U. S. Department of Energy
Carlsbad Field Office

MANAGEMENT PROCEDURE

CBFO MP 4.1, Rev. 7

Effective: 19 July 07

SUBJECT: PREPARATION AND MAINTENANCE OF CBFO PROCEDURES

Manager, Carlsbad Field Office: //Signature on File//   Date:

1.0   PURPOSE

The purpose of this procedure is to define the process for preparing and maintaining Carlsbad Field Office (CBFO) procedures.

2.0   SCOPE

2.1   This procedure applies to the preparation, interim change, revision, deactivation, cancellation, review, approval, and issuance of CBFO procedures. CBFO procedures establish methods for or prescribe administrative, technical, operational, quality, or other functional activities performed by the CBFO. This procedure supersedes Management Procedure (MP) 4.1, Revision 6, *Preparation and Maintenance of CBFO Procedures*.

2.2   This procedure delineates the requirements for preparation, formatting, revisions, and cancellation or deactivation of CBFO procedures. MP 4.4, *Document Preparation and Control*, applies to all documents generated by CBFO that do not qualify as procedures or correspondence. MP 5.3, *Correspondence Standards*, governs preparation of correspondence within CBFO.

3.0   REFERENCES AND DEFINITIONS

3.1   References

3.1.1   ASME-NQA-1-1989, Quality Assurance Requirements for Nuclear Facility Applications

3.1.2   DOE/CBFO-94-1001, *Information Management Plan*

3.1.3   DOE/CBFO-94-1012, *Quality Assurance Program Document*

3.1.4   MP 4.2, *Document Review*

3.1.5   U.S. Government Printing Office Style Manual

3.2   Definitions

3.2.1   **Functional Area** – An area of responsibility within the CBFO with the designation of "office."

3.2.2   **Management Procedure (MP)** – An implementing document that specifies the process (methods and controls) for performing functional activities. MPs are applicable to two or more functional areas.

3.2.3 **Office Procedure (OP)** – An implementing document that specifies the process (methods and controls) for performing functional activities in a specific, singular office.

3.2.4 **Periodic Review** – an in-depth review to verify the document is still technically correct and administratively current. This review should occur at 24 month intervals. If the periodic review indicates changes are not needed, document the periodic review by submitting an e-mail to the ISSM for placement in the records package.

3.2.5 **Procedure** – A document that specifies or describes how an activity is to be performed. The term "procedure" also includes instructions and drawings.

3.2.6 **Procedure Owner** – The office or person within the CBFO responsible for maintenance of one or more procedures pertaining to a particular area (e.g., Quality Assurance (QA), observations, records management).

3.2.7 **Team Procedure (TP)** – An implementing document that specifies the process (methods and controls) for performing functional activities in a specific, singular area.

4.0 RESPONSIBILITIES

4.1 CBFO Manager

4.1.1 Review and approve all CBFO management procedures.

4.1.2 Review recommendations from the QA Manager and provide final approval for technical issues relating to quality assurance.

4.1.3 Provide final approval of resolution of technical issues when necessary.

4.2 Office Directors and Assistant Manager for Operations

4.2.1 Ensure that requested procedures or revisions are necessary.

4.2.2 Initiate preparation of procedures in areas of responsibility and approve the review/approval matrix.

4.2.3 Ensure that reviews are conducted in accordance with MP 4.2, *Document Review*.

4.2.4 Procedure owners are responsible for checking the documents for which they are the initiator to ensure they are current and do not require revision.

4.2.5 Review and approve team and office procedures.

4.3 QA Manager

Support document owners/preparers with issues related to quality assurance.

4.4 Information Systems Security Manager

4.4.1 Provide control of and guidance for procedure numbers.

4.4.2 Ensure availability of procedures. Controlled copies of all CBFO procedures are found at the following link: http://bellview/cbfo/Procedures/ProcedureManualTOC.htm

4.4.3 Perform editorial reviews for CBFO procedures.

4.4.4 Ensure that all active procedure records packages are retained in a locked, two-hour fire-rated file cabinet.

4.5 Preparer

4.5.1 Request a procedure number from the Information Systems Security Manager.

4.5.2 Prepare the draft procedure for review and comment in accordance with applicable sections of this procedure.

4.5.3 Resolve all reviewer comments, hold comment resolution meetings as necessary, and ensure that records packages are complete when the procedure is signed and ready for distribution.

5.0 PROCEDURE

5.1 Proposed Procedures

5.1.1 The CBFO Manager, appropriate office director, or Assistant Manager for Operations will designate a staff member to prepare a draft procedure.

5.1.2 The preparer will request a procedure number from the Information Systems Security Manager.

5.2 Procedure Preparation

The preparer will develop a draft procedure in accordance with section 5.3, "Procedure Format." Preparers will use this procedure (MP 4.1, *Preparation and Maintenance of CBFO Procedures*) as an example for style, formatting, paragraphing, indentation, font, use of bold and/or underlined text, use of "NOTES," and other format guidance for procedures.

