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DOE-STD-1033-92 (12-98)
December 1992

CHANGE NOTICE NO.1
December 1998

DOE STANDARD

GUIDE TO GOOD PRACTICES FOR OPERATIONS AND ADMINISTRATION UPDATES THROUGH REQUIRED READING



U.S. Department of Energy
Washington, D.C. 20585

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*Guide to Good Practices for Operations and Administration Updates Through
Required Reading*

Page/Section	Change
p. 10 / Section 4.4	References to DOE Order 1324.5, <i>Records Management Program</i> , and DOE Order 1324.2A, <i>Records Disposition</i> were replaced by DOE G 1324.5B, <i>Guide for DOE Records Management</i> .
p. 11 / Supplemental Resources	References to DOE Order 1324.5, <i>Records Management Program</i> , and DOE Order 1324.2A, <i>Records Disposition</i> were replaced by DOE G 1324.5B, <i>Guide for DOE Records Management</i> .
Concluding Material	The Preparing Activity was changed to EH-31.

Change Notice No.1

DOE-STD-1033-92
December 1998

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FOREWORD

The purpose of this Guide to Good Practices is to provide Department of Energy (DOE) contractors with information that can be used to validate and/or modify existing programs relative to Conduct of Operations. This Guide to Good Practices is part of a series of guides designed to enhance the guidelines set forth in DOE Order 5480.19, *Conduct of Operations Requirements for DOE Facilities*.

KEYWORDS

File Index

Immediate Reading Document

Required Reading File

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DEFINITIONS

File Index	A listing of the types of documents that should be designated for required reading.
Immediate Reading Document	A document that must be read before assuming responsibility for a job position or performing an activity affected by that document.
Required Reading Document	A document identified by an appropriate level of management for reading by designated personnel.
Required Reading File	A binder containing documents required to be read by a certain date.

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GUIDE TO GOOD PRACTICES FOR REQUIRED READING

1. INTRODUCTION

This Guide to Good Practices is written to enhance understanding of, and provide direction for, Required Reading, Chapter XIV of Department of Energy (DOE) Order 5480.19, *Conduct of Operations Requirements for DOE Facilities*. The practices in this guide should be considered when planning or reviewing programs for updating personnel with operations and administration information through required reading. Contractors are advised to adopt procedures that meet the intent of DOE Order 5480.19.

"Required Reading" is an element of an effective Conduct of Operations program. The complexity and array of activities performed in DOE facilities dictate the necessity for a coordinated required reading program to promote safe and efficient operations.

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2. OBJECTIVE

The objective and criteria are derived from DOE Order 5480.19. They are intended to aid each facility in meeting the intent of the order.

A required reading program is in place to enhance personnel awareness of important information relevant to their job assignments.

Criteria:

- a. A list of the types of documents to be selected for required reading is developed.
- b. A system is in place that specifies documents to be read by applicable personnel, whose operations are impacted by such documents.
- c. Required reading documents are assigned a required completion date.
- d. Completion of reading assignments is documented and that documentation is retained.
- e. Periodic reviews are performed to ensure required completion dates are met.

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3. DISCUSSION

A properly administered program for updating personnel with operations and administration information through required reading is essential to the safety of personnel, equipment, and the environment. Required reading provides a method for employees to be made aware of information related to their job assignments. It includes information such as lessons learned from industry operating experience, facility equipment and system changes, procedure changes, company policies, and human resource information. A required reading program can also supplement employee training by providing information that is not routinely included in a formal training program or information that may be trained on at a later date. The decision on how the required reading program will be used in conjunction with the facility training program must be carefully considered for each reading assignment. The system used to enact the required reading program provides tracking of the information supplied to employees and the completion status of the reading assignments. Personnel should be informed of the importance of questioning any information received through required reading when it is not understood.

Essential to an effective required reading program is the administrative procedure governing the program. This procedure provides the necessary guidance to the manager or supervisor responsible for administering this program. The information herein will assist in the development of such a program.

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4. GOOD PRACTICES

A required reading program that contains the following elements will enhance personnel knowledge and awareness, and hence enhance the safety and operations of any DOE facility.

4.1 File Index

The file index is a management aid for screening documents to ensure appropriate information is placed in the required reading file. It incorporates types of documents that provide information that affect the operation of the facility. In addition, it should include the types of documents that require formal documentation that the information has been read. Examples of the types of documents to include in a file index are:

- Procedure changes or revisions
- Temporary modifications to systems or equipment
- New or updated hazard communication information
- Company reference manual changes
- Policy changes
- Related industry event reports
- Occurrence reports
- Industry operating experience information
- Other information necessary to keep operations department personnel aware of current area activities.

The appropriate manager or supervisor should develop the file index and include it in the administrative procedure governing the required reading program.

4.2 Reading Assignments

The appropriate manager or supervisor should assign employees to read only documents that pertain to them. Avoid the tendency to require all personnel to read all documents selected for required reading just because they work for the same organization. This will maximize program worth by maintaining personal interest in the reading assignments. For example, a document summarizing a recent occurrence may need to be read by all personnel; however, a change to a company policy regarding hazardous chemical use may not.

Required reading documents should be kept in the required reading file. This file should be placed in an accessible location (e.g., the cognizant manager's office or desk, for shift work the shift supervisor's office or desk) that allows personnel to retrieve and read the documents. In special cases, it may be desirable not to place some documents in the required reading file because of their size or for other reasons (e.g., classification). When a required reading document is not placed in the file, the required reading document log or a required reading sign-off matrix (see appendices) should indicate the location of the document.

