

# **DOE TECHNICAL STANDARDS PROGRAM PROCEDURES**

**DOE-TSPP-7-2013**

September 2013

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## **MAINTAINING DOE TECHNICAL STANDARDS**

U.S. Department of Energy  
Office of Nuclear Safety  
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ATTACHMENT A: SAMPLE OF TABLE OF CHANGES (CHANGE NOTICE)



## 1. SCOPE

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### 1.1 Purpose

This Procedure provides guidance for the routine maintenance of the Department of Energy (DOE) Technical Standards.

### 1.2 Applicability

This Procedure applies to all DOE Headquarters and field organizations, management and operating contractors, and laboratories (hereafter referred to collectively as Technical Standards Program (TSP) participants) working to the latest revision of DOE Order (O) 252.1A, *Technical Standards Program*.

## 2. DOCUMENT MAINTENANCE

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### 2.1 Process Description

2.1.1 General. Maintenance of a DOE Technical Standard is a continuing responsibility of the Technical Standards Manager (TSM) from the time the document is published until it is canceled. Each TSM should ensure that appropriate DOE Technical Standards maintenance activities are completed within their organizations. Because DOE Technical Standards affect many aspects of DOE's operations, these documents should contain valid criteria that accurately describe the users' needs, current technology, modern industrial practices, DOE procurement practices, and relevant testing methods. As a result of user feedback and periodic document review, the Preparing Activity continually updates or validates the information in its DOE Technical Standards until the documents are superseded or canceled. Each organization's Senior Line Manager (SLM) should designate a cognizant individual to be responsible for each current DOE Technical Standard prepared by that organization. These assignments should be kept up-to-date through retirements, reorganizations, reassignments, and mission and function changes.

2.1.2 User Feedback. Feedback from industry, program offices, project offices, procurement groups, and other users of DOE Technical Standards is an important indicator of the document's effectiveness in meeting DOE's needs. Preparing Activities should encourage and respond promptly to user feedback.

### 2.2 Periodic Document Review

2.2.1 All DOE approved technical standards are required to be reviewed within five (5) years of the date that they were last updated [i.e., revised or reaffirmed]. This process is commonly referred to as a "Sunset Review." At the beginning of every fiscal year, the TSP develops a list of all DOE documents that will be five years old within that year and provides it to the appropriate TSMs. Each Preparing Activity should review this list, perform a thorough review of the DOE Technical Standards for which it is responsible, and take the following actions as appropriate:

- If the information in the list is incorrect, contact the TSP in writing to make the correction.
- If the document is in use and needs to be revised, i.e., is not technically current according to the criteria of Section 4.1 of this Procedure, submit a project justification statement in accordance with Section 4.1.
- If the document is technically current, but needs administrative/editorial changes that meet the Change Notice criteria in Section 4.2 of this Procedure, issue a Change Notice. Note that a Change Notice does not reset the 5-year Sunset clock. A Change Notice may be combined with a Reaffirmation Notice in accordance with Section 4.3 of this Procedure in order to fulfill the intent of the Sunset Review and reset the Sunset clock.
- If the document is technically correct and is consistent with DOE Technical Standards Program Procedures (TSPPs), issue a Reaffirmation Notice per Section 4.3 of this Procedure.
- If the document is not technically current and is not being used at any DOE facility, cancel the document in accordance with Section 4.4 of this Procedure.
- If the document is a candidate for conversion to a VCS, follow the processes outlined in DOE-TSPP-8-2013.

If the Preparing Activity that originally developed the document no longer exists or the chairperson/author has been reassigned, the TSM of the originating organization will appoint a new chairperson/author.

### **2.3 Failure to Take Action on Documents Greater Than 5 Years Old**

The TSP, after considering safety implications, may initiate action to cancel a document if a Preparing Activity does not take appropriate action to update the document within one (1) year of notification of the "Sunset Review" (the 5-year review cycle) for the document. If, after notification of intended cancellation, another Headquarters or field organization expresses an interest in accepting Preparing Activity responsibility, the TSP may transfer the document to that organization for maintenance.

## **3. REVIEW PROCEDURE**

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A flowchart of the complete maintenance process for DOE Technical Standards is provided in Figure 1. The following describes the typical sequence of events.



