

**U.S. DEPARTMENT OF ENERGY
THOMAS JEFFERSON SITE OFFICE**

**STANDARD OPERATING PLANS
AND PROCEDURES SYSTEM**

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STANDARD OPERATING PLANS AND PROCEDURES SYSTEM

1.0 OBJECTIVE

The Thomas Jefferson Site Office (TJSO) Standard Operating Plans and Procedures (SOPPs) provide a formal, structured approach for implementing U.S. Department of Energy (DOE) requirements and for documenting how TJSO does business. This SOPP defines the TJSO process used for initiation, preparation, review, approval, issuance, revision, and retirement of SOPPs.

2.0 SCOPE

This procedure applies to all SOPPs for TJSO. The format described herein (Attachment 1) is to be used in preparing procedures. The format to be used in preparing program plans and other documents will be determined on a case-by-case basis based on programmatic needs.

3.0 REFERENCES

1. SOPP 4.1, TJSO Annual Performance Plan
2. SOPP 4.9, TJSO ISMS Program Description

4.0 RESPONSIBILITIES

4.1 Manager/Deputy Manager

- 4.1.1 Directs the development of new procedures and revisions to existing procedures.
- 4.1.2 Provides policy or technical guidance on the development of assigned plans and procedures.
- 4.1.3 Designates the concurrence list for review of SOPPs.
- 4.1.4 Approves all TJSO procedures and plans covered by this directive.
- 4.1.5 Approves retirement of TJSO procedures and plans covered by this directive.

4.2 TJSO Staff Members

- 4.2.1 Recommends to TJSO management (TJSO Manager/ Deputy Manager) new procedures to be developed and existing procedures to be revised.
- 4.2.2 Reviews and provides comments in SOPPs, ensuring SOPP being reviewed is consistent and not in conflict with cognizant SOPPs.

4.3 SOPP Owner (Individual Assigned to Write Plan or Procedure)

- 4.3.1 Prepares new plans or procedures and revises existing documents, as assigned, in accordance with this procedure.
- 4.3.2 Recommends the concurrence list for review of draft SOPP.
- 4.3.3 Resolves all comments on assigned draft SOPP and obtains TJSO management approval.
- 4.3.4 Reviews and revises, as necessary, assigned SOPPs at least every three years and whenever the need arises or requirements have changed.
- 4.3.5 Incorporates, when appropriate, ISM Core Functions and Guiding Principles in document development.

4.4 TJSO Office Manager

- 4.4.1 Maintains the TJSO SOPP controlled copies by having read/write authority for shared directory contents and SOPP index located in the TJSO electronic shared directory.
- 4.4.2 Notifies TJSO personnel, via e-mail, of issuance of new and revised plans or procedures, any procedure cancellations, and SOPP review dates.

5.0 PROCEDURES

1. SOPP Development and Revision

- a. TJSO management may direct TJSO staff members to develop SOPPs. Also, any member of TJSO may identify the need for a new plan or procedure and/or revision of an existing SOPP by making a recommendation to TJSO management. In either case, an individual (SOPP Owner) shall be assigned to draft the new/revised procedure.
- b. The TJSO Manager or Deputy Manager shall provide any policy or technical guidance to the SOPP Owner.
- c. When the draft SOPP is ready for routing, the SOPP Owner will complete Attachment 2, "TJSO Procedure Retirement and Concurrence Record" to designate the appropriate reviewers. Attachment 2 shall also be used for major revisions to SOPPs and requests to retire a current SOPP.
- d. Prior to routing the TJSO Manager or Deputy Manager will review the draft SOPP and the proposed concurrence list, and assign a number to the SOPP.
- e. After Management review, the SOPP owner will provide a copy of the SOPP and a requested due date to the designated reviewers. Unless otherwise noted, the expected response time is 10 working days or less.

- f. Reviewers shall initial the appropriate concurrence line after their comments have been adequately addressed. Written comments are required for all non-concurrences.
- g. SOPP Owner shall resolve comments and obtain the concurrence of TJSO management. Comments which cannot be resolved by the SOPP Owner shall be elevated to the TJSO Manager/Deputy Manager.
- h. After the TJSO Manager has approved the SOPP, it will be electronically mailed to the TJSO Office Manager who will update the SOPP Index and the SOPP in the TJSO electronic shared directory. SOPPs in the shared directory are accessible by all TJSO personnel; however, only the TJSO Office Manager can enter a change to the documents in the Library.
- i. After the controlled copies of the SOPP and the SOPP index have been updated, the TJSO Office Manager will electronically notify all TJSO personnel of the change.
- j. The approval record, as well as all non-concurrence comments and resolution of those comments, shall be filed with the approved procedure and updated SOPP Index.

2. Review of SOPPs

Each SOPP Owner will be notified by the TJSO Office Manager when there is a need for a review before the 3 year time frame. SOPP Owners will review SOPPs and the review will be documented using the form included as Attachment 3, "Review of TJSO SOPPs."

