Number: 04.04.001.105
Revision 0.2

Publication: 8/1/2014
Effective Date: 8/10/2012
Next Review Date: 8/1/2017

Graded Approach for Requirements and Documents

1. Purpose

This document provides guidance for applying a graded approach to the disposition of changes to institutional requirements and institutional policies and documents at Berkeley Lab. "Disposition" includes responsibility for ownership, oversight and tracking. "Changes" include introduction of new, modification and retirement of existing requirements or documents.

2. Applicability – who this is for

This guidance applies primarily to Berkeley Lab's Requirements Management Committee (RMC) members, but also generally includes people who participate in the evaluation, writing, review, approval of institutional requirements and documents.

2.1 Exceptions

None.

3. Approach

Berkeley Lab Requirements Management (RM) Program is defined by several key processes and associated tools:

1. *Requirements Management Process*, 04.04.001.003, describes an overview of RM, and introduces its key steps of analysis and implementation planning and calls for a graded-approach in execution of these steps.
2. *Document Management Process*, 10.06.001.001, defines the three graded levels of document change types (major, minor, editorial), and defines approval levels for each of these change types.
3. *Significance Rating*, 04.04.001.206 is a key graded-approach tool for RM. It helps a user determine a graded rating (A through E) based on scope and complexity of impact and implementation. The several ratings are matched to graded approval levels and graded project scope expectations.
4. *Requirements Management System (RMS) Database* is a software business application that combines workflow with database, and thus not only stores and tracks requirements and document metadata, but enables the RMC members and assisting Subject Matter Experts (SMEs) to track progress of requirements and/or document related matters. These matters are deemed "cases" and may range from discussion to changes (introduction of new, retirement of existing, modification of existing).

Per the *RM Governance* (04.04.001.002) and *RM Process*, the RMC is tasked with the responsibilities related to requirements matters. These include oversight of Berkeley Lab policies and associated institutional documents. To help the RMC prioritize its oversight duties, Table 1 below integrates the document management graded definitions that are applied to Laboratory policies, the RM Case process definitions, and the RMS database workflow tool definitions.

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Table 1:

				Disposition			
Category	**Change type**	**Revision change?**	**Approvals needed?**	**RMC Case incl RMS tracking**	**RMS tracking with RM Rep review**	**Function/ Div trackers**	**No formal tracking**
1. Requirements changes		Yes	Yes	Yes			
2. Institutional Doc including Policy changes	2a. Major	Yes	Yes	Yes			
	2b. Minor	Yes (Note2)	Yes		Yes (Note 1)		
	2c. Editorial	No	No				X
3. Req or Inst.Doc matters that impact cross-functionally		n/a		Yes			
4. Function/Dept doc changes	Major or minor	Yes	Function/ Dept discretion			Yes	

Note 1: Minor changes must be entered into RMS tracking system. RMC Representative is responsible for assessing the changes (Significance Rating) and including RMC, if required. Approvals for minor changes to RPM are required, with approval levels guided by Significance Rating.

Note 2: Revision numbers for Laboratory policies are formatted "X.Y", and "X" is the major revision, and "Y" is for minor revisions. When a minor revision is made, "Y" is incremented and "X" does not change. When a major revision occurs, "X" is incremented, and "Y" is re-set to zero. As of mid-2012, this practice has not yet been imposed on other institutional documents.

4. Responsibilities

(see Document Management Process and Requirements Management Process for additional details)

Role	Responsibilities
RM Program Manager	• Has oversight responsibility for the Laboratory's Requirements Management Program, including execution of the Program's processes, procedures. • Has authority delegated from Chief Operating Officer for oversight of the RPM • Chairs the RMC. • Has responsibility for maintaining integrity of the RMS database system
Requirements Management Committee (RMC) representative	• Assists SMEs to ensure adherence to the RM and Document Management processes, including determining policy change type, significance rating for approvals, completion (if necessary) analyses of requirements, risks, impacts and completion (if necessary) of implementation plans. • Applies the RM and Document Management policies, processes, and procedures. • Has responsibility to ensure that changes to institutional documents of respective Function are logged into the RMS system. • Has responsibility to judge based on significance rating, scope of impact/implementation, etc. whether or not a Function Case needs to be reviewed by RMC. • Monitors progress of respective Function Cases. Provides monthly updates to RMC.
Function or Division Subject Matter Expert (SME)	• Has responsibility to adhere to the RM and Document Management processes, including determining policy change type, significance rating for approvals, completion (if necessary) analyses of requirements, risks, impacts and completion (if

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	necessary) of implementation plans. • Has responsibility to ensure that changes to institutional documents of respective Function are logged into the RMS system.