Figure 1 Legend	
Person(s) Responsible	Action
a. Technical Standards Program (TSP)	1. At the beginning of each fiscal year, develop a listing of all documents that will be 5 years old or older within that fiscal year and mail it to all TSMs.
b. Technical Standards Manager (TSM)/Preparing Activity (PA)	<ol style="list-style-type: none"> <li>1. Ensure that the designated Preparing Activities within their organization conduct a review of the DOE Technical Standards on the list provided by the TSP. Perform a user survey as needed.</li> <li>2. Appoint replacement Preparing Activities as necessary.</li> <li>3. Assist the Preparing Activities in identifying and initiating the appropriate updates from the following list. Coordinate all actions with the cognizant DOE element and notify the TSP of one of the following proposed actions.                             <ol style="list-style-type: none"> <li>(a) Revision – a technical change to the text is needed, or non-technical changes will affect more than 25 percent of the text (see Section 4.1 of this Procedure for the definition of "technical change" and guidance on the revision process).</li> <li>(b) Change Notice – non-technical (editorial) changes affecting less than 25 percent of the text (see Section 4.2 of this Procedure). Follow with a Reaffirmation Notice (next step).</li> <li>(c) Reaffirmation Notice – documents for which there is a continuing need "as-is" (see Section 4.3 of this Procedure).</li> <li>(d) Cancellation Notice – documents that have been converted, superseded, are no longer needed, or are technically inadequate (see Section 4.4 of this Procedure).</li> </ol> </li> </ol>
c. Technical Standards Program	<ol style="list-style-type: none"> <li>1. Monitor the review and maintenance actions taken with respect to the DOE Technical Standards on the list.</li> <li>2. If a TSM does not take appropriate action to update the DOE Technical Standard after one year has lapsed, contact other TSMs to determine whether they will accept responsibility for the document.</li> <li>3. If no other TSM accepts responsibility, initiate actions to cancel the document.</li> <li>4. If another TSM accepts responsibility for the document, transfer the document to the new TSM.</li> </ol>

## 4. UPDATES TO DOE TECHNICAL STANDARDS

Updates to DOE Technical Standards may be made through revision or through one of the types of notices described in the following paragraphs. Procedures for updating DOE Technical Standards are provided as part of the descriptions of the different types of updates that follow.

### 4.1 Revisions

Revisions to DOE Technical Standards are required when (1) the document needs a technical change to the text, or (2) other types of changes affect more than 25 percent of the pages of the document. Technical changes are generally the result of relevant operating experience information, technology advancements, changes in policy, revised requirements that necessitate updating a reference or a list of referenced documents in the DOE Technical Standard, or updated procurement specifications. The need for a revision is generally identified by the Preparing Activity; it may also be identified by any user, by notifying in writing the Preparing Activity, a TSM, or the TSP. Revisions may also be used to reactivate a previously issued but cancelled DOE Technical Standard. Changes that are not technical and affect less than 25 percent of the pages may be handled by a Change Notice (see Section 4.2 of this Procedure). Revision of a DOE Technical Standard is conducted in accordance with the following procedure.

Person(s) Responsible	Action
1. Preparing Activity	Contact the cognizant TSM and notify him/her of the intent to revise.
2. Preparing Activity	Prepare a Project Justification Statement (PJS) and submit to the TSP for posting in TSP RevCom (see DOE-TSPP-2-2013).
3. Reviewing Activities	Review proposed PJS and provide concurrence feedback through organizational TSM.
4. Preparing Activity	After concurrence on PJS has been obtained, prepare and submit a Project Registration and Approval Request (PRAR) (see DOE-TSPP-2-2013) to the TSP with copy to the organizational TSM.
5. Technical Standards Program	Assign a project number (for example, revision of STD-3009 would be given the project number P3009-REV).
6. Preparing Activity	Complete the revision process in accordance with DOE-TSPP-4-2013, DOE-TSPP-5-2013, and DOE-TSPP-6-2013.

### 4.2 Change Notices

A change notice is used to transmit non-technical page revisions that affect less than 25 percent of the pages of the document. Change notices are most often

used for the following cases: to correct typographical, spelling, and numerical errors; to update non-invoked references; and, to make administrative changes such as those related to organizational structure.

The Preparing Activity may issue a change notice when changes to a published DOE Technical Standard are not technical in nature and do not exceed 25 percent of the pages of the document. If changes exceed 25 percent of the pages or are technical in nature, the document should be revised in accordance with Section 4.1 of this Procedure.

At the discretion of the Preparing Activity and the TSM, the document update may be processed as a revision even if the changes constitute less than 25 percent of the pages of the document. Appendices to DOE Technical Standards are not considered when determining the percentage of pages changed. Appendices are used to provide supplemental information; as such, they do not count as pages when determining if a Change Notice can be processed.

Change Notices do not require project registration or coordination through DOE-wide review. The Preparing Activity prepares a Change Notice and approves the changes with the concurrence of the appropriate TSM and the TSP.

Change notices to DOE Technical Standards are accomplished as follows:

Person(s) Responsible	Action
1. Preparing Activity and Technical Standards Manager	Prepare the Change Notice Memorandum, approved by the responsible Senior Line Manager, justifying the needed change. Include the updated DOE Technical Standard with a Table of Changes (see Attachment A as an example) that lists the changes and the affected sections.
2. Technical Standards Program	Verify that Change Notice meets the requirements of the TSP and post approved Change Notices.

