



Forms
Contact List
SBMS Instructions
Help Desk

Find Subject Areas:

[Show Side Menu](#) Search Subject Areas & Legacy Documents:

Contents: Requirements Management

Effective Date: **April 2003**

Point of Contact: [SBMS Requirements Management](#)

Section	Overview of Content (see section for full process)
Introduction 1. Receipt and Initial Processing of External Requirement Documents	<ul style="list-style-type: none"> • Forward external requirements to RM Office. • Identify appropriate primary management system. • Enter information into SBMS-CCTS. • Analyze requirement document for applicability.
2. Analysis of External Requirement Documents	<ul style="list-style-type: none"> • Determine which other management systems might be affected. • Document implementation decisions on separate External ROD Form. • Review and approve External ROD Form for each parsed unit. • Collect forms into External ROD Package. • Summarize and review proposed actions for approval. • Forward completed External ROD package with approved action plan. • Close SBMS-CCTS item and draft F-ATS entry.
3. Processing the External Requirement Document Record of Decision	<ul style="list-style-type: none"> • Review ROD package. • Initiate a response letter to DOE for DOE Directives. • Update the Requirements Management database. • Monitor and track actions to completion.
Definitions	
Exhibits External Requirement Document Processing Flowchart	

Forms

[External Requirement Document Record of Decision Form](#)

Training Requirements and Reporting Obligations

This subject area does not contain training requirements.

This subject area contains the following reporting obligations:

- The SBMS RM Office has the formal BNL response letter reviewed by Legal Counsel (if necessary), and sends to the Deputy Director for Operations for signature.
- The Deputy Director for Operations sends this letter to the DOE-BHSO Contracting Officer, requesting written approval agreeing with BNL's determination, and sends a copy of the letter to the SBMS RM Office.
- Once all action items are closed in FATS, the Management System Steward or POC closes the condition to show that they concur that all action items are complete.
- Once the Management System Steward closes the condition, notification is sent via electronic mail to the SBMS RM Office. The SBMS RM Office closes the assessment and notifies DOE-BHSO.

See the section [Processing the External Requirement Document Record of Decision](#) for more information.

References

[Laboratory-Wide Procedures and Guidelines](#) Subject Area

Standards of Performance

The Laboratory's policies, standards, and Laboratory-wide procedures and guidelines are based on an evaluation of external requirements documents and applicable non-government standards, e.g., orders, directives, and federal, state, and local laws.

Management System

This subject area belongs to the **Standards-Based Management System** management system.

[Back to Top](#)

The only official copy of this file is the one online in SBMS. Before using a printed copy, verify that it is the most current version by checking the document effective date on the BNL SBMS website.

2.1-062004-/standard/02/0200t011.htm

Send a question or comment to the [SBMS Help Desk](#)
[Disclaimer](#)



Forms Contact List SBMS Instructions Help Desk

Find Subject Areas: Index Categories Alpha

Show Side Menu Search Subject Areas & Legacy Documents:

Introduction: Requirements Management

Effective Date: **April 2003**

Point of Contact: [SBMS Requirements Management](#)

This subject area describes the procedures and guidelines necessary to ensure change control for the processing of new or revised external requirement documents. External requirement documents include DOE Directives and other documents that impose requirements on the Laboratory (e.g., federal, state, and local laws and regulations).

The [External Requirement Document Processing Flowchart](#) illustrates the overall process for managing external requirement documents. New or revised external requirement documents are screened by the SBMS Requirements Management (RM) Office to determine their applicability to the Laboratory. Once applicability has been determined, the Management System Steward or designee determines how the Laboratory will comply with the document and the actions required to achieve compliance. This may involve developing or revising appropriate Laboratory-Wide Procedures and Guidelines, developing training, program descriptions, task- and group-specific procedures, or other methods. A waiver or exemption may be necessary for an external requirement document, or a requirement within the document, that is considered not applicable to the Laboratory. Contact the SBMS RM Office for further information.

