

# memorandum

DATE: September 22, 2009

REPLY TO

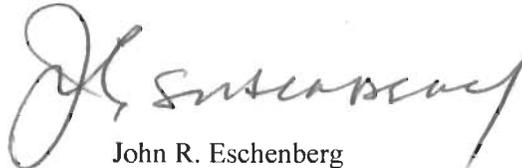
ATTN OF: EM-95:M. Noe

SUBJECT: **ENVIRONMENTAL MANAGEMENT PROCEDURE EM-2.4, REVISION 3,  
"PREPARATION AND MANAGEMENT OF POLICIES AND PROCEDURES" -  
APPROVED**

TO: Environmental Management Staff, EM-90

The subject procedure, see attached, is issued for your use. Please read and familiarize yourself with it. It will be placed onto the Office of Environmental Management's Office Policies and Procedures Webpage, see <http://www.oakridge.doe.gov/External/Default.aspx?tabid=120>, as soon as possible and will be available there for future reference.

If you have questions or if we can be any further assistance, please contact me at 576-0742 or Melyssa Noe at 241-3315.



John R. Eschenberg  
Assistant Manager for  
Environmental Management

Attachment

U. S. Department of Energy  
Oak Ridge Office  
Office of Environmental Management  
Procedure

PREPARATION AND MANAGEMENT OF POLICIES AND PROCEDURES

EM-2.4  
Revision 3

Prepared:

Melissa P. Noe  
Melissa P. Noe  
Document Owner

09/17/09  
Date

Approved:

John R. Eschenberg  
John R. Eschenberg  
Assistant Manager for Environmental Management

9/22/09  
Date



**EM Environmental Management**

safety ♦ performance ♦ cleanup ♦ closure

## TABLE OF CONTENTS

ACRONYMS LIST .....	3
1.0 PURPOSE .....	4
2.0 SCOPE.....	4
3.0 REFERENCES & DEFINITIONS .....	4
3.1 References .....	4
3.2 Definitions .....	4
4.0 RESPONSIBILITIES .....	4
4.1 Assistant Manager for Environmental Management.....	5
4.2 Management .....	5
4.3 Staff .....	5
4.4 Document Owner.....	5
4.5 Document Coordinator .....	6
5.0 PROCEDURE .....	6
5.1 Document Preparation and Management .....	6
6.0 RECORDS.....	8
7.0 ATTACHMENTS .....	8
Attachment 1: Document Format .....	9
Attachment 2: Approval Page Format.....	11
Attachment 3: Approval Memo Format .....	12

## ACRONYMS

AMEM	Assistant Manager for Environmental Management
DOE	U. S. Department of Energy
DMG	Directives Management Group
EM	Office of Environmental Management
ORO	Oak Ridge Office
SCMS	Science Management System
QA	Quality Assurance

## 1.0 PURPOSE

This procedure establishes the responsibilities, requirements, and instructions for the uniform preparation and management of policies and procedures for the U. S. Department of Energy, (DOE) Oak Ridge Office (ORO) Office of Environmental Management (EM).

## 2.0 SCOPE

This procedure applies to the preparation and management of EM policies and procedures.

## 3.0 REFERENCES AND DEFINITIONS

### 3.1 References

- U. S. Code of Federal Regulations 10CFR830.122, *Quality Assurance Criteria, Subsections (d)(1), (d)(2), and (e)(1)*, Washington, D.C.
- DOE Policy DOE P 450.4, *Safety Management System Policy*, Washington, D.C.
- DOE Order DOE O 414.1C, *Quality Assurance, Criteria 4(a) and 5(a)*, Washington, D.C.
- DOE Guide DOE G 414.1-2A, *QA Management System Guide, Sections 4.4 and 4.5*, Washington, D.C.
- DOE Standard DOE-STD-1073-2003, *Configuration Management, Section 6*, Washington, D.C.
- ORO Quality Assurance Program Plan, Revision 2, **Section II, Quality Assurance Program Subsections 4.0 and 5.0**, Oak Ridge, TN
- Science Management System (SCMS)

### 3.2 Definitions

**Policy:** A document that provides guidance regarding a particular goal or goals.

**Preparation:** The actions/efforts required to create a new or revise an existing policy or procedure.

**Procedure:** A document that sets out a series of steps/actions used to accomplish a need or activity.

**NOTE:** Throughout this procedure, a policy or procedure may be referred to as a document.

#### **4.0 RESPONSIBILITIES**

##### **4.1 Assistant Manager for Environmental Management**

The Assistant Manager for Environmental Management (AMEM) or designee approves EM documents after review and concurrence by appropriate Staff.

##### **4.2 Management Staff (Deputy AMEM, Federal Project Directors, and Division Directors)**

- 4.2.1 Identifies the potential need for creation/revision of a document.
- 4.2.2 Assigns an owner for a new document or an existing document when a change in ownership becomes necessary.
- 4.2.3 Concurs with the approval of documents, which they are not approving, as appropriate.
- 4.2.4 Approves Division/Project specific documents.
- 4.2.5 Evaluates the need for training (beyond reading of the document) for documents within area of responsibility and arrange for such training as necessary.
- 4.2.6 Cancels documents within area of responsibility that are no longer valid.