5.3 Procedure Format

5.3.1 General Requirements

A. Procedures should be prepared in Arial or Times New Roman font, size 10 or 12.

B. Paragraphing will be denoted in the following manner:

1.0

1.1

1.1.1

A.

•

C. Tabs for indents should use the default setting, i.e., every half inch.

D. Primary headings (1.0, etc.) will be all caps, bold, and underlined. Secondary headings (1.1, etc.) will be in regular type, with initial caps. If paragraphs denoted with an alphabetical character or bullet need headings, use regular type with the first word capitalized.

E.   Notes are bold, with hanging indents, and begin with "NOTE(S)" in all caps. If more than one note follows a particular paragraph, number them 1, 2, 3, etc..

F.   The Government Printing Office Style Manual shall be used to determine proper capitalization, punctuation, grammar, and style.

G.   Acronyms

- All acronyms shall be spelled out when first used. The word or phrase to be abbreviated should not be capitalized unless it is a proper name (e.g., corrective action report [CAR]; New Mexico Environment Department [NMED])

- Although acronyms and other abbreviations are helpful tools and widely accepted, they are often overused. The document preparer should use restraint to avoid creating an "alphabet soup" document.

5.3.2   Procedure Forms

A.   Forms to be used in the execution of a procedure shall be numbered based upon the procedure number (e.g., MP 4.1 has two forms, only one of which is completed as a result of this procedure [the procedure template, CBFO Form 4.1-1]).

B.   Forms that are part of another procedure may be used as examples in related procedures as determined necessary by the preparer, but should retain the number used in the originating procedure (e.g., CBFO Form 4.2-1v2, "Document Review/Approval Matrix," originates in MP 4.2, *Document Review*, but is also included in MP 4.1).

C.   Numbered forms (e.g., DOE F 1325.8, Memorandum) do not need an additional CBFO Form number.

D.   Forms may be revised independently of revisions to the related procedure using the same process as defined in paragraphs 5.4 through 5.7 of this procedure.

E.   Use of forms prepared either for a procedure or standard forms used in the conduct of government business are not optional and may not be modified by users without a formal review process.

5.3.3   Proposed procedures and revisions will be formatted as described below:

1.0   PURPOSE (required)

A concise statement which precisely describes the objective of the procedure.

2.0   SCOPE (required)

Range of the activity or function covered by the procedure. This section may also specify exclusions, related documents, and superseded documents or revisions.

3.0   <u>REFERENCES AND DEFINITIONS</u> (optional)

This section should be used if the preparer determines that further explanation of references or definitions would improve the document. It is acceptable to have just a list of references or just definitions; both are not necessary. The references and/or definitions may be listed in bullet format or by subparagraph number. If there are more than ten of either references or definitions, use subparagraph numbers. Section 4 (Responsibilities) becomes section 3 if there are no references or definitions.

3.1   References

Supporting, consultive, and/or guiding documentation. Do not include draft documents. Do not use revision numbers when citing document numbers. The documents should be listed in the following order:

●   laws and regulations

●   DOE orders, guides, notices, or manuals (in that order)

●   other WIPP documents

●   other procedures

●   other government or commercial publications

3.2   Definitions

This section is required when the procedure introduces new terminology. Definitions should be consistent with other procedures and with referenced documents. Do not define common words (e.g., "accident"). Do not list words that are not used in the procedure.

4.0   <u>RESPONSIBILITIES</u> (required)

This section should be used to clarify and summarize the responsibilities of each individual position, by title or organization, involved in a process.

5.0   <u>PROCEDURE</u> (required)

Detailed prerequisites, sequential instructions, and responsible individual by title required to perform or accomplish all elements or activities to complete the process described in the scope. All CBFO procedures shall include appropriate quantitative or qualitative acceptance criteria for determining that prescribed activities have been satisfactorily completed.

6.0   <u>RECORDS</u> (required)

This section shall identify records to be generated as a result of using the procedure and state that they will be handled in compliance with requirements identified in current records management procedures. If no records will result from using the procedure, a statement to that effect should be included. The record(s) may be listed by name in bullet format or by subparagraph number. Quality assurance (QA) records shall be clearly identified.

7.0   ATTACHMENTS (optional)

This section includes forms, flowcharts, or other related data used to provide readers with information beyond that covered in the text, and examples. List attachments in order of use by roman numeral and title or bullet and title.

5.3.4   The page layout and header information to be used for procedures is shown in attachment I. Electronic copies are available on the web at http://bellview/cbfo/Procedures/ProcedureManualTOC.htm or may be requested from the Information Systems Security Manager.

5.3.5   When a draft of the procedure is completed, the preparer will submit it to reviewers listed on the review/approval matrix (attachment II).

5.4   Review Process

Procedure reviews will be performed and documented in accordance with MP 4.2, *Document Review*.