The methods used to implement the external requirement document are recorded on the [External Requirement Document Record of Decision Form](#) (External ROD Form) and forwarded to the SBMS RM Office. This information is used to manage the list of requirement documents for the management systems, and as a tool for management system stewards in analyzing future revised or related external requirement documents.

[Back to Top](#)

The only official copy of this file is the one online in SBMS. Before using a printed copy, verify that it is the most current version by checking the document effective date on the BNL SBMS website.

2.0-042003/standard/02/0200i011.htm

Send a question or comment to the [SBMS Help Desk](#)
[Disclaimer](#)



Forms
Contact List
SBMS Instructions
Help Desk

Find Subject Areas:

[Show Side Menu](#) Search Subject Areas & Legacy Documents:

Subject Area: **Requirements Management**

1. Receipt and Initial Processing of External Requirement Documents

Effective Date: **April 2003**

Point of Contact: [SBMS Requirements Management](#)

Applicability

This information applies to SBMS Requirements Management staff, Management System Stewards, Point of Contacts (POCs), and Subject Matter Experts (SMEs).

Required Procedure

DOE Directives are received by the SBMS Requirements Management (RM) Office from the U.S. Department of Energy-Brookhaven Site Office (DOE-BHSO) Contracting Officer or designee. Other requirements documents, such as new or revised local, state, and federal regulations, must be received directly or identified by the Management System Steward, POCs, or SMEs, and processed through the SBMS Requirements Management (RM) Office.

The procedure for receipt and initial processing of external requirement documents is described below.

For an overview of the Requirements Management process, see the exhibit [External Requirement Document Processing Flowchart](#).

Step 1	Staff receive external requirements documents, such as new or revised local, state, and federal regulations, and forward them to the SBMS Requirements Management (RM) Office.
Step 2	The SBMS RM Office identifies the appropriate primary management system for the external requirements document and enters the information into the SBMS Correspondence & Commitment Tracking System, (SBMS-CCTS), which assigns a tracking number.
Step 3	The SBMS RM Office reviews the external requirement document to determine if it is applicable to the Laboratory.

If it is **not applicable**, the SBMS RM Office

- Sends an e-mail notification to the primary Management System Steward and POC "for information only";
- Sends an e-mail notification to DOE-BHSO stating that the external requirements document is not applicable;
- Closes the SBMS-CCTS item. No further action is required by this subject area.

If it **is applicable**, the SBMS RM Office sends an e-mail notification to the primary Management System Steward and POC, to any known parsed Management System Steward(s) and POC(s), and to those who need to provide information for the response, concur with the response, or know about the correspondence or commitment.

| [Continue to Next Page](#) |

[Back to Top](#)

The only official copy of this file is the one online in SBMS. Before using a printed copy, verify that it is the most current version by checking the document effective date on the BNL SBMS website.

2.1-062004/standard/02/0201d011.htm

Send a question or comment to the [SBMS Help Desk](#)
[Disclaimer](#)



Forms
Contact List
SBMS Instructions
Help Desk

Find Subject Areas:

Show Side Menu **Search Subject Areas & Legacy Documents:**

Subject Area: **Requirements Management**

2. Analysis of External Requirement Documents

Effective Date: **April 2003**

Point of Contact: [SBMS Requirements Management](#)

Applicability

This information applies to Management System Stewards, Point of Contacts (POCs), and Subject Matter Experts (SMEs).

Required Procedure

The primary Management System Steward or designee of a new or revised external requirement document coordinates the analysis to determine the applicability of and implementation methods for requirements identified in the external requirement document.

External requirement documents will be analyzed at the level determined appropriate by the primary Management System Steward or designee.

For an overview of the Requirements Management process, see the exhibit [External Requirement Document Processing Flowchart](#).

