

<b>PPPL</b>	<b>PRINCETON PLASMA PHYSICS LABORATORY</b>	<b>PROCEDURE</b>	<b>No. GEN-001 Rev 4 page 1 of 7</b>
	<b>Subject:</b>  <b>Policy, Procedure, and Mission Statement Development, Review, and Approval</b>		<b>Effective Date:</b>  Jan. 10, 2014
		<b>Supersedes:</b> GEN-001 Rev 3 March 22, 2011	<b>Initiated by:</b>  Head, Best Practices
			<b>Approved:</b>  Director

**Management System (Primary):** 12.00 Assurance and Improvement

**Management System Owner:** Head, Best Practices and Outreach

**Management Process:** 12.05 Document Management and Control

**Process Owner:** Head, Best Practices

**Subject Matter Expert (SME):** Head, Best Practices

### Applicability

This procedure applies to Laboratory-wide Policies, Procedures, Plans, and organization Charters and Mission Statements. This procedure does not apply to Project-specific or Department-specific documents.

### Introduction

This procedure provides the steps for development, periodic review, revision, temporary changes, and approval of Laboratory-wide Policies, Procedures, Plans, and organization Charters and Mission Statements. These guidelines are presented in the following sections.

- A. **Creating New Policies, Procedures, Charters / Mission Statements**
- B. **Revising Policies, Procedures, Charters / Mission Statements**
- C. **Temporary Change Requests** (urgent or minor changes)
- D. **Three Year Reviews**
- E. **Training**
- F. **Records**

### Reference Documents

P-032	Hierarchy of Documents
P-051	Review and Approval of Policies, Procedures, Plans and Manuals
GEN-003	Document Distribution Control
GEN-007	Review and Implementation of Requirements (Laws, Regulations, Standards, Contract Clauses, DOE Directives, Procedures)
GEN-023	Records Management

**Procedure**

**A. Creating New Laboratory Policies, Procedures, or Organization/Mission Statements**

**Responsibility**

**Action**

Initiator 1. Determines need for new document and solicits support of the responsible line manager.  
Note: Consider the cost/benefit of holding a peer review and prior to proposing a new document.

2. Requests assignment of an identifying number for document from the Head, Best Practices.

Head, Best Practices 3. Defines document category and assigns appropriate number to document.

4. Notifies Deputy Director for Operations, Head of Best Practices and Outreach, and cognizant Department Head that a new document will be developed.

Initiator 5. Develops draft of document in Microsoft Word using the sample templates available at:  
<https://spportal.pppl.gov/bp/pppldocs/Shared%20Documents/Forms/AllItems.aspx>  
Contacts Best Practices for assignment of document numbers, guidance, and assistance in completing sections.

Procedures must be written in “playscript format” (the steps of this procedure are an example of playscript Format). Some procedure sections are mandatory (i.e., Management System, Applicability, Introduction, Procedure Steps, Training, Records). The Management System should be completed with assistance of Best Practices or GEN-007. The Training section should be completed with concurrence of the Management System and Process Owner(s) and Human Resources Training Coordinator. The Records Section should be completed in consultation with the Department Records Coordinator, Subject Matter Expert and/or Best Practices.

6. Provides the draft document to the Head, Best Practices.

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| Head, Best Practices                            | <p>7. Prepares document review package, including the Document Review Request Form (Attachment 1); then forwards copies of document for review to:</p> <ul style="list-style-type: none"> <li>a. Council members and appropriate cognizant individuals;</li> <li>b. Appropriate ES&amp;H Reviewers (ESH&amp;S Department Head, Safety Division Head, Safety Review Committee, Environmental Review Committee, Lithium Experts Committee, Electrical Safety Subcommittee or ALARA Review Committee), if determined that document is related to ES&amp;H issues; and</li> <li>c. Individuals with direct concerns, experience, or involvement related to a proposed document.</li> </ul> |
| Council Members / designees and other Reviewers | <p>8. Provides comments on document draft within the specified time (typically two weeks) to Best Practices.</p>   |
| Best Practices                                  | <p>9. Enters reviewer comments on the Comment Resolution Form (Attachment 2) and forwards the form to the Initiator for resolution.</p>  |
| Initiator                                       | <p>10. Resolves comments, documents resolutions on the Comment Resolution Form (Attachment 2) and in the document and returns the form to Best Practices.</p>  |
| Head, Best Practices                            | <p>11. Determines if further Department Head review is necessary, and</p> <ul style="list-style-type: none"> <li>a. if further review is not necessary, skips to step 14; or</li> <li>b. if necessary, prepares and forwards document package (with Comment Resolution Form from the previous review) for final review by Council Members / designees and other Reviewers.</li> </ul>  |
| Council Members and other Reviewers             | <p>12. Review final draft of document and Comment Resolution Form.</p> <p>13. Return document accepted as is, or with objections, to Best Practices within the specified time.</p>   |
| Head, Best Practices                            | <p>14. Reviews comments and objections with Initiator and determines if requested document changes are necessary as a result of objections. If revisions to the document are necessary as a result of the objections, document is returned to Initiator for rework and resubmission.</p>   |