### 4.3 Reaffirmation Notice

Reaffirmation Notices indicate that the Preparing Activity has performed a five-year review of an active, approved DOE Technical Standard in accordance with Section 2.3 of this Procedure and has determined that the document continues to be of use to the DOE community and does not need changes beyond those changes required by a Change Notice (a Reaffirmation Notice combined with a Change Notice is called a Reaffirmation with Change Notice). The Preparing Activity should discuss the appropriateness of the reaffirmation with the Office of Primary Interest for any DOE directive(s) that references or invokes the document.

Reaffirmation Notices do not require project registration; however, the Preparing Activity must coordinate the reaffirmation process with the TSMs and the TSP. The Preparing Activity must evaluate any comments received during the coordination process to determine if reaffirmation is appropriate or document

changes are required. A Reaffirmation Notice may only be approved if all affected DOE Program Offices concur. Although reaffirmation notices do not affect the content of the DOE Technical Standards, changes to the responsible Preparing Activity may be announced by this notice.

Reaffirmations should ensure that current TSPP requirements are satisfied. For example, "Guide", "Guidelines", or "Guidance" shall not appear in the title and Handbooks may not include requirements statements.

Reaffirmation Notices are accomplished as follows:

Person(s) Responsible	Action
1. Preparing Activity and Technical Standards Manager	Prepare a Reaffirmation Notice Memorandum, approved by the responsible Senior Line Manager, justifying the reaffirmation and submit to the TSP for DOE-wide coordination allowing a 60 day review period.
2. Reviewing Activities	Review proposed Reaffirmation Notice Memorandum and provide concurrence feedback through the organizational TSM.
3. Preparing Activity and Technical Standards Manager	Evaluate any returned comments to determine if document changes may be needed. If all affected DOE Program Offices have concurred, submit reaffirmed DOE Technical Standards to TSP for posting.
4. Technical Standards Program	Verify that the reaffirmation action meets the requirements of the TSP and post the approved reaffirmed DOE Technical Standard.

#### 4.4 Cancellation Notice

An approved DOE Technical Standard should be canceled if (1) the technical content of the document has been converted to a VCS; (2) the document has been superseded by another DOE Technical Standard or a DOE requirements document; or, (3) the document is no longer needed.

The Preparing Activity allows a minimum of 60 days for TSMs, Reviewing Activities, and other users to comment on the proposed cancellation of a DOE Technical Standard. The Preparing Activity should include a statement in the Cancellation Notice Memorandum that any TSM or Reviewing Activity that may still need the document should be willing to assume the Preparing Activity responsibility for future document maintenance.

Cancellation notices are accomplished as follows:

Person(s) Responsible	Action
1. Preparing Activity and Technical Standards Manager	Prepare a Cancellation Notice Memorandum, approved by the responsible Senior Line Manager, justifying the cancellation and submit to the TSP for DOE-wide coordination allowing a 60 day review period.
2. Reviewing Activities	Review proposed Cancellation Notice Memorandum and provide concurrence feedback through the organizational TSM.
3. Preparing Activity and Technical Standards Manager	Resolve any non-concurrences received from affected DOE Program Offices and notify TSP when all non-concurrences are resolved.
4. Technical Standards Program	Verify that the cancellation action meets the requirements of the TSP and move the cancelled standard to the TSP archive.

**ATTACHMENT A**  
**Sample of Table of Changes (Change Notice)**

Change Notice No. 1

DOE-STD-1194-2011  
August 2011

***Nuclear Material Control and Accountability***

<b>Page/Section</b>	<b>Change</b>
Title Page	Formatting and font size adjusted
Page 2/Section 4.h	Reference to document was updated from DOE M 470.4-1 Chg 2, <i>Safeguards and Security Program Planning and Management</i> , dated 10-2-10 to DOE O 470.4B, <i>Safeguards and Security Program</i> , dated 7-21-11.
Page 2/Section 4.i	Reference to document was updated from DOE M 470.4-2A <i>Physical Protection</i> , dated 7-23-09 to DOE O 473.3, <i>Protection Program Operations</i> , dated 6-27-11.
Page 2/Section 4.j	Reference to document was updated from DOE M 470.4-4A, Ch 1, <i>Information Security Manual</i> , dated 10-12-10 to DOE O 471.6, <i>Information Security</i> , dated 6-20-11.
Page 2/Section 4.k	Reference to document was updated from DOE M 470.4-5 <i>Personnel Security</i> , dated 8-26-05 to DOE O 472.2, <i>Personnel Security</i> , dated 7-27-11.