Step 1	<p>The primary Management System Steward reviews the external requirement document to determine if it is applicable to the Laboratory.</p> <p>If it is not applicable, the primary Management System Steward or designee sends an explanation via e-mail notification to SBMS Requirements Management (RM) Office. The SBMS RM Office proceeds to the section Processing the External Requirement Document Record of Decision.</p> <p>If it is applicable, the primary Management System Steward proceeds to Step 2.</p>
Step 2	<p>The primary Management System Steward or designee determines which, if any, other management systems might be affected by the parsed unit of the new or revised external requirement document and provides them with any relevant information.</p> <p>Note: Parsing refers to breaking the external requirement document down to an appropriate level of detail for linking the document content to implementation. Options for parsing include the entire document, individual sections, or individual requirements within a section. This parsing should be at a level that is most useful to the Management System Steward to determine the extent of the Laboratory's compliance with the applicable content of the document.</p> <p>Note: The SBMS RM Office can assist in determining which other management systems have identified the same requirements document as a driver for their management system.</p>

	identified the same requirements document as a driver for their management system.
Step 3	The primary Management System Steward or designee enters each parsed unit (as determined in step 2 above) on an individual External ROD Form and forwards each to the management system steward or designee responsible for each specific parsed unit. Note: For assistance in using this form, contact the SBMS RM Office .
Step 4	The primary Management System Steward or designee and other affected Management System Stewards or their designees determine the applicability of their portions of the requirement document based on the scope of activities performed at the Laboratory. Note: The Management System Stewards may contact the SBMS RM Office for facilitation of the analysis. The Legal Office is available to help the steward in applicability determination.
Step 5	The primary Management System Steward or designee and other affected Management System Stewards or their designees determine whether actions must be taken to implement their portions of the external requirement document. Note: These actions could include developing new or revised laboratory-wide procedures (see Laboratory-Wide Procedures and Guidelines Subject Area), developing new or revised task- or group-specific procedures, training, engineered solution, or requests for waiver or exemption.
Step 6	The primary Management System Steward or designee and other affected Management System Stewards or their designees, as appropriate, document the implementation decisions made for each parsed unit on a separate External Requirement Document Record of Decision Form (External ROD Form).
Step 7	The parsed unit Management System Steward approves their External ROD Form and forwards it to the primary Management System Steward.
Step 8	The primary Management System Steward reviews and approves the External ROD Form for each parsed unit.
Step 9	The primary Management System Steward or designee collects the completed External ROD Forms for each parsed unit into one package called the External ROD Package, which becomes the overall record of decision for the external requirement document.
Step 10	The primary Management System Steward or designee develops a summary of the proposed actions.
Step 11	The primary Management System Steward or designee forwards this completed External ROD Package, including the approved action plan, to the SBMS RM Office .
Step 12	The SBMS RM Office closes SBMS-CCTS item and drafts Family Action Tracking System (F-ATS) entry.

Guidelines

The Management System Steward can contact the [SBMS RM Office](#) to identify other management systems that list the same requirement document and for copies of previous or related ROD information.

References

[Laboratory-Wide Procedures and Guidelines](#) Subject Area

| [Go to Previous Page](#) | [Continue to Next Page](#) |

[Back to Top](#)

The only official copy of this file is the one online in SBMS. Before using a printed copy, verify that it is the most current version by checking the document effective date on the BNL SBMS website.

2.0-042003/standard/02/0202d011.htm

Send a question or comment to the [SBMS Help Desk](#)
[Disclaimer](#)



Forms
Contact List
SBMS Instructions
Help Desk

Find Subject Areas: Index Categories Alpha

Show Side Menu Search Subject Areas & Legacy Documents:

Subject Area: **Requirements Management**

3. Processing the External Requirement Document Record of Decision

Effective Date: **April 2003**

Point of Contact: [SBMS Requirements Management](#)

Applicability

This information applies to the SBMS Requirements Management (RM) Office, Management System Stewards, Point of Contacts (POCs), and assigned Subject Matter Experts (SMEs).