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| Head, Best Practices   | <p>15. a. Works with Initiator, as necessary, to review the document and comment resolutions and proposed final version of the document.</p> <p>b. Distributes the comment resolution document to the individuals who provided comments. If they wish to raise questions with the responsible Division/Department Head or Director’s Office, they should within two working days of the resolution document being released.</p> <p>16. Prepares approval request cover letter and signature folder, with Comment Resolution Form (noting any objections which have not been incorporated) and final document, for approval submission.</p> |
| Head, Best Practices   | <p>17. Prepares and submits final document package for review and approvals by the Head, Best Practices and Outreach, the initiating Division Head/Department Head and the Director.</p>   |
| Head, Best Practices and Outreach,<br>Initiating Division/<br>Department Head and<br>Laboratory Director | <p>18. Review document for approval and sign-off:</p> <p>a. Approves and signs the document in appropriate signature block; returns document to the Head, Best Practices for distribution. OR</p> <p>b. Does not approve document and returns it to the Head, Best Practices with comments to rework the document.</p>   |
| Head, Best Practices   | <p>19. Distributes approved document in accordance with Procedure GEN-003.</p>   |

**B. Revising Policies, Procedures, or Organization/Mission Statements.**

**Responsibility**

**Action**

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|-----------|---|
| Initiator | <p>1. Determines that a revision to a document is required (i.e., a significant change is needed and that does not meet the criteria for a TCR).</p> <p>2. Obtains the Microsoft Word copy of the current revision of the document from the Head, Best Practices.</p>   |
| Initiator | <p>3. Follows Section A of this procedure to revise a document and follows the same sequence of responsibilities and actions. [The procedure for writing draft revisions is identical to the procedure for the development of original documents.] OR follows Section C to issue a TCR. [NOTE: in either case Change Bars ( ) should be placed in the right margins to indicate the portion of information that is revised in the document.</p> |

NOTE: If a procedure does not already have all of the required sections the Initiator will include the required sections in the revision. Revisions to procedures must add sections for Management System, Training, and Records if they were not previously in the document.

**C. Temporary Change Requests**

A Temporary Change Request (TCR) is an expedient method of getting a change incorporated into an affected document. When an urgent change is required; a minimal but meaningful change is needed, but the effort of a full revision is not warranted; or when a time-limited change is necessary<sup>1</sup>, a TCR form (Attachment 3) is completed and submitted for approval. Examples of urgent or necessary changes are:

- Operational changes
- Discovered errors in original document
- Invalid actions appear in document
- DOE comment of procedure or policy
- Organization name changes

**Responsibility**

**Action**

Initiator	<ol style="list-style-type: none"> <li>1. Completes TCR Form (Attachment 3) and changes affected document, clearly indicating the changes made. The TCR form is available at: <a href="http://spportal.pppl.gov/bp/pppldocs/Shared Documents">http://spportal.pppl.gov/bp/pppldocs/Shared Documents</a> Note: Microsoft Word copies of the current revision of the document are available from the Head, Best Practices.</li> <li>2. Submits TCR form and affected documents to the Head, Best Practices.</li> </ol>
Head, Best Practices	<ol style="list-style-type: none"> <li>3. Submits TCR form and affected documents (paper and MS Word copies) to the Department or Division Head of the initiating department for review and approval.</li> </ol>
Department Head or Division Head	<ol style="list-style-type: none"> <li>4. Approves or disapproves the TCR and change(s).               <ol style="list-style-type: none"> <li>a. If TCR and change(s) are approved, forwards TCR documents (paper and MS Word copies) to the Head, Best Practices for approval and assignment of a TCR number.</li> <li>b. If TCR is not approved, returns TCR documents to Initiator with reasons for non-approval.</li> </ol> </li> </ol>

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<sup>1</sup> As determined by the Initiator Division/Department Head with approval by the Head, Best Practices and Outreach / designee.

