Procedure: Developing, Reviewing and Approving <u>Non-Policy</u> Institutional Documents

1. Purpose

This document describes the procedure for developing, reviewing, and approving non-policy institutional documents, at Lawrence Berkeley National Laboratory. The procedure is consistent with the five document management elements described in *LBNL Document Management Process*, document number 10.06.001.001.

2. Applicability – who this is for

This process applies to people who write, review, and approve non-policy institutional documents that are controlled and maintained.

2.1 Exceptions

This procedure does not address policy or requirements related documents. See *Developing, Reviewing and Approving Institutional Policy Documents* (document number 10.06.001.102).

This procedure does not address scientific or technical publications. See Scientific and Technical Publications Requirements policy.

For non-policy department-only or function-only documents, the specific function's or division's or department's procedures apply.

3. Pre-requisites

Users of this procedure should review *LBNL Document Management Process*, document number 10.06.001.001.

4. Definitions

Term	Definition
Contract 31	"Contract 31" is short for Contract No. DE-AC02-05CH11231 between the U. S. Department of Energy and the University of California describing the terms for management of LBNL. The Contract includes a statement of work (SOW) for the science missions and it details the requirements for managing the operations and business of LBNL.
Change, Major	In regards to changes to documents, this category includes the addition of a new institutional document, the retirement of an obsolete document, or revision to an existing document that significantly changes its meaning, requirements,

Term	Definition
	responsibilities or method of implementation, or is an extensive rewrite of an existing document. May have high impact on other institutional documents
Change, Major + 30 day	In regards to changes to documents, this is a Major change to HR policy that affects employment terms and conditions. The 30 day comment period starts with policy notice announced in *Today at Berkeley Lab* (TABL)
Change, Minor	In regards to changes to documents, this is a change that makes no substantial alteration in requirements or responsibilities, in the judgment of the Sr. Line Manager and/or Policy Area Manager.
Change, Editorial	In regards to changes to documents, these include, for example: - Typos, format, grammar, - Updating hyperlinks, document number changes, - Editing text to clarify or be consistent with existing requirements within the document and/or with other institutional documents.
Document	Written, visual, audio-video-recorded information stored in the form of hard copy, film, magnetic tape, electronic data, or in an on-line, web-based format
Document Information	Also referred to as document metadata, and includes (but not limited to) titles, document numbers, revision dates, and for traceability, the related source requirements and implementing documents' information.
Document Management	A business management process that ensures organization access to current, reliable, and concise information. Document management process includes document control, change control, configuration control, periodic review, and communication/distribution.
Functional area	A grouping of individuals on the basis of the function each performs in the organization (for example, human resources or IT). A Division, Department, or Office at the Laboratory. Functional areas may have oversight of one or more policy areas, or may share responsibility for a policy area with another function.
Institutional document	A publication authorized by Laboratory management that delineates laboratory-wide or multi-departmental policy, procedures, regulations, programs, plans, and so forth. Scientific and technical publications and reports are not included in this definition.
Institutional document, DOE/UCOP required	A LBNL publication explicitly mandated by DOE or UCOP that describes a laboratory-wide program or system supporting DOE or UCOP requirements. This class of documents require review and approval by Lab Senior Management, DOE and UCOP.
Metadata	See Document Information
RM Database	A database tool for managing requirements and related information, including tracking requirements, their associated policy areas, owners, records of implementing mechanisms, and their flow down to implementing documents.
Requirement	A specific obligation to perform an action mandated by LBNL senior management or the federal, state, or local government; or to comply with the Laboratory's contract with the Department of Energy; or to comply with agreements made between the Laboratory and its corporate manager, the University of California.
Requirements Review Case	An instance or a question related to a requirement that has been logged into the Requirements Management database for disposition by the RM Committee.
Revision	The act of altering or modifying a document.
Source requirements document	A high level document that establishes performance expectations as a result of a citable policy, directive, law, regulation, or contract. Examples: Clause H.18 – *Application of DOE Contractor Requirements Documents*; 10 CFR 851, *Work Safety and Health Program*
Version	An altered or modified document, which is the result of revising.

4.1   Acronyms

LBNL

ALDO/COO   Associate Laboratory Director of Operations/Chief Operating Officer
BSO   Berkeley Site Office (Department of Energy)
LM   Line Manager (Senior)
RM   Requirements Management
RM PM   Requirements Management Program Manager
RMC   Requirements Management Committee
RPM   Requirements and Policies Manual
SME   Subject Matter Expert
UCOP   University of California Office of the President
WG   Working Group

5.   Roles and Responsibilities

These are adopted from *LBNL Requirements Management Governance, Document 04.04.001.002*, and emphasize responsibilities pertinent to this procedure. Refer to the Governance document for the most comprehensive, up-to-date version.