Required Procedure

Actions or commitments identified on the [External Requirement Document Record of Decision Form](#) (External ROD Form) will be tracked to closure by the appropriate Management System Steward or designee.

For an overview of the Requirements Management process, see the exhibit [External Requirement Document Processing Flowchart](#).

Step 1	The SBMS Requirements Management (RM) Office reviews the completed External ROD package (that includes the overall record of decision for the external requirement document and the approved action plan) provided by the primary Management System Steward or designee, and requests additional information, if needed.
Step 2	For DOE Directives and laws or regulations transmitted by the DOE, the SBMS RM Office initiates a formal BNL response letter, which documents BNL's determination for the Directive (either show compliance; provide a compliance action plan; or request a waiver, exemption or extension).
Step 3	The SBMS RM Office has the formal BNL response letter reviewed by Legal Counsel (if necessary), and sends it to the Deputy Director for Operations for signature.
Step 4	The Deputy Director for Operations sends this letter to the DOE-BHSO Contracting Officer, requesting written approval agreeing with RNI's

	Contracting Officer, requesting written approval agreeing with BNL's determination, and sends a copy of the letter to the SBMS RM Office.
Step 5	<p>The SBMS RM Office receives DOE-BHSO's approval agreeing with BNL's determination. If DOE-BHSO rejects BNL's determination, the SBMS RM Office enters the information into the SBMS-CCTS and alerts the Deputy Director for Operations.</p> <p>The Deputy Director for Operations reviews the rejection with the primary Management System Steward, who then repeats the section Analysis of External Requirement Documents.</p>
Step 6	The SBMS RM Office updates the requirements database with information from the completed External ROD package.
Step 7	The SBMS RM Office enters the action plan commitments into their Family Action Tracking System (F-ATS) for follow up and assigns the Management System Steward as the Condition Owner and the Management System POC as the delegate, and assigns the actions to those identified in the action plan.
Step 8	Once all action items are closed in F-ATS, the Management System Steward or POC closes the condition to show that they concur that all action items are complete.
Step 9	Once the Management System Steward closes the condition, notification is sent via electronic mail to the SBMS RM Office. The SBMS RM Office closes the assessment and notifies DOE-BHSO.
Step 10	The SBMS RM Office updates the External Requirement Document Record of Decision files when actions or commitments are completed, or waivers or exemptions are granted by DOE-BHSO.
Step 11	<p>The SBMS RM Office maintains record copies of the following:</p> <ul style="list-style-type: none"> • Compliance request letters from DOE-BHSO for DOE Directives; • Hard copies of all contractually required DOE Directives for permanent files; • External Requirement Document Records of Decision; • SBMS Requirements Management copies of outgoing (official) correspondence related to the above; • Exemptions or waivers related to the above; • Listing of external requirement documents for management systems. <p>Note: The Management System Stewards may maintain nonrecord copies of these as part of the management system.</p>

Guidelines

Management System Stewards or their designees may request the SBMS RM Office to prepare a letter for transmittal to an external client or agency that identifies the Laboratory's compliance status to particular external drivers. This letter may include requests for waivers or exemptions to specific requirements.

Management System Stewards or their designees may request the SBMS RM Office to prepare a follow-up or closure letter for transmittal to an external client or agency when the commitments identified to achieve compliance have been completed.

| [Go to Previous Page](#) |

[Back to Top](#)

The only official copy of this file is the one online in SBMS. Before using a printed copy, verify that it is the most current version by checking the document effective date on the BNL SBMS website.

2.1-062004/standard/02/0203d011.htm

Send a question or comment to the [SBMS Help Desk](#)
[Disclaimer](#)



Forms Contact List SBMS Instructions Help Desk

Find Subject Areas: Index Categories Alpha

Show Side Menu Search Subject Areas & Legacy Documents:

Subject Area: **Requirements Management**

External Requirement Document Processing Flowchart

Effective Date: **April 2003**

Point of Contact: [SBMS Requirements Management](#)

The External Requirement Document Processing Flowchart is provided as a [PDF](#) file.