5. Definitions:

Term	Definition
Case	An instance of change or focused discussion of one or more institutional requirements and/or institutional documents. Data entries into the RMS database are via "Case workflows," which substantially follow the written Document Management and Requirement Management Processes. Cases tracked by the RMS database must be at least monitored by a RMC representative, and may be formally reviewed and tracked by the RMC (see Table 1).
Change	Refers to introduction of a new item, retirement of an existing item, or modification of an existing item
Disposition	In the context of this document, refers to responsibility for ownership, oversight, and/or tracking of changes to a requirement or institutional document.
Institutional document	A publication authorized by Laboratory management that delineates Laboratory-wide or multifunctional policy, procedures, regulations, or plans. A subset of authoritative documents. Scientific and technical publications and reports are not included in this definition.
RM	Requirements Management
RMS	Requirements Management System – the database and workflow
RPM	Berkeley Lab's Requirements and Policies Manual (PUB-201)

6. References:

Document number	Title	Type
04.04.001.003	Requirements Management Process	Process
04.04.001.002	Requirements Management Governance	System
04.04.001.000	*Requirements Management Policy*	Policy
10.06.001.000	*Document Management Policy*	Policy
10.06.001.001	*Document Management Process*	Process
10.06.001.102	*Developing, Reviewing, Approving Institutional Policy Documents*	Procedure
04.04.001.206	*Significance Rating Determination Form*	Form
	RMS Database System	Business application
	Requirements Management Program	Website
PUB-3111	LBNL Operations and Quality Management Plan	Program

7. Contact Information

Requirements Management Program Manager, requirementsmgmt@lbl.gov

8. Revision History

Date	Revision	By whom	Revision Description	Section(s) affected	Change Type
8/1/2014	0.2	L. Young	Review	Next review date	Minor
3/6/2013	0.1	L. Young	Pilot version approved by RMC	Remove "Pilot" labels	---
6/18/12	0	L. Young	Initial	all	Minor

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Appendix A

Chart A1: Types of Changes to the RPM (taken from Document Management Process)

Type of Change	Definition	Review/Approval authority
Major Change	Includes the addition of a new policy, the retirement of an obsolete policy, or revision to an existing policy that significantly changes its meaning, requirements, responsibilities or method of implementation, or is an extensive rewrite of an existing policy. May have high impact on other institutional documents.	(Graded per *Significance Rating Determination*.) Lab Director (A, B) COO (or designee) (B, C) Sr. Line Manager (C, D, E) Legal (A, B, C, D)
Major Change/30 Day Notice (Specific to Lab HR policies)	A Major Change to HR policy that affects employment terms and conditions. 30 day comment period starts with policy notice announced in *Today at Berkeley Lab* (TABL)	- Chief Operating Officer (or designee) - Chief HR Officer - Legal
Minor Change	A change that makes no substantial alteration in requirements or responsibilities, in the judgment of the Sr. Line Manager and/or RMC representative.	Responsible RMC representative or Line manager
Editorial change	Includes, for example: • Typos, format, grammar, • Updating hyperlinks, doc number changes • Editing text to clarify or be consistent with existing requirements within the document and/or with other institutional documents	Inform Responsible RMC representative, or Line Manager, or SME.

Significance Rating and Approval Chart – (taken from *Significance Rating Determination Form*)

Significance Rating

Impact	1	2	3
3	B	B	A
2	D	C	B
1	E	D	C

Implementing Mechanisms

TABLE A2: Approvals:

Significance Rating	Approval
A	Lab Director (or designee)
B	COO (or designee)
C, D	Sr. Line Manager(s)
E	Sr. Line Manager (or designee)

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