5.5   Editorial Changes to Procedures

Editorial changes to procedures may be made without subjecting the procedure to the same level of review necessary for a new or revised procedure. The following items are considered editorial changes:

A.   Corrections to grammar or spelling (providing the meaning has not changed)

B.   Renumbering sections or attachments

C.   Updating organizational titles

D.   Reformatting forms, providing the original intent of the form remains

E.   Revising attachments marked "Example," "Sample," or exhibits that are clearly intended to be representative only

F.   Clarification changes that do not affect the intent of the procedure.

NOTE: A change in organizational titles accompanied by a change in responsibilities is not considered an editorial change.

5.6   Procedure Revisions

5.6.1   For procedure revisions, the preparer should complete a draft revision and identify all changes by annotation (i.e., "redline" of additional text and/or "strikeout" of deleted text).

5.6.2   The preparer should assign a revision number and the appropriate alpha character to indicate the current draft of the document (i.e., Draft 1A for draft A of revision 1). This designation should appear on the "Revision" line of the headline frame for all procedures until the draft is finalized and the procedure is ready for signature. At that time, the alpha designator will be dropped.

5.7   Interim Change Notices for Procedures

5.7.1   Interim changes may be made to procedures to clarify or improve work flow processes. An interim change may be used to respond to an audit finding or a corrective action.

5.7.2 Interim changes will be in the form of a letter or memorandum and will clearly reference the procedure, revision, and paragraph numbers to be addressed. An interim change notice should be brief and clearly state the problem and correction.

5.7.3 Interim changes may be recommended by anyone and authorized by the approval authority for the procedure after being evaluated by the reviewers of the original procedure.

5.7.4 When a procedure has more than two interim changes, it shall be reviewed for revision, ensuring the existing interim changes are incorporated in the revision if they are still applicable.

5.8 Procedure Cancellation or Deactivation

5.8.1 Cancellation

A procedure may be canceled if the proposed process was not performed and no records were generated. A procedure may be canceled if it is no longer relevant and is no longer used for performing work.

5.8.2 Deactivation

If a prescribed process was performed and documented, but the procedure is no longer relevant, it will be deactivated. If a procedure will be unused for an extended period of time (in excess of one year), but may be used again, it may be deactivated.

5.8.3 To cancel or deactivate an existing procedure, the approval authority for the procedure will provide notice in writing to the Information Systems Security Manager to be included in the records package. This notice may be in the form of a memorandum, letter, or e-mail. The notice will include direction to remove the procedure from the CBFO Intranet page.

5.9 Approval Authority for Issue

Management procedures shall be approved and signed by the CBFO Manager. Office and team procedures shall be signed by the appropriate office director, the Assistant Manager for Operations, the QA Manager, or the CBFO Manager, as determined by the scope of the procedure.

5.10 Electronic Distribution

5.10.1 Once a procedure has been successfully prepared, reviewed, and approved, it is ready to be posted on the CBFO Intranet page.

5.10.2 The approved procedure will be converted to a read-only format for distribution on the CBFO Intranet. Individuals using procedures or other requirements documents are responsible for ensuring they are using the latest revision.

5.11 Procedure Effective Date

5.11.1 Procedures are effective from the date listed on the signature page.

5.11.2 Procedures may be posted online prior to the effective date to facilitate training/other activities necessitated by the revision.

5.11.3 The expiration dates of procedures already issued are no longer effective. Such procedures should be periodically reviewed for revision as a normal course of business, but will continue to be effective if the existing expiration date passes.

6.0 RECORDS

Records packages generated by this procedure will be maintained in compliance with current requirements identified in records management procedures for QA records. Record packages should contain:

- Review/approval matrix (CBFO Form 4.2-1)

- Draft document

- Completed document review record (DRR) forms (see MP 4.2)

- Final document

- Electronic distribution notice

- Interim changes (when produced)

- Notice of cancellation/deactivation (when produced)

7.0 ATTACHMENTS

Attachment I.   Sample procedure title page and continuation sheet (CBFO Form 4.1-1)

Attachment II.   Sample review/approval matrix (CBFO Form 4.2-1)

CBFO Form 4.1-2
U. S. Department of Energy
Carlsbad Field Office

MANAGEMENT PROCEDURE

CBFO MP _____

Effective:

SUBJECT:

Manager, Carlsbad Field Office: Date:

1.0   PURPOSE

2.0   SCOPE

AVAILABLE ONLINE AT: **INITIATED BY**:

CBFO MP <u>   </u>
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CBFO Form 4.2-1

DOCUMENT REVIEW/APPROVAL MATRIX

DOCUMENT NAME/NUMBER _____

REQUESTOR _____

NAME OF APPROVING OFFICIAL _____

REVIEWER NAME/ORGANIZATION	TYPE OF REVIEW REQUIRED					COMMENTS RECEIVED
	MGMT	TECH	QA	LEGAL	EDIT	Y/N

MATRIX APPROVED BY: _____ DATE: _____