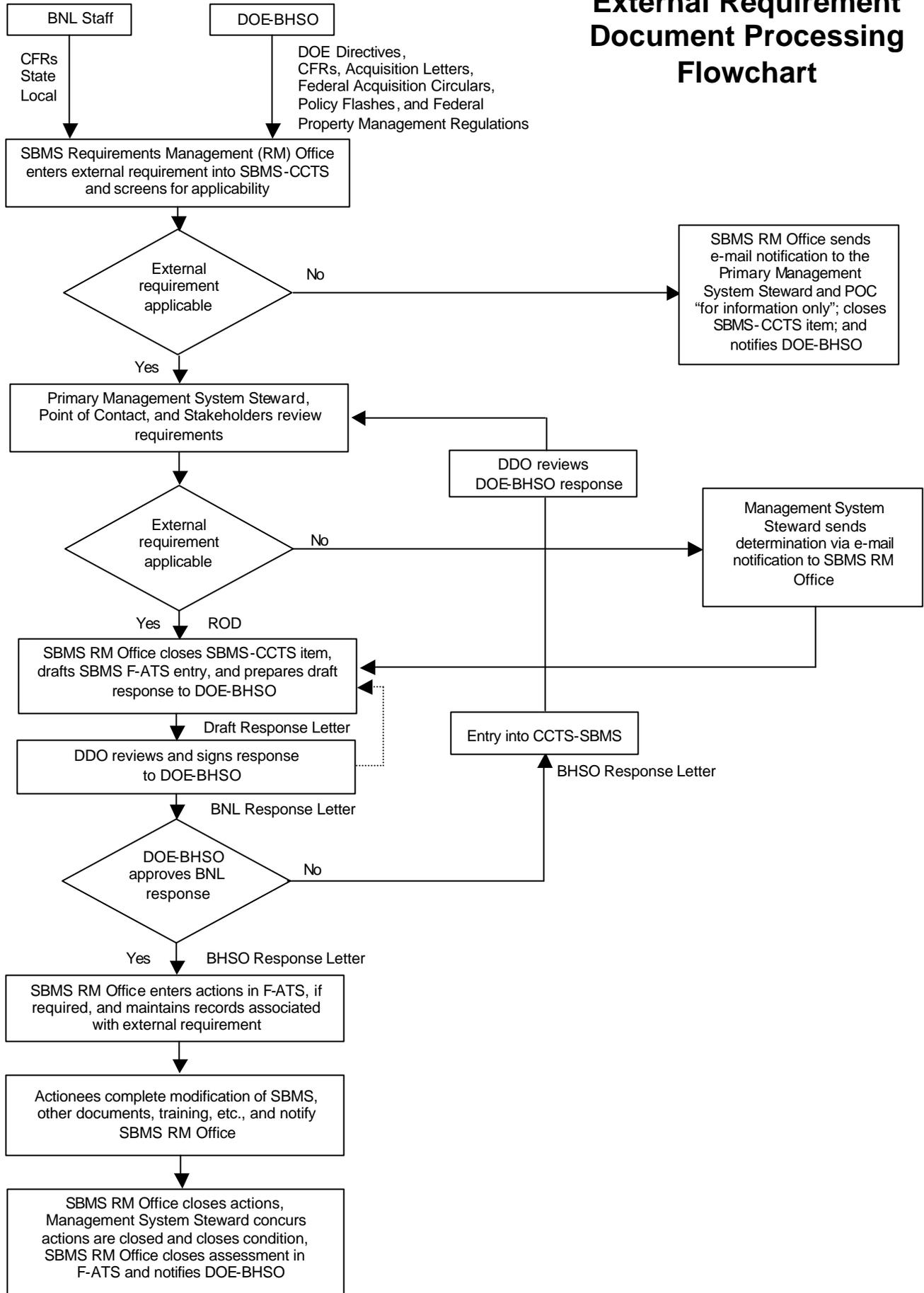
[Back to Top](#)

The only official copy of this file is the one online in SBMS. Before using a printed copy, verify that it is the most current version by checking the document effective date on the BNL SBMS website.

