

<b>Subject:</b>  <b>Policy, Procedure, and Mission Statement Development, Review, and Approval</b>	<b>Effective Date:</b>  <b>2/17/98</b>	<b>Initiated by:</b>  Head, ES&H and Infrastructure Support
	<b>Supersedes:</b> GEN-001 Rev 0 January 24,1992	<b>Approved:</b>  Director

### Applicability

This procedure is applicable to all Departments that develop Laboratory Policies, Procedures, or organization Charters / Mission Statements. This procedure does not apply to internal Project or Department documents that affect only the Project or Department, and are used only by personnel of a specific Project or Department.

### Introduction

This procedure is intended to provide guidelines for the development, review, and approval of Laboratory Policies, Procedures, or organization Charters or 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**

### Reference Documents

P-032          Hierarchy of Documents  
GEN-003        Document Distribution Control

### Definitions

Organization/  
Mission Statement      A document that defines the organizational structure of the division/department and the mission of that organization. The responsibilities and authorities of that organization are specified in the Statement.

Procedure                A document that provides a step-by-step method of accomplishing Laboratory operations, with established departmental responsibilities and actions. Laboratory procedures are required when actions occur by more than one Department. Actions required within a single Department or Project can be described in an internal Department/Project procedure, which is not controlled by this procedure.

Policy                     A document that defines the principles that are the basis for managerial conduct. These documents provide the overall vision of the organization and the direction that the organization is to proceed and do not give the specifics of how something is done.

**Procedure**

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

**Responsibility**

**Action**

Initiator	1. Determines need for new document and notifies the Head, ES&H and Infrastructure Support / designee.
	2. Requests assignment of an identifying number for document from the Head, ES&H and Infrastructure Support / designee.
Head, ES&H and Infrastructure Support / designee	3. Defines document category and assigns appropriate number to document.
Initiator	4. Develops draft of document using Playscript Format (this procedure is in Playscript Format) and creates electronic file in Microsoft Word.
	5. Provides the draft document (paper and MS Word copies) to the Head, ES&H and Infrastructure Support / designee for Laboratory review.
Head, ES&H and Infrastructure Support / designee	6. Prepares document review package, including the Document Review Request Form (Attachment 1); then forwards copies of document for review to:
	a. Department Heads and appropriate cognizant individuals;
	b. Appropriate ES&H Reviewers (ES&H Manager, Safety Review Committee, Environmental Review Committee, or ALARA Review Committee), if determined that document is related to ES&H issues; and
	c. Individuals with direct concerns, experience, or involvement related to a proposed document.
	(Note: Distribution for review and comment may be accomplished by electronic media.)
Department Heads / Reviewers	7. Reviews document draft within two weeks and provides consolidated comments to the Head, ES&H and Infrastructure Support / designee.
Head, ES&H and Infrastructure Support / designee	8. Resolves reviewer comments and documents resolutions on the Comment Resolution Form (Attachment 2).

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| Head, ES&H and Infrastructure Support / designee             | <p>9. Determines if further Department Head review is necessary, and</p> <p style="margin-left: 20px;">a. if further review is <u>not</u> necessary, skips to step 14; or</p> <p style="margin-left: 20px;">b. if necessary, prepares and forwards document package (with Comment Resolution Form from the previous review) for final review by Department Heads and appropriate ES&amp;H Reviewers.</p>  |
| Department Heads/ ES&H Reviewers                             | <p>10. Review final draft of document and Comment Resolution Form.</p> <p>11. Return document accepted as is, or with objections, to the Head, ES&amp;H and Infrastructure Support / designee within two weeks.</p>   |
| Head, ES&H and Infrastructure Support / designee             | <p>12. Reviews Department Head and ES&amp;H Reviewer 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> <p>13. Documents comment resolutions on the Comment Resolution Form (Attachment 2)</p> <p>14. 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> <p>15. Submits document package to the initiating Division Head/Department Head and the Director for approval.</p> |
| Initiating Division/ Department Head and Laboratory Director | <p>16. Review document for approval and sign-off:</p> <p style="margin-left: 20px;">a. Do not approve document; return document to the Head, ES&amp;H and Infrastructure Support / designee with comments to rework the document.</p> <p style="margin-left: 20px;">b. Approve and sign-off document in appropriate signature block; return document to the Head, ES&amp;H and Infrastructure Support / designee for distribution.</p>  |
| Head, ES&H and Infrastructure Support / designee             | <p>17. Distributes approved document in accordance with Procedure GEN-003.</p>  |

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

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| Initiator | <ol style="list-style-type: none"> <li>1. Determines that a change to a document is required.</li> <li>2. Considers the possibility of issuing a Temporary Change Request (TCR), rather than a revision to the document. [A TCR may suffice to update the affected document depending upon the urgency and nature of the revision. Refer to Section C below.]</li> <li>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.</li> </ol> |
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**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 to a document or a minor change is necessary<sup>1</sup>, a TCR form (Attachment 3) is completed and submitted for approval. Examples of urgent or necessary changes are:

- redesign of equipment
- operational changes
- discovered errors in original document
- invalid actions
- DOE comment or non-approval of procedure or policy
- reorganization

**Responsibility**

**Action**

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|--|---|
| Initiator                                  | <ol style="list-style-type: none"> <li>1. Completes TCR Form (Attachment 3) and changes affected document, clearly indicating the changes made.</li> <li>2. Submits documents (paper and MS Word copies) to Director, Department Head, or Division Head for review and approval.</li> </ol>   |
| Director, Department Head or Division Head | <ol style="list-style-type: none"> <li>3. Approves or disapproves the TCR and change(s).               <ol style="list-style-type: none"> <li>a. If TCR and change(s) are approved, TCR is forwarded (paper and MS Word copies) to the Head, ES&amp;H and Infrastructure Support / designee for approval and assignment of a TCR number.</li> <li>b. If TCR is not approved, TCR is returned to Initiator with reasons for non-approval.</li> </ol> </li> </ol> |

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<sup>1</sup> as determined by the Initiating Division/Department Head with approval by the Head, ES&H and Infrastructure Support / designee.