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|----------------------|--|
| Head, Best Practices | <ol style="list-style-type: none"> <li>5. Reviews TCR and change(s).               <ol style="list-style-type: none"> <li>a. Obtains approval of the Head, Best Practices and Outreach.</li> <li>b. If draft change page(s) are accepted, Distributes approved TCR in accordance with Procedure GEN-003.</li> <li>c. If TCR is not approved, returns TCR documents to Initiator with reasons for non-approval.</li> </ol> </li> </ol>  |
| Head, Best Practices | <ol style="list-style-type: none"> <li>6. Reviews the number of approved TCRs listed for document.               <ol style="list-style-type: none"> <li>a. If four previous TCRs exist, notifies the initiating Division/Department to prepare a revision of the document (refer to Section B.)</li> <li>b. If there are fewer than four TCRs, places the new TCR in document folder with remark to incorporate TCR changes in next revision of document.</li> </ol> </li> </ol> |

**D. Three Year Document Review**

A policy, procedure and organization/mission statement review is required every three years from the date of issue of the last revision. This review is intended to provide a means of periodic updates to a document that may require changes. The document review by the cognizant Department or Division manager 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 are to be followed.

**Responsibility**

**Action**

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|--|---|
| Head, Best Practices                   | 1. Distributes a Document Review Notice (Attachment 4 or equivalent memo) to cognizant Division/Department Head at three years from date of document approval or at the end of the extended effectiveness date.   |
| Cognizant Division/<br>Department Head | <ol style="list-style-type: none"> <li>2. Reviews document for any required updates and changes.</li> <li>3. Documents review results indicating whether any revisions are required with a scheduled revision date, and returns completed form to Head, Best Practices.</li> <li>4. Initiates necessary revisions per Section B.</li> </ol> |

**E. Training**

**Responsibility**

**Action**

Head, Best Practices

1. Provides/assures the following training.

- A. Target Audience: Supervisors  
 Instructor: Head, Best Practices  
 Training Method: Read only distribution of revised and TCR of this Procedure  
 Frequency: Once upon each revision or TCR
- B. Target Audience: Council Members  
 Instructor: Head, Best Practices and Outreach  
 Training Methods: Briefing of Council at a Laboratory Management Meeting.  
 Frequency: Once upon major revisions

Initiator

2. Notifies the Human Resources Training Office of the training so that they will be aware of the training requirements and be able to provide assistance and guidance in the course development, implementation, tracking, and maintenance.

**F. Records Management**

<b>Records Documented</b>	<b>Record Custodian</b>	<b>Where Record Kept</b>	<b>Record Duration</b>
Document Review Request	Head, Best Practices	Best Practices Original Document Files	Life of Document
Temporary Change Request	Head, Best Practices	Best Practices Original Document Files	Life of Document
Document Review Notice	Head, Best Practices	Best Practices Original Document Files	Life of Document
Original Document	Head, Best Practices	Best Practices Original Document Files	Until Superseded, Withdrawn or Replaced
Revised Document	Head, Best Practices	Best Practices Original Document Files	Until Superseded, Withdrawn or Replaced
Document Review Comments and Resolutions	Head, Best Practices	Best Practices Original Document Files	Life of Document

**Attachments:**

1. Document Review Request Example
2. Comment Resolution Form Example
3. Temporary Change Request Form
4. Document Review Notice
5. Typical 3-Year DOCUMENT REVIEW NOTICE and RESPONSE form

Review Copy of draft procedure ENG-010, revision 6, Control of Drawings, Software, and Firmware



Inbox x

Follow up x



Jim Graham <jgraham@pppl.gov>

Nov 12



to Mike, Masayuki, Philip, David, Jerry, Adam, Ronald, John, Nat, Robert, Joel, Stephen, Joi

Draft revision 6 of procedure ENG-010, *Control of Drawings, Software, and Firmware*, is attached for your review.

REASONS FOR REVIEW:

Several changes and updates have been made as a result of audits and 3-year review. Several changes address Software Change Notices and critical software.