2.1-062004-/standard/02/0202e011.htm

Send a question or comment to the [SBMS Help Desk](#)
[Disclaimer](#)

External Requirement Document Processing Flowchart





Forms Contact List SBMS Instructions Help Desk

Find Subject Areas: Index Categories Alpha

Show Side Menu Search Subject Areas & Legacy Documents:

Subject Area: Requirements Management

External Requirement Document Record of Decision Form

Effective Date: **April 2003**

Point of Contact: [SBMS Requirements Management](#)

Complete this record of decision for each parsed unit of the external requirements document. Submit the completed forms to the primary Management System Steward.

The External Requirement Document Record of Decision Form is provided as a [Word](#) file.

[Back to Top](#)

The only official copy of this file is the one online in SBMS. Before using a printed copy, verify that it is the most current version by checking the document effective date on the BNL SBMS website.

2.0-042003/standard/02/0201e011.htm

Send a question or comment to the [SBMS Help Desk](#)
[Disclaimer](#)

EXTERNAL REQUIREMENT DOCUMENT RECORD OF DECISION FORM Page 1

EXTERNAL REQUIREMENT DOCUMENT (<i>Number, Title, and Date</i>):
Primary Management System:
Other Management Systems listing this external requirement document:

1. External Requirement (level of detail as applicable = parsed unit):

Requirement Section Number	Requirement Section Title	Management System Responsible for Requirement

- 1.a. Yes No Is the external requirement applicable? If no, discuss in 1.e. below.
- 1.b. Yes No Is the cited external requirement considered to be above and beyond industrial practices? Discuss in 1.e. below.
- 1.c. Yes No Based on the responses to 1.a. & 1.b. above, will a waiver or exemption be requested? Identify the actions needed in #3 below.
- 1.d. Yes No Does the Laboratory currently have systems that adequately address the external requirement? If no, identify the actions needed to fully comply in #3 below.
- 1.e. Identify any issues specific to the interpretation of this external requirement (i.e., applies to only a portion of BNL work, facilities).

2. Identify how the external requirement is implemented in the Laboratory.

Implementation Method	Laboratory Reference(s)
Laboratory Policy	
Management System	
Laboratory Standard of Performance	
Subject Area	
BNL Manual (Chapter/Section)	
(Internal) Organizational Procedure	
Program Description	
Training	
Other (identify/describe)	

3. Identify any necessary actions (e.g., implementation steps, request for waiver or exemption):

Action (add rows for additional actions)	Owner of Action	Due Date

EXTERNAL REQUIREMENT DOCUMENT <i>(Number, Title, and Date):</i>
Primary Management System:
Other Management Systems listing this external requirement document:

4. Estimated initial implementation costs for new/modified requirement (as applicable):

System Element	Estimated Incremental Cost	Assumptions
Procedures <input type="checkbox"/> New <input type="checkbox"/> Modified		
Training <input type="checkbox"/> New <input type="checkbox"/> Modified		
Additional Staff		
Implementing Subcontracts		
Other Documents <input type="checkbox"/> New <input type="checkbox"/> Modified		
Facility/Equipment <input type="checkbox"/> New <input type="checkbox"/> Modified		

5. Estimated incremental steady state annual operation costs for new/modified requirement (as applicable):

System Element	Estimated Annual Cost	Assumptions
Maintenance of Procedures, etc.		
Training		
Additional Staff		
Implementing Subcontracts		
Other Documents (e.g., reports)		
Maintenance of Operations		

6. This external requirement (parsed unit) was analyzed by (identify all team members, if applicable):

7. Management System Point of Contact Signature: _____ Date: _____

8. Management System Steward (of parsed unit) Signature: _____ Date: _____

9. Management System Steward (of document) Signature: _____ Date: _____

* * * * * FOR REQUIREMENTS MANAGEMENT OFFICE USE ONLY * * * * *	
10. Contract Modification Number: _____	Contract Modification Date: _____