Role	Responsibilities
Document Author	• Recommended by the Sr. Line Manager, or Requirements Management Committee (RMC) member to prepare institutional documents. Usually is a SME. Appointed by Sr. Line Manager. Assignment is on a per case basis. • Ensures clarity, accuracy, usability, and conciseness of the document(s). • Provides technical expertise to support the interpretation and implementation of requirements. • Gathers information from other functional and/or policy areas that have knowledge or expertise relevant to the document. • At the direction of the RMC member or SME, prepares document for review and approval by others. Obtains approvals for the assigned document. • With the oversight of the RMC member and assistance of CSO editor prepares institutional documents for publication. Has responsibility for all technical content and the integrity of any links introduced.

Subject Matter Expert (SME)	• A Laboratory employee or consultant with specialized knowledge about a certain topic or field of interest.
	• Provides technical expertise to the RMC and/or Working Group as it relates to the interpretation and implementation of requirements, including the development and review of policies and implementing documents.
	• May be a Working Group member, may be an author or reviewer
	• (Lead or senior functional SME) Has ownership and accountability for the technical content, accuracy, and completeness of policies.
	   o Leads in the identification and translation of requirements. Seeks and has the assistance of Working Groups (WG) and RMC member
	   o Leads the development and/or revision of policy and implementing documents within area of responsibility in accordance with requirements. Seeks and has the assistance of WG and RMC member.
	   o Coordinates document reviews, comment resolution, and implementation actions.
	      ▪ May be delegated by Sr. Line Manager to approve certain institutional documents upon completion of required reviews.
	   o Must be trained on LBNL RM and document management processes.
	• Communicates progress, actions and/or assignments to the RMC and respective Division Sr. Line Manager on regular basis.

| Role	Responsibilities
Functional Document Control Coordinator	• An optional resource hired by a Function to manage the Function's portfolio of institutional and functional documents per the Laboratory document management process and policy. • Works closely with Document Author, PAM, SMEs and WG to develop documents. • Manages Function's document database • Manages Function's repository of functional documents. Ensures uploading of final approved institutional documents into institutional document repository, and provides the RM PM with accurate and current institutional document metadata.
Sr. Line Manager	• Has responsibility and accountability for managing Laboratory requirements that pertain to his/her area of responsibility, including identification of what the requirements are and implementing them through policies, programs, procedures, etc. • Has full responsibility and authority to make and enforce policies related to his/her respective area of expertise and responsibility • Ensures compliance with LBNL requirements and document management policies and procedures. • Has ownership and accountability for the technical content, accuracy and completeness of respective Function's documents. Approves institutional documents upon completion of required reviews.. • Has responsibility for execution of approved plans for implementing mechanisms supporting a Laboratory requirement or policy, including assigning resources and funding. • Works with the RM PM and RMC to resolve issues that may arise in the process of review and translation of requirements, policy into implementation. • Has option to delegate approval authority to SME or RMC member.
Reviewers	• Review and provide comments and comment resolution concurrences on documents that directly affect operations. Reviewers may be other SMEs, members of Working Group(s), RMC members, affected users, members of Laboratory institutional committees, Laboratory managers, and so forth.
Requirements Management Program Manager (RM PM)	• Manages the Laboratory's requirements management and institutional document management processes. Is the main driver and champion of these processes. Has author/review/recommendation responsibilities for quality and completeness of RM process and institutional document management process documentation. • Serves as the Laboratory's contact point on requirements and institutional document management-related matters. • Oversees management of Laboratory's policy manual. • Maintains the Requirements Management (RM) database for tracking requirements, their associated policy areas (PA), owners, records of implementing mechanisms, and their flow down to implementing documents. Maintains accuracy and currency of the RM tracking system. Has review/approval responsibility for quality and completeness of requirement, policy, and document metadata.
Requirements Management Committee (RMC)	• Provides centralized coordination and communications on Contract 31 requirements and related Lab policy matters. • Applies the RM process in the review and disposition of Requirements Review Cases related to requirements, Laboratory policies, and on a case-by-case basis Laboratory implementing documents. Ensures that flow-down from requirement into implementing documents is addressed. • Reviews and recommends best qualified cross-functional team to address requirements analyses, implementation mechanisms and plans, policy and procedure documents. • Reviews and applies cross-functional knowledge and judgment on WG, SME work

