	SW-0011B/d3-3	Shelf 1	
Installation CD - WFE17015 - 15 Users	1.7	CTX-00F4-9301-9095-001459	SW-0011B/cd1	Shelf 1	
Box for License Pack	1.7		SW-0011A	R/C	
License Pack - WFULP17005 - 5 Users	1.7	CTX-0054-1097-49A2-000121	SW-0011A/l1	R/C	
<b>Windows 95</b>		SKU - 362-00242	SW-0012		
Introduction Guide		58430	SW-0012/b1		
Setup Disk 1		Disk Assay - 050-031-935	SW-0012/d1-13		
Setup Disk 2		Disk Assay - 050-031-919	SW-0012/d2-13		
Setup Disk 3		Disk Assay - 050-031-924	SW-0012/d3-13		
Setup Disk 4		Disk Assay - 050-031-925	SW-0012/d4-13		
Setup Disk 5		Disk Assay - 050-031-926	SW-0012/d5-13		
Setup Disk 6		Disk Assay - 050-031-927	SW-0012/d6-13		
Setup Disk 7		Disk Assay - 050-031-928	SW-0012/d7-13		
Setup Disk 8		Disk Assay - 050-031-929	SW-0012/d8-13		

Setup Disk 9		Disk Assay - 050-031-930	SW-0012/d9-13		
Setup Disk 10		Disk Assay - 050-031-931	SW-0012/d10-13		
Setup Disk 11		Disk Assay - 050-031-932	SW-0012/d11-13		
Setup Disk 12		Disk Assay - 050-031-933	SW-0012/d12-13		
Setup Disk 13		Disk Assay - 050-031-934	SW-0012/d13-13		
Internet Explorer Starter Kit		94316	SW-0012A/b1		
Internet Explorer Setup Disk 1		Disk Assay - 509-051-037	SW-0012A/d1-4		
Internet Explorer Setup Disk 2		Disk Assay - 509-051-038	SW-0012A/d1-4		
Internet Explorer Setup Disk 3		Disk Assay - 509-051-039	SW-0012A/d1-4		
Internet Explorer Setup Disk 4		Disk Assay - 509-051-042	SW-0012A/d1-4		
<b>Seagate Crystal Reports</b>					
Professional Edition	5	Serial # - 6046098379	SYS-0006	Dwight's Office	
User's Guide	5	Serial # - 6046098379	SYS-0006/b1	Dwight's Office	
Installation CD	5	Serial # - 6046098379	SYS-0006/cd1	Dwight's Office	
Professional Edition	6	PRUCC60	SYS-0006B	Dwight's Office	
User's Guide	6	PRUCC60	SYS-0006B/b1	Dwight's Office	
Installation CD	6	CD Key - 60006-3741330	SYS-0006B/cd1	Dwight's Office	
Installation CD	4	Part # - CRS-65028	SYS-0006C/cd1	Dwight's Office	
<b>COMPAQ PROLIANT 6000</b>					
<i>DOCS Library_3</i>					
Startup and support software	3.4	185932-009	HW-0004B/CD1-10	Shelf 1	
Insight Manager	3.4		HW-0004B/CD2-10	Shelf 1	
Intranetware from Compaq	3.4	295832-004	HW-0004B/CD3-10	Shelf 1	
Cheyenne	3.4	295832-004	HW-0004B/CD4-10	Shelf 1	
SCO Open Server	3.4	295832-004	HW-0004B/CD5-10	Shelf 1	
Raptor Software for Windows NT	3.4	295832-004	HW-0004B/CD6-10	Shelf 1	
Netscape Server for Windows NT	3.4	295832-004	HW-0004B/CD7-10	Shelf 1	
Microsoft Frontpage 98		X03-471787	HW-0004B/CD8-10	Shelf 1	
Microsoft Windows NT 4.0 Option pack	4	X03- 56039	HW-0004B/CD9-10	Shelf 1	

Compaq Systems Reference Library	2.1	182465-007	HW-0004B/CD10-10	Shelf 1	
NT Setup Diskette 1	4		HW-004B/d1-5	Shelf 1	
NT Setup Diskette 2	4		HW-004B/d2-5	Shelf 1	
NT Setup Diskette 3	4		HW-004B/d3-5	Shelf 1	
Compaq Program License Diskette	3.4	55078316	HW-004B/d4-5	Shelf 1	
Compaq Registration Diskette	2		HW-004B/d5-5	Shelf 1	
Hardware Installation and Configuration		Chart	HW-004B/m1	Shelf 1	
Integration Server and Maintenance Utilities		185748-005	HW-004B/b1-5	Shelf 1	
Integrated Remote Console		281862-001	HW-004B/b2-5	Shelf 1	
Proliant 6000 Server SCSI Cables		296414-001	HW-004B/b3-5	Shelf 1	
Proliant 6000 Server Setup Guide		289740-002	HW-004B/b4-5	Shelf 1	
Users Guide		307716-002	HW-004B/b5-5	Shelf 1	
<b>Legend:</b>					
Letters and number placed before a forward slash (/) are the Configuration number, example: SW-0004.					
Any letters or numbers that follow the slash have the following meaning :					
<b>b</b> - a book, manual, significant publication part of the software or hardware release					
<b>CD</b> - a CD-ROM that accompanies the software or hardware item					
<b>d</b> - signifies a 3.5" disk					
<b>l</b> (lowercase) - signifies license					
<b>m</b> - signifies a miscellaneous item, can be a registration, or extra items in the pack					
<b>pack</b> - Compaq materials came in groups, and to differentiate between the different groups of CD's and instruction booklets, I named them pack A and pack B.					
<b>ref</b> - Compaq also included a box of miscellaneous instruction pamphlets, and I grouped them together and named them as a "reference" pack					

After any of these letters, the numbers signify which one that item is out of the total group, example 1-9 (item one out of nine items).	
One exception occurs where all three disks are still packaged together, so I signified that with a "d3" , instead of breaking them out into 1-3, etc.	