Head, ES&H and  
Infrastructure Support /  
designee

4. Reviews TCR and change(s).
  - a. If draft change page(s) are accepted, the Head, ES&H and Infrastructure Support / designee prepares cover letter, revises index showing TCR number, TCR Form, and change pages for release and distribution.
  - b. If draft change(s) are not acceptable, change(s) and TCR Form are returned to Initiator and Department Head with explanations.

Head, ES&H and  
Infrastructure Support /  
designee

5. Reviews the number of approved TCRs listed for document.
  - a. If four previous TCRs exist, notifies the initiating Division/Department to prepare a revision of the document (refer to Section B.)
  - 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.

**D. Three Year Document Review**

A policy, procedure and organization/mission statement review is required every three years from the original date of issue. 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**

Head, ES&H and  
Infrastructure Support /  
designee

1. Periodically reviews original issue date of all documents. At three years from date of issue, prepares a Document Review Notice, or equivalent request memo, to be forwarded to cognizant Division/Department Head.
2. Sends out Document Review Notice (Attachment 4 or equivalent memo) to cognizant Division/Department Head.

Cognizant Division/  
Department Head

3. Reviews document for any required updates and changes.
4. Documents review results (on Document Review Notice or notification memo) indicating whether any revisions are required with a scheduled revision date, and returns completed form to Head, ES&H and Infrastructure Support / designee.
5. Initiates necessary revisions per Section B.

**Attachments:**

1. Document Review Request Form Example
2. Comment Resolution Form Example
3. Temporary Change Request Form
4. Document Review Notice

November 14, 1997

Release Approval: \_\_\_\_\_

## Distribution:

Anderson, J.W.  
Fisch, N.  
Goldston, R.  
Hawryluk, R.  
Iverson, S.  
Sauthoff, N.  
Tang, W.  
Winkler, E.

DeLooper, J.  
Gillars, C.  
Graham, J.  
Hosea, J.  
Levine, J.  
Schmidt, J.  
Williams, M.  
Zweben, S.

**PROCEDURE REVIEW****YOUR REVIEW\* IS REQUESTED BY****December 3, 1997**

**DRAFT A, Procedure MC-005, Revision 1,  
Shipment of Equipment/Material to Off-Site Location**

PLEASE REVIEW THE ATTACHED AND RETURN TO  
LYNNE YAGER, Mail Stop 01

**REASON FOR REVISION: Inclusion of requirements for international  
shipments.**

**\*DEPARTMENT RESPONSE IS REQUESTED.****COMMENTS: (if any)**


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COMMENT RESOLUTIONS MC-005, Rev 1

	<b>Reviewer</b>	<b>Comment</b>	<b>Resolution</b>
1	J. DeLooper	No comments on procedure – However, what happens when we bring a radiation meter to a classroom as part of outreach – do we need a shipping order or just a property pass – or is that outside the scope – not clear to me?	Not in scope of procedure. Hand carrying an item for use on behalf of the Lab and its return (e.g., carrying a meter to and from an educational demonstration) would not require a shipping release, but would require a property pass.
2	C. Gillars	Insert the words “or Project Planning and Control Officers” after the term “Cost Center Managers” in the Introduction and step 14.	Incorporated
	J. W. Anderson	No comments	N/A
	N. Fisch	No comments	N/A
	R. Goldston	No response	N/A
	J. Graham	No comments	N/A
	R. Hawryluk	No comments	N/A
	J. Hosea	No response	N/A
	S. Iverson	No response	N/A
	J. Levine	No comments	N/A
	N. Sauthoff	No response	N/A
	J. Schmidt	No response	N/A
	W. Tang	No response	N/A
	M. Williams	No comments	N/A
	E. Winkler	No comments	N/A
	S. Zweben	No response	N/A

Typical Temporary Change Request Form

Attachment 3

**TEMPORARY CHANGE REQUEST**TCR NO. \_\_\_\_\_  
(e.g., TCR-ENG-021-001)

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:** \_\_\_\_\_**Department Name:** \_\_\_\_\_ **Phone Ext:** \_\_\_\_\_**Procedure Number:** \_\_\_\_\_ **Revision No.:** \_\_\_\_\_**Procedure 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&H**? **YES:**\_\_\_ **NO:**\_\_\_If 1 or 2 is **YES**, Explain why the changes should not be routed for Department Head review:-----  
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**Department/Division Head Approval**\_\_\_\_\_  
**Date**\_\_\_\_\_  
**Head, ES&H and Infrastructure Support/designee**\_\_\_\_\_  
**Date**

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

Incorporate this TCR into next revision of this document? **Yes**\_\_\_ **No**\_\_\_

**DOCUMENT REVIEW NOTICE**

**Princeton University:** *PLASMA PHYSICS LABORATORY*  
*ES&H and Infrastructure Support*

To: Distribution

Date:

From: *[Head, ES&H and Infrastructure Department / Designee]*

Subject: Three Year Review of Laboratory Document

Please review the document identified below, and return this completed form with any document revisions by **January 21, 1998**.

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

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

\_\_\_\_\_ 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