Role	Responsibilities
	products (analyses, implementation plans, policies).
	• Advises responsible Sr. Line Manager on WG/SME work products.
	• Reviews communications plan to ensure effectiveness and thoroughness.
	• Reports to ALDO/COO.
	• Champions RM and institutional document management processes.
Chief Operating Officer (COO)	• Has full responsibility and authority to make, implement, and enforce policies related to the Laboratory Operations.
	• May be required to review and approve certain non-policy institutional documents
Laboratory Director	• Has full responsibility and authority to make, implement, and enforce policies related to the Laboratory.
	• May be required to review and approve certain non-policy institutional documents.
University of California Office of the President	• Is the corporate entity responsible for the management of Berkeley Lab
	• Reviews and approves those non-policy institutional documents that are explicitly delineated by Contract 31 requirements as needing UCOP review.
DOE/Berkeley Site Office (BSO)	• Reviews and approves those non-policy institutional documents that are explicitly delineated by Contract 31 requirements as needing DOE review.

6.   Procedure

6.1   Procedure for Non-Policy Institutional Documents

The group of "non-policy" institutional documents includes all except Laboratory policies, Laboratory generated requirements, and scientific and technical publications and reports. For most of this group, the responsible Sr. Line Manager has approval authority, and has responsibility for maintaining these documents in his/her function's repository.

Figure 1: Flow for Developing, Reviewing, Approving Non-Policy Institutional Documents.
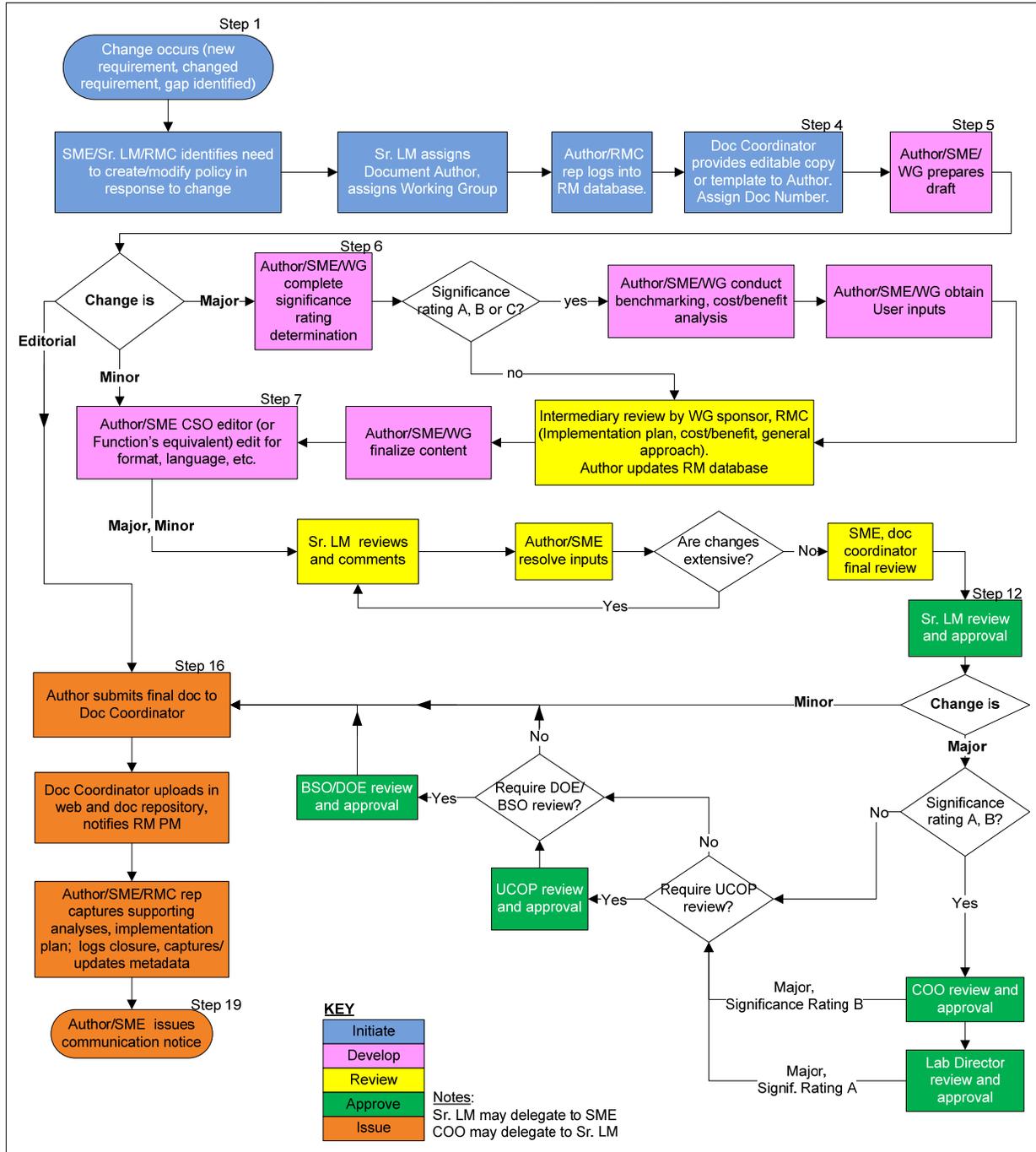
All work shall be performed in accordance with LBNL environmental, safety, health, and security requirements.