4.3 Required Dates for Completing Reading Assignments

The appropriate manager or supervisor should assign a required completion date to the required reading document. When determining the date, the relative importance of the information to the employees should be taken into account. Some documents should be designated for immediate reading while others may be designated for general reading.

Examples of immediate reading documents include:

- Temporary modifications to a system

- Procedure change
- New or updated hazard communication information.

When documents are designated for immediate reading, a notification that the document has been issued should be placed in the timely orders to operators. Operator orders provide a means for management to communicate guidance and short-term information to personnel. For more information on timely orders, refer to DOE Order 5480.19, Chapter XV, *Timely Orders to Operators*.

General reading documents may have long-term or recurrent required completion dates, such as an annual requirement to review the company policy manual. In all cases, personnel are responsible to read the required reading assignments within the timeframe specified.

4.4 Documentation

Personnel should document the completion of reading assignments by signature or initials. The documentation used should list the document title or description, required completion date, actual completion date, and a signature or initials verifying the completion of the reading assignment. The type of documentation used depends on the level of management responsible for tracking the required reading program. If the appropriate level of management is responsible for a multi-level organization, such as an Operations Manager responsible for five operating shifts, then the documents described in Appendix A could be used. If the appropriate level of management is at a smaller scale, such as a first line supervisor responsible for fifteen people, then the documentation described in Appendix B could be used. One additional method for documenting completion and tracking of required reading would be to use a computer-based system.

Documentation that reading assignments have been completed should be retained. The retention of documents is controlled by DOE G 1324.5B, *Guide for DOE Records Management*.

4.5 Review

The appropriate manager or supervisor should periodically review the required reading file to ensure completion of reading assignments by the required completion date. One method of formally accomplishing this is by using a review sheet in the required reading file. The sheet should specify the review frequency (e.g., monthly, quarterly) and provide spaces for the reviewer's signature and date of review. Another method, which is similar to that used when reviewing log books, would be to document the review on the required reading document log (see Appendix A).

Completed required reading documents should be removed from the required reading file and retained for reference (i.e., kept in a "dead" file). If the document will ultimately become part of a permanent record (e.g., procedure, company policy), then the document need not be retained.

SUPPLEMENTAL RESOURCES

The following sources provide additional information pertaining to topics discussed in this Guide to Good Practices:

DOE Order 5480.19, *Conduct of Operations Requirements for DOE Facilities*, Chapter XV, “Timely Orders to Operators.”

DOE G 1324.5B, *Guide for DOE Records Management*.

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APPENDIX A
REQUIRED READING DOCUMENT LOG

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REQUIRED READING DOCUMENT LOG

The following system can be used by an organization at any level. The administrative procedure governing the required reading program should prescribe the use of this system and its supporting forms.

An advantage of using this type of system is the ability to track several different groups of employees. An effective use of this system and forms is described as follows:

[1] The appropriate manager shall:

[a] Assign documents for reading by his staff as required reading.

[i] Determine a completion date for the document. The completion date should be based on the urgency of the document.

[b] Complete a sign-off sheet (page A-5).

[i] Record the assignment group (e.g., shift crew, administration), document title or description, required completion date, and the employee names. (Assignment groups and employee names may be preprinted on the forms.)

[ii] Record "NA" (Not Applicable) and initial in the completion date block, for a document not required to be reviewed by that particular employee.

[iii] Indicate where the document is located if it was not placed in the required reading file.

[c] Record the document title or description, assignment group, and the required completion date on the required reading document log (page A-7).

- [d] Place the document and sign-off sheet in the appropriate section of the required reading file. For those documents that will not be placed in the file, place the sign-off sheet in the appropriate section of the file.
- [e] Record the completion date and the supervisor's initials on the required reading document log and discard the review sheet after the reading assignment has been completed by all affected employees.

[2] Retain the required reading document log in accordance with document control procedures after it has been completely filled in.

EXAMPLE SIGN-OFF SHEET

Assignment Group

--

Document Title or Description

LOCATION:

Required Completion Date _____

EMPLOYEE NAME	COMPLETION DATE	INIT	COMMENTS

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REQUIRED READING DOCUMENT LOG

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APPENDIX B
REQUIRED READING SIGN-OFF MATRIX

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REQUIRED READING SIGN-OFF MATRIX

The following system could be used by a small organization. The administrative procedure governing the required reading program should prescribe the use of this system and its supporting forms.

The advantage of this type of documentation system is that the retained forms verify the completion of reading assignment by each affected individual. An effective use of this system and form is described as follows:

[1] The appropriate manager shall:

[a] Assign documents for reading by his staff as required reading.

[i] Determine a completion date for the document. The completion date should be based on the urgency of the document.

[b] Record the document title or description, required completion date, and employee names on the sign-off matrix (page B-5). (Employee names may be preprinted on the form.)

[c] Record "NA" (Not Applicable) and initial in the completion date block, for a document not required to be reviewed by that particular employee.

[d] Place the document in the appropriate section of the required reading file. For a document that will not be placed in the required reading file, indicate where the document can be located.

[2] Retain the completed sign-off matrices in accordance with document control procedures.

REQUIRED READING SIGN-OFF MATRIX

NOTE: Complete Reading Assignments and Record Actual Completion Date and Initials (e.g. 10/18/12)

CONCLUDING MATERIAL

Review Activities:

DOE
DP
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Preparing Activity:

DOE-EH-31
Project Number:
MISC-0005



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