Minor updates and changes (e.g., editorial changes) to SOPPs will be made without the use of the form, "TJSO Procedure Retirement and Concurrence Record" (Attachment 2). Updated SOPPs should be submitted to the TJSO Office Manager for inclusion in the SOPP Library. The date on the SOPP should be changed for any update or minor change to SOPPs. The revision letter likewise will change as a result of a minor change (e.g., from 2a to 2b). The date and revision letter (e.g., from 2a to 2b) on the SOPP should be changed as a result of the annual review, even if changes were not made to the SOPP.

Major revisions to SOPPs will be made by the SOPP owner using the form, "TJSO Procedure Retirement and Concurrence Record" (Attachment 2). SOPPs with major revisions should be submitted to the TJSO Office Manager for inclusion in the SOPP library once approved. The date and revision number (e.g., from 2 to 3) should be changed for any major revision to a SOPP.

SOPPs that are determined no longer to be needed will be retired. The form, "TJSO Procedure Retirement and Concurrence Record" (Attachment 2) should be used by the SOPP Owner to document the request for retirement of SOPPs. The SOPP library includes a listing of retired SOPPs.

6.0 RECORDS

Records are maintained in accordance with this procedure.

ATTACHMENT 1 - FORMAT FOR THOMAS JEFFERSON SITE OFFICE SOPPs

FORMAT FOR THOMAS JEFFERSON SITE OFFICE SOPPs

Header: As demonstrated in this procedure. The procedure number, revision number (Rev. 0 for a new procedure), and the date of the last change *or review* of the procedure should be displayed on each page in the upper right-hand corner. This should also be done for any attachments to procedures. Attachment number should be located in the upper left-hand corner on the page when additional pages are necessary.

1. **OBJECTIVE**

(State the purpose of the procedure, what it will accomplish, etc., in no more than a few sentences.)

2. **SCOPE**

(State the bounds or envelop of the procedure and any exclusions or exceptions, i.e., who or what are subject to the procedure. Be brief.)

3. **REFERENCES**

(List primary references: internal TJSO documents, DOE orders, CFRs, etc.)

4. **RESPONSIBILITIES**

(List the responsibilities of TJSO personnel relevant to the procedure: TJSO Manager, TJSO Deputy Manager, Staff, etc.)

- Wherever possible, state responsibilities
- Use short, action statements. Begin statements with the action verb. Avoid going into a description of the process or procedure.
- Do not list as responsibilities those functions which are not specific to the procedure, or which are routine functions of the office (e.g., ***submit input to TJSO Weekly Report***).
- Avoid vague terms such as ***ensure, assure, assume, overview, oversee, participate, coordinate, attend*** and ***serve***. Instead, use specific verbs such as ***approve, direct, assign, appoint, designate, review, evaluate, revise, recommend, conduct, prepare, perform, propose, identify, inform, inspect, notify, communicate, issue, distribute, transmit, report, initiate, develop, establish, determine, maintain, verify, resolve, and use***.

5. **PROCEDURE**

(List, in sequence, the steps needed to accomplish the task. State each action as a separate step, specifying the individual[s] or organization[s] responsible for the action.)

ATTACHMENT/APPENDIX

List or attach forms, checklists, phone lists, acronyms, distribution lists, drawings, etc., which would be helpful or necessary to complete the procedure. Key pages from DOE orders may be attached, but do not attach the entire referenced document. If the procedure is to cover a program or major activity, a description or summary may be included in this section. Pages listed in the attachment/appendix should have the same TJSO SOPP number, revision, and date as the procedure.)

6. **RECORDS**

If applicable, determine a frequency to which the procedure would be reviewed to evaluate the effectiveness of the associated functional program.

**ATTACHMENT 2 - TJSO PROCEDURE RETIREMENT & CONCURRENCE
RECORD**

(Additional pages can be attached where any space limitation occurs)

Retirement Section:

Procedure Title: _____

Procedure No: _____ Rev: _____

Reason for Retirement:

SOPP Owner _____
Signature Date

TJSO Manager/
Deputy Manager _____
Signature Date

Concurrence Section: Name (Print) Initials and Date

SOPP Owner _____

Others _____

TJSO Deputy Manager _____

**ATTACHMENT 3 - REVIEW OF THOMAS JEFFERSON SITE OFFICE (TJSO)
STANDARD OPERATING PLANS AND PROCEDURES (SOPPs)**

**REVIEW OF THOMAS JEFFERSON SITE OFFICE (TJSO)
STANDARD OPERATING POLICY AND PROCEDURES (SOPPs)**

I have completed the review TJSO SOPPs assigned to me, to assure that the procedures are current, accurate and continue to meet objectives.

1. The following SOPPs are current and require no change or revision:

Note: revise dates and revision letters on SOPPs to reflect this review and email to TJSO Office Manager Office Manager

2. The following SOPPs require minor updating and/or changes:

Note: update SOPPs and email to TJSO Office Manager

3. The following SOPPs require major revision:
-

Signature (SOPP owner)

Date

Return completed form to TJSO Office Manager.