COMMENTS WITH RESPONSE IS REQUESTED BY:

November 27, 2013 to Ceil O'Brien at [cobrien@pppl.gov](mailto:cobrien@pppl.gov) with a cc to [jgraham@pppl.gov](mailto:jgraham@pppl.gov)

Thanks,  
Jim



## COMMENT RESOLUTIONS GEN-XYZ, R0

<b><u>Reviewer</u></b>	<b><u>Comment</u></b>	<b><u>Resolution</u></b>
Jones, J	Several editorial suggestions in the first 3 sections.	Incorporated.
Smith, J.	Minor editorial change. Next to steps 13 and 14, remove a and b.	Incorporated.
West, S	Include a reference to GEN-023 and require that records be listed.	Incorporate.

**TEMPORARY CHANGE REQUEST**TCR NO. **TCR-**\_\_\_\_\_

(e.g., TCR-ENG-021.R0-001)

The Temporary Change Request (TCR) Form is to be used to process urgent or minor changes for PPPL Policies, Organization/Mission Statements and Procedures. The TCR should be used when changes are:  
 1) urgent, and can not wait the 2-4 week period for Department Head review/comment, or  
 2) minor, and do not warrant Department Head review.

Person Requesting Change: \_\_\_\_\_ Phone Ext: \_\_\_\_\_

Department Name: \_\_\_\_\_

Document Number: \_\_\_\_\_ Revision No.: \_\_\_\_\_

Document Title: \_\_\_\_\_

Reason for change:

Change description: (Summarize and attach changed pages, with changes clearly indicated)

1. Does this TCR significantly alter the intent or scope of the document? YES: \_\_\_\_\_ NO: \_\_\_\_\_

2. Does this TCR significantly impact ES&amp;H? YES: \_\_\_\_\_ NO: \_\_\_\_\_

If 1 or 2 is YES, Explain why the changes should not be routed for Department Head review:

\_\_\_\_\_  
Department/Division Head Approval\_\_\_\_\_  
Date\_\_\_\_\_  
Head, Best Practices and Outreach/designee\_\_\_\_\_  
Date

Release/Effective date of this TCR: \_\_\_\_\_

Incorporate this TCR into next revision of this document?

YES: \_\_\_\_\_ NO: \_\_\_\_\_

**Typical Document Review Notice****Attachment 4**

[PPPL] Policy Review Reminder - Policy# p082

Inbox x

PPPL Docs SharePoint x



PPPL Documents

to jlevine, BPAAdmins ▾

Nov 17 ☆



Hello,

The following document is due for periodic review.

**Title:** Environmentally Preferable Purchasing**Policy No:** p082**Revision No:** 2**TCR No:****Schedule Review Due Date:** 1/1/2014**Department Head:** Jerry D. Levine**Status Note:**You can view the pdf version of this document at: [Document Link](#)Please download this [3-Year review](#) form and return the signed form to Best Practices mailstop 40.If needed, a TCR form is available at: [Document Link](#)The Microsoft Word Version of this document is available at: [Link](#)**If you have any question, please contact Jim Graham ( [jgraham@pppl.gov](mailto:jgraham@pppl.gov) / x 2701) or Ceil O'Brien ( [cobrien@pppl.gov](mailto:cobrien@pppl.gov) / x 2245)**

Regards.

**DOCUMENT REVIEW NOTICE and RESPONSE form****Princeton University:** PLASMA PHYSICS LABORATORY*Best Practices and Outreach Department*

To: Head of Best Practices, Jim Graham (MS-40)

From: \_\_\_\_\_ Date: \_\_\_\_\_  
(enter name of Department / Division Head with responsibility for the document being reviewed)

Subject: Three-Year Review of Laboratory Document

I have reviewed the document identified below and have determined the appropriate action as noted below.

Document Number \_\_\_\_\_ Effective Date: \_\_\_\_\_  
(enter number of document -- e.g., P-000, Revision #, TCR-00#) mm/dd/yy

Document Title: \_\_\_\_\_  
(enter Title of document under review)

\_\_\_\_\_ Changes to this document are necessary at this time. A draft revision or TCR for the document is attached, along with an *electronic copy* of the document in MS Word format.

\_\_\_\_\_ Changes to this document should be made, but are not urgent. A draft revision of this document is tentatively scheduled to be submitted by \_\_\_\_\_.  
(date)

\_\_\_\_\_ No changes to this document are necessary. The current revision of this document is approved for up to three more years.

\_\_\_\_\_ This document is no longer necessary and should be deleted.

\_\_\_\_\_  
**Department/Division Head Approval**

\_\_\_\_\_  
Date