



<b>SOP TITLE:</b>	<b>Development and Approval of TNI Policies and SOPs</b>
<b>SOP NO.:</b>	<b>1-116</b>
<b>REVISION NO:</b>	<b>4.1</b>
<b>PROGRAM</b>	<b>Administration</b>

**SOP Approval Dates**

	<b>Initial Approval</b>	<b>Last Revision Date</b>	<b>Last Review Date</b>
<b>Committee: Policy</b>	6/27/2012	2/18/2021	
<b>Program</b>	NA	NA	
<b>Policy Committee Review</b>	NA	NA	
<b>TNI Board of Directors Endorsement</b>	3/11/2015	NA	
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## TABLE OF CONTENTS

1.0	Purpose and Applicability .....	1
2.0	Summary .....	1
3.0	Related Documents .....	1
4.0	Definitions .....	1
5.0	Procedural Section .....	1
6.0	References .....	2
7.0	SOP Approved Changes .....	2

## 1.0 Purpose and Applicability

This document applies to all Policies and Standard Operating Procedures (SOPs) of TNI.

## 2.0 Summary

This SOP summarizes the process by how Policies and SOPs are developed, approved and implemented.

## 3.0 Related Documents

POL 1-100 Creating General Policies for TNI  
POL 1-104 TNI Records  
SOP 1-100 Format Guidelines for SOPs of TNI  
SOP 1-104 Control of TNI Records

## 4.0 Definitions

<b>Policy:</b>	A formal document outlining the ways in which TNI intends to conduct its administrative affairs and act in specific circumstances. Policy may describe the purpose and objectives of specific operations, activities, services, governance and staff issues. Policies state a course of action to be followed by TNI members or committees.
<b>SOP:</b>	A written document of standard format that details in step-by-step fashion how to accomplish an activity or perform a procedure.
<b>Draft:</b>	A Policy or SOP under development by a TNI committee.
<b>Provisional:</b>	A Policy or SOP that has been approved by a TNI committee, and is being used, but has not gone through the complete review and approval process described in this SOP
<b>Final:</b>	A Policy or SOP that has been reviewed and approved by the process described in this SOP.

## 5.0 Procedure

### 5.1 Document Control

Any committee may develop and approve for use a Policy or SOP to help manage its activities. TