

PPPL	PRINCETON PLASMA PHYSICS LABORATORY ES&H DIRECTIVES		
	ES&HD 5008 SECTION 0 Preparation, Review and Approval of ES&H Directives		
Approved	Date: 04/19/99	Revision 0	Page 1 of 3

APPLICABILITY

This procedure stipulates the requirements for the preparation, review, approval and control of ES&H Directives (ESHDS).

INTRODUCTION

ES&H Directives are considered controlled documents. They are prepared, reviewed, approved and distributed consistent with the requirements outlined in PPPL Procedures GEN-003, "Document Distribution Control" and GEN-001, "Policy, Procedure, and Mission Statement Development, Review, and Approval", which allows several acceptable alternatives for distributing and controlling procedures. The ES&H/IS Department Office maintains the original ESHDS. The controlled ESHDS are available to PPPL staff via the Lab's intranet (www-local.pppl.gov). Notifications of changed, new and cancelled ESHDS are distributed to Lab staff via e-mail message to PPPL staff (pppl@pppl.gov).

This procedure is arranged in the following sections:

- a) **Development of New and Revised ES&H Directives (ESHDS)**
- b) **Temporary Change Requests**
- c) **Three Year Review**
- d) **Records**

REFERENCES

GEN-001 "Policy, Procedure, and Mission Statement Development, Review, and Approval"
 GEN-003 "Document Distribution Control"

PROCEDURE

A. Development of New and Revised ES&H Directives (ESHDS)

Responsibility
Initiator

Action

1. Identifies if there is a need for a new written ES&H Directive (ESHD) or a change to an existing ESHD.

For new Directives:

- a) Obtains concurrence from the Chairperson of the appropriate ES&H committee (i.e. Safety Review Committee, Environmental Review Committee).

For changes to Directives:

- a) Obtains concurrence of the Division Head from the ES&H and Infrastructure Support Department who is responsible for the ESHD to be changed (the names of Division Heads responsible for ESHDS can be found on the ESHD web site).

- b) Determines whether to issue a revision to the document or a Temporary Change Request (TCR) rather than a revision. A TCR may suffice to update the affected document depending upon the urgency and nature of the revision. Refer to Section B. below.

[NOTE: Change Bars (|) placed in the right margins (or other method such as different color text) should be used to indicate the portion of information that is changed or revised in the document.]

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| Initiator | 2. Prepares draft ESHD Section or Chapter using the format used by current ESHDs as a model. Indicates the appropriate identification number (Section, Chapter, and revision) on the document (the ES&H and Infrastructure Support Department Office can provide help in determining the identification number). |
| | 3. Provides the draft document to the appropriate ES&H Committee Chairperson. |
| ES&H Committee Chairperson (SRC, ERC) | 4. Distributes the draft document to appropriate Lab staff and ES&H Committee members for their review and comment. Forwards to the ES&H/IS Office to arrange distribution of the document to PPPL Department Heads for further review, if deemed appropriate. |
| | 5. Coordinates the resolution of comments and provides approval to the Initiator and to the Division Head from the ES&H and Infrastructure Support Department who is responsible for the affected ESHD. |
| ES&H/IS Department Office | 6. Distributes the document to PPPL Department Heads for further review, if requested by the ES&H Committee Chairperson, and assists the author in resolving any resulting comments. |
| | 7. Obtains approval of the document by the ES&H Committee Chairperson and the ES&H/IS Department Head |
| ES&H Committee Chairperson (SRC, ERC) | 8. Ensures that the final ESHD is forwarded to the ES&H/IS Office for final approvals and formal distribution. |
| ES&H Committee Chairperson | 9. Approves the ESHD by signature. |
| ES&H/IS Department Head | 10. Approves the ESHD by signature. |
| ES&H/IS Department Office | 11. Maintains the original signed ESHDs, posts the electronic version of ESHDs on the PPPL intranet, and distributes notification of new ESHDs to PPPL staff (e.g., via e-mail to pppl@pppl.gov). |

B. Temporary Change Requests

A Temporary Change Request (TCR) is an expedient method of getting a change incorporated into an affected document. [See procedure GEN-003 for the suggested format for a TCR form]. When an urgent change is required to a document or a minor change is necessary, a TCR form is completed and submitted for approval. Examples of urgent or necessary changes are:

- regulatory change impacting the document
- discovered errors in the original document
- DOE comment or requested change to a procedure or policy
- reorganization

<u>Responsibility</u>	<u>Action</u>
Initiator	<ol style="list-style-type: none"> 1. Completes TCR Form and changes the affected ESHD pages, clearly indicating the changes made. 2. Submits documents to the Division Head from the ES&H and Infrastructure Support Department who is responsible for the ESHD to be changed for review and approval.
Division Head from the ES&H/IS Department responsible for the ESHD	<ol style="list-style-type: none"> 3. Reviews the number of approved TCRs listed for document. <ol style="list-style-type: none"> a. If four previous TCRs exist, prepares a revision of the document (refer to Section A.) b. If there are fewer than four TCRs, indicates on the TCR form to incorporate TCR changes in the next revision of the document. 4. Submits document to the appropriate ES&H Committee Chairperson for review and approval.
ES&H Committee Chairperson	<ol style="list-style-type: none"> 5. Approves or disapproves the TCR and change(s). <ol style="list-style-type: none"> a. If the TCR and change(s) are accepted approves the TCR by signature and forwards to the ES&H/IS Department Office. b. If TCR is not approved, TCR is returned to Responsible ES&H/IS Division Head with reasons for non-approval.
ES&H/IS Department Office	<ol style="list-style-type: none"> 6. Obtains approval of the document by the ES&H/IS Department Head, assigns a TCR number and Maintains the original signed TCR. Posts the electronic version on the PPPL Intranet web site, and distributes notification of TCR to PPPL staff (e.g., via e-mail to pppl@pppl.gov).
ES&H/IS Department Head	<ol style="list-style-type: none"> 7. Approves the TCR by signature.

C. Three Year Review

ESHDS should be reviewed and revised (if necessary) every three years. The document review may indicate that changes are not necessary at that time. When a document is due for a 3-year review, the following outlined sequence of responsibilities and actions should be followed.

<u>Responsibility</u>	<u>Action</u>
Responsible ES&H/IS Division Head	<ol style="list-style-type: none"> 1. Reviews the original issue dates of all ESHDs. At three years from the date of issue, reviews the document for any required updates and changes. 2. Documents the review results indicating whether any revisions are required and a scheduled revision date and returns completed form to the ES&H/IS Department Office. [This may be done by completing a Document Review Notice or equivalent document (see PPPL procedure GEN-001).] 3. Initiates necessary revisions per Section A or B.

D. Records

The ES&H/IS Department Office maintains original ES&H Directives, revisions and TCRs.