	Step	Role	Action	
Initiate	1	SME/Sr. Line Mgr/RMC	Determines need to create or modify a non-policy document	
	2	Sr. Line Mgr	Assigns Document Author, Working Group. Identifies User Group	
	3	Author/RMC Rep	Logs info into database.	
	4	Doc coordinator or RM PM	Provides editable copy of last version or template to Author. Assigns doc number.	
Develop	5	Author/SME/WG	Prepares draft of policy, brief; completes entries for document information (metadata).	
	6	Author/SME/WG	If…	Then…
			Change is Editorial	Proceed with Step 16
			Change is Minor	Proceed with Step 7
			Change is Major	• Completes risk/impact analysis and determines significance rating, implementation plan. • Conducts benchmarking (Significance rating = A, B or C.) • Obtains user inputs, blend into document (Significance rating = A, B, or C) • Conducts intermediary review with Sr. LM (and WG's sponsor, if applicable). • Finalizes content.
	7	Author/SME	Edits document for format, language, etc.	
Review and approve	8	Sr. Line Mgr (or designee)	Reviews and provides comments on final draft	
	9	Author/SME	Resolves all inputs; integrates into document.	
	10	Author/SME	If…	Then…
			Inputs result in extensive change	Proceeds with Step 8.
	11	SME/doc coordinator	Conducts final review	
	12	Sr. Line Manager	Reviews and approves	
	13	COO	If…	Then…
			Change is major & Significance Rating is B, or requires COO approval	Reviews and approves.
	14	Lab Director	If…	Then…
			Change is major & Significance Rating is A, or requires Lab Director approval	Reviews and approves.
	15	UCOP and/or DOE	If…	Then…
			Review/Approval is required by Contract 31	Reviews and approves.
Issue	16	Author/SME	Submits final approved document to Document Coordinator.	
	17	Document Coordinator	- Uploads in web and document repository - Notifies RM PM.	
	18	Author/SME/RMC Rep	- Captures ROD, implementation plan, analyses - Logs closure - Captures and updates document info (metadata)	
	19	SME/Line Mgr	Issues communication notice	

7. References

7. 1 Source Requirements Documents	
Requirement ID	**Title**
DOE Order 414.1D	*Quality Assurance*
Lab PUB 3111	*LBNL Operations and Quality Management Plan*
04.03.001.000	*RPM, Quality Assurance Policy*
04.04.001.000	*RPM, Requirements Management Policy*
10.06.001.000	*RPM, Document Management Policy*
10.06.001.001	*LBNL Managing Institutional Documents Process Description*

7. 2 Related Implementing Documents (including procedures, forms, training)	
Document Number	**Title**
10.06.001.201	Form – *LBNL Procedure/Process Template*
04.04.001.101	Procedure - *Analyzing Requirements and Determining Significance Rating from Impact and Risk Analysis*
04.04.001.201	Form - *Analyzing Requirements*
04.04.001.206	Form – *Determining Significance Rating from Impact and Risk Analysis*
10.06.001.204	Form – *Approval Form for Non-Policy Institutional Document*
04.04.001.102	Procedure - *Developing, Reviewing, Approving an Implementation Plan*
04.04.001.202	Form - *Implementation Plan Template*

8. Contact

Email: requirementsmgmt@lbl.gov
Requirements Management Program Manager
LBNL Office of Contract Assurance

9. Revision history

Date	Revision	By whom	Revision Description	Sections affected
11/24/10	0.0	L.Young	Initial	
2/15/11	0.1	L.Young	Add flows, descriptions	All
3/11/11	0.2	L.Young	Finetune	All
11/28/11	0.3	L.Young	Finalize	All
12/12/11	0.4	L.Young	Prepare for signature and pre-release in OCA web	
8/5/2014	1.0	L. Young	Review, align with current practice	Sections 5, 6

Appendix A: LBNL Document Types

Warning: See Process 10.06.001.001, LBNL Document Management Process Description for most up-to-date version. First two categories are addressed by this procedure. Third and fourth categories are addressed by Procedure 10.06.001.101 (Non-Policy Institutional Documents).

Document Category	Definition	Review[Note1]	Content Approval [Significance Rating] [Note2]
Laboratory Mission	A public declaration of the mission and objectives of Lawrence Berkeley National Laboratory. Document Types: • Laboratory Mission	• Lab Director • Legal	Lab Director [A]
		RM PM reviews/approves for quality control	
Policy	Statements or directives from the federal, state, or local government; the University of California; or LBNL senior management that set a course of action, define acceptable conduct, or implement governing principles. Document Types: • Lab Policy	• COO • Sr. Line Manager • Legal • RMC	Lab Director [A, B] COO (or designee) [B, C] Legal [A, B, C]
		RM PM reviews/approves for metadata completeness & quality control	
Description Document	A document that describes overall purpose and/or attributes of a program, system, or process, and how the elements align. It may be used to provide context for multiple implementation documents, or to identify how requirements are satisfied in procedures, processes, or other implementing mechanisms. Document Types: • Program Description • System Description • Process Description • Plan Description (per DOE requirement)[Note4] Two review/approval levels: I. DOE/UCOP/Lab – (per DOE requirements) II. Lab initiated documents	Level I: • DOE Site Office • UCOP • Lab Director • COO • Sr. Line Manager Level II: • Sr. Line Manager (or designee) • RMC representative • Working Group	Level I: • DOE Site Office • UCOP • Lab Director or COO [A, B] • Sr. Line Manager [C, D, E] Level II: • Sr. Line Manager (or designee) [C, D], E
		RM PM reviews/approves for metadata completeness & quality control	
Implementing Document	A document that details the set of actions or steps that prescribe a method for performing a task or implementing a requirement. It specifies the how, who, and when for the performance of the task or requirement. Document Types: • Procedure • Form • Training • Charter • Roles, responsibilities, authority, accountability (R2A2)	• Sr. Line Manager (or designee) • SME • RMC representative • Working Group • User group • Lab standing committee	Sr. Line Manager (or designee) [C, D, E]

Note 1: Each document must be reviewed by at least 2 groups or persons who are not the Author.

Note 2: This column shows possible approvers. Approvals are graded and based on (a) type of change [Major, minor, editorial – see table in Section 3.2.1], and (b) if major, Significance Rating [A, B, C, D, E - see Appendix B, extracted from document 04.04.001.206]. The assigned person may designate, preferably on a case-by-case basis, an alternate to review or approve.

Note 3: "Plan Description" refers to those few and select cases in which the DOE Contract requirement explicitly uses the "plan" rather than "program". Otherwise, the LBNL adopted definition for "plan" is an implementation document that describes execution details (budget, resources, tasks) of a program or project and covers a fixed time span.

Appendix B – Exchanging Documents for Edit and Review

In the drafting, editing, and review steps, versions of documents are often changing quite rapidly and extensively. Often exchanges are made between two or more people, and tracking which person has the "latest" version can be challenging.

This Appendix describes a suggested process and tool for exchanging documents between two or more persons for edit and review purposes, maintaining control of versions, comments, and dates of completion, and using semi-automatic email notifications.

Tool: Collaborative on-line spreadsheet with (a) email notifications triggered when the spreadsheet is changed, and ability (b) to accept changes by multiple users, (c) to accept attachments by multiple users, (d) to retain previous attachments.

Spreadsheet column headings for managing a document (examples!):
   a. Document identification information (number, title)
   b. Author's name
   c. Editor's name
   d. Reviewer name(s)
   e. Date submitted
   f. Date edit complete
   g. Date review complete
      [multiple step f-g cycles]
   h. Approval date
   i. Approver name
      [multiple step h-i cycles, depending on number of approvals required]
   j. Publication date
   k. Storage location of final approved version.

Triggering email notifications:
   Any time an author, editor, reviewer enters a completion date or attaches a new version or enters a comment, the collaborative application issues a notification that a change has occurred to the parties who sign up to receive notifications.
   [The level of sophistication of the application determines how soon after the change a notification is delivered, who controls enlistment for notifications, and so forth.]

The above process can work with a collaborative tool such as Smartsheet, Inc., Google Docs, and perhaps e-Room, and some of these may be more user-friendly than others.