##### **4.3 Non-Management Staff**

- 4.3.1 Identifies the potential need for creation/revision of a document and informs their supervisor/management.
- 4.3.2 If assigned, serves as the document owner who will prepare and provide long term management of the document.
- 4.3.3 If assigned, assists document owners in their efforts to create/revise these documents.
- 4.3.4. When requested, reviews and comments on these documents.
- 4.3.5 When a new document is issued, completes required reading and/or training to perform duties in full compliance with the document.

##### **4.4 Document Owner**

- 4.4.1 Ensures that this procedure is used in the preparation/revision of assigned documents.
- 4.4.2 Creates/revises an assigned document ensuring that it fully complies with Laws, Regulations, and Directives.
- 4.4.3 Submits assigned document for appropriate review and comment to appropriate staff.
- 4.4.4 Completes preparation of document following staff review and comments, resolves any issues with reviewers and submits for routing for concurrence and approval by appropriate Management Staff.
- 4.4.5 Performs a detailed review of assigned documents at least every three years or when substantive changes make it necessary.
- 4.4.6 After review, revises the document or provides an email stating that the review

- was conducted and that no revision is necessary to the Document Coordinator.
- 4.4.7 Evaluates the need for training (beyond reading of the document) to successfully implement new/revised document and provides recommendation to appropriate Management Staff.
- 4.4.8 Recommends cancellation of documents that are no longer valid to Management Staff.

#### 4.5 Document Coordinator

- 4.5.1 Ensures that this procedure is used in the preparation/revision of assigned documents.
- 4.5.2 Assists when questions on preparation and/or management of documents arise.
- 4.5.3 Distributes to affected staff all new and revised documents when approved and notifications of cancellation of documents
- 4.5.4 Ensures that the Procedures and Policies Webpage is kept current by requesting that Document Owners review the Webpage quarterly and provide comments.
- 4.5.5 Maintains an up-to-date Policies and Procedures Status Table. This table should include document titles, numbers (including revision numbers), Document Owners' names, and document effective dates. It should also include information on the status of documents being created or revised. The current version should be maintained in the "Other Documents and References" section of the Webpage.
- 4.5.6 Ensures that the ORO Directive Management Group (DMG) is notified of any new or cancelled Policies or Procedure so that the Management System Description/Quality Assurance Plan can be updated.

### 5.0 PROCEDURE

Staff should ensure that EM's documents always comply with SCMS.

#### 5.1 Document Preparation and Management

- 5.1.1 Document preparation should be carried out as follows:
- 5.1.1.1 Either Management Staff or Non-Management Staff may identify a need for creation/revision of a document after verifying that steps in SCMS are not applicable or adequate for EM's needs.
- 5.1.1.2 Following evaluation of the need to create/revise a document, Management Staff will make the determination whether to proceed with the creation/revision of the document. If the decision is to proceed, he or she shall assign a document owner.
- 5.1.1.3 Upon assignment the owner should:
- Prepare a draft document using the formatting specified in Attachments 1 and 2 (the document header should use "TBD" [to be determined]) for the effective date until that date has been

established following approval).

- **Submit it for appropriate review and comment via memo or email to appropriate staff (which should include a specific response date).**
- **After comments are received, resolve these and generate a "for approval" version.**

NOTE: The "for approval" version should include a color approval page; see Attachment 2, as well as any other pages requiring color or other changes for proper effect.

- **Submit it for review and concurrence through the Document Coordinator, Management Staff, and approval by the AMEM using the approval memo format that is provided in Attachment 3. (If the procedure is Division/Project specific, submit for review and concurrence with appropriate staff and approval by the Division Director/Federal Project Director; AMEM signature is not required.)**

5.1.1.4 Upon approval, the document should be returned to the Document Owner.

5.1.1.5 Upon receipt, the Document Owner should:

- **Work with the Document Coordinator to make a final determination of the effective date (usually the date that the procedure was approved unless time is needed for training).**
- **Ensure that the "TBD" in the document header is replaced with the actual effective date (At this point the document becomes the "record" version).**
- **Provide it as well as the electronic version currently being used for word processing/technical editing to the coordinator for final disposition (including transmittal, placement into the file and the document management system [currently DM], notifying the ORO DMG, and posting onto EM's Webpage).**
- **Evaluate the need for training (beyond reading of the document) to successfully implement new/revised document and provide recommendation to appropriate Management Staff.**

5.1.1.6 Management Staff should evaluate need for training (beyond reading of document) for documents within area of responsibility and arrange for such training as necessary.

5.1.2 Documents should be managed as follows:

5.1.2.1 Document Access/Use: **The Webpage should be maintained such that current documents are available "on-line."**

5.1.2.1 Minor Revisions: Those revisions that are non-intent changes and those that do not affect process such as typos, revision changes to **references, etc. can** be made without going through the approval process again.