Forms

Contact List

SWS Instructions

Help Desk

Find Subject Areas:

Index

Categories

Alpha

Show Side Menu

Search Subject Areas & Legacy Documents:

Definitions: Requirements Management

Effective Date: April 2003

Point of Contact: [SBMS Requirements Management](#)

Term	Definition
affected Management System Steward	A Management System Steward whose management system is affected or impacted by the addition/revision of an external requirement document and is not the primary Management System Steward.
DOE Directive	DOE Directives include DOE Policies, Notices, Orders, Manuals, Guides, and technical standards. DOE Directives are considered information unless formally transmitted for compliance by the DOE-BHSO Contracting Officer.
external requirement document	DOE Directives and other documents that impose requirements on the Laboratory (e.g., federal, state, and local laws and regulations).
External Requirement Document Record of Decision (External ROD Form)	The documentation that illustrates how an external requirement document is being implemented at the Laboratory.
parsed unit Management System Steward	The Management System Steward having overall or primary responsibility for the parsed unit of an external requirement document (versus the entire document).
parsing	Breaking the external requirement document down to an appropriate level of detail for linking the document content to actual implementation approaches in the Laboratory.
primary Management System Steward	The Management System Steward having overall or primary responsibility for the external requirement document (versus individual parts of the document). The Management System Steward is normally an Assistant/Associate Laboratory Director (ALD) or equivalent.
requirement	A statement, or group of statements, in an external requirement

	document indicating "what" action needs to be accomplished.
requirements database	The change-controlled database maintaining the list of external requirement documents identified as requirement documents for each of the Laboratory's management systems.
Subject Matter Expert (SME)	An individual with extensive, in-depth knowledge of a particular subject.

[Back to Top](#)

The only official copy of this file is the one online in SBMS. Before using a printed copy, verify that it is the most current version by checking the document effective date on the BNL SBMS website.

2.1-062004-/standard/02/02001011.htm

Send a question or comment to the [SBMS Help Desk](#)
[Disclaimer](#)



Forms

Contact List

SBMS Instructions

Help Desk

Find Subject Areas:

Index

Categories

Alpha

Show Side Menu

Search Subject Areas & Legacy Documents:

Revision History: Requirements Management

Point of Contact: [SBMS Requirements Management](#)

Revision History of this Subject Area

Date	Description	Management System
June 2004 -- Minor Rev. 2.1	"Brookhaven Site Office (BHSO)" replaces "Brookhaven Area Office (BAO)."	Standards-Based Management System
April 2003	<p>This subject area was revised to describe improvements in the way new or revised external requirements documents are processed. The changes are as follows:</p> <ul style="list-style-type: none"> • The type of documents BNL staff must forward to the SBMS Requirements Office was clarified; • SBMS Requirements Management Office will perform initial screening of external requirements documents for applicability; • External Record of Decision (ROD) Forms will only be used if the external requirement document is applicable; • The phrase "or designee" was added throughout the procedure where the Management System Steward was assigned responsibility for a task; • The process for tracking action items was revised. 	Standards-Based Management System

	<p>The following exhibits and forms were deleted:</p> <ul style="list-style-type: none"> • External Requirements Receipt; • Requirements Management Memo; • Action Required for DOE Directives Form; • Action Required for Other External Drivers Form. 	
March 1999	<p>This subject area was developed to describe the procedures and guidelines to follow to ensure change control for the processing of new or revised external requirements documents.</p>	Standards-Based Management System

[Back to Top](#)

The only official copy of this file is the one online in SBMS. Before using a printed copy, verify that it is the most current version by checking the document effective date on the BNL SBMS website.

2.1-062004-/standard/02/0200a011.htm

Send a question or comment to the [SBMS Help Desk](#)
[Disclaimer](#)