- 5.1.2.2 Periodic Document Review: A review to determine the need for a revision should be performed by the Document Owner at least every three years. If a revision is not needed at that time then an email should be sent to the Document Coordinator indicating this. This information should be added to the "Comments" area of the Status Table.
- 5.1.2.3 Document Cancellation: If a document is no longer needed, the document owner should notify Management. If the decision is to cancel the document then the document owner should notify the coordinator. The coordinator should then inform staff and DMG via memo or email, and remove it from the files, Webpage, and Status Table.

## 6.0 RECORDS

These documents are QA documents/records. Current documents as well as supporting material should be maintained.

## 7.0 ATTACHMENTS

**Attachment 1**    **DOCUMENT FORMAT**  
**Attachment 2**    **APPROVAL PAGE FORMAT**  
**Attachment 3**    **APPROVAL MEMO FORMAT**

## ATTACHMENT 1

### **DOCUMENT FORMAT**

#### **Page and Section requirements (in sequence):**

- **APPROVAL PAGE**  
(Format as shown in Attachment 2)

**NOTE:** All pages and sections should usually be included. **This may not be necessary for simple policy statements.**

- **TABLE OF CONTENTS PAGE**  
A full page should usually be dedicated to this.
- **ACRONYM LIST PAGE**  
A full page should usually be dedicated to this.
- **TEXT PAGES (should include the following sections)**

#### **1.0 PURPOSE**

Describe the objective of the document (example: "This procedure describes the method for .....")

#### **2.0 SCOPE**

Identify the specific application of the document and the EM activities to which it applies. Include any restrictions on the document (example: "This procedure applies to Management and Staff – except for \_\_\_\_\_.") Then give the circumstances).

#### **3.0 REFERENCES AND DEFINITIONS**

##### **3.1 References**

3.1.1 List those documents used in the preparation of the document. The following information should be included:

- Author (organization or person)
- Date published
- Complete document title (If the complete reference document applies to the document, its title should be italicized. Where only parts of a document apply, it should be placed in quotation marks.)
- Publisher
- Location published (city, state)

## ATTACHMENT 1 (CONTINUED)

### 3.2 Definitions

Define here only terms that are seldom used or are unique to the document and would not be readily understood.

### 4.0 RESPONSIBILITIES

Identify the individual(s) or organization(s) that have the major responsibilities for implementation of the document. Restrict this to personnel who have direct involvement in the subject activity (descriptive titles rather than specific names should be used, e.g., Team Leader, Federal Project Director, etc.).

### 5.0 PROCEDURE

Provide the particular process/methodology needed to implement the requirements being described, including reference in the text to any attachments.

### 6.0 RECORDS

List or describe documents that may be generated due to the document's requirements. Include a statement similar to that found in Section 6.0 of this Procedure.

### 7.0 ATTACHMENTS

List exhibits, illustrations, forms, etc., referred to in the document's text and attached to it.

**NOTE:** First tier section numbers and titles should be bolded and capitalized, e.g., "**1.0 PURPOSE.**" Second tier section numbers and titles should be bolded, but not capitalized, e.g., "**3.1 References.**" No bolding is required for third tier section numbers and titles or below. The format in this procedure can also be referred to as a guide. Headers are necessary throughout the document *except* for the approval page.

## ATTACHMENT 2

### APPROVAL PAGE FORMAT

NOTE: A header should *not* be used on document approval pages, but should be used on subsequent pages as can be seen by reviewing this procedure. The approval page format in the current EM software which allows word processing may be obtained from the n:drive, see N:\Policies and Procedures\FORMATS.TEMPLATES.

U. S. Department of Energy  
Oak Ridge Office  
Office of Environmental Management  
Policy or Procedure (SPECIFY)

### TITLE OF DOCUMENT

EM-X.X  
Revision X

Prepared:

\_\_\_\_\_  
Name  
Owner

\_\_\_\_\_  
Date

Approved:

\_\_\_\_\_  
Name  
Assistant Manager for Environmental Management

\_\_\_\_\_  
Date



**EM Environmental Management**

safety ♦ performance ♦ cleanup ♦ closure

- \* This line should reflect whether the document is a Policy or Procedure.
- \*\* Titles should be capitalized.
- \*\*\* Document numbers will be assigned by the Coordinator after consultation with the Owner.

## ATTACHMENT 3

### APPROVAL MEMO FORMAT

NOTE: The approval memo format in the current EM software which allows word processing may be obtained from the n:drive, see **N:\Policies and Procedures\FORMATS.TEMPLATES**.

---

DATE:

REPLY TO

ATTN OF: EM-9X:*Name*

SUBJECT: **EM PROCEDURE (OR POLICY) EM-X.X, REVISION X, "DOCUMENT TITLE" - APPROVED**

TO: Environmental Management Staff, EM-90

The subject *procedure (or policy)*, see attached, is issued for your use. Please read and familiarize yourself with it. It will be placed onto the Office of Environmental Management's Office Policies and Procedures Webpage, (see <http://www.oakridge.doe.gov/External/Default.aspx?tabid=120>) as soon as possible and will be available there for future reference.

If you have any questions or concerns about this *procedure (or policy)*, please contact *Name* at *phone number*.

*Name*

Assistant Manager for  
Environmental Management

Attachment

**NOTE: Any text shown in bold or italics should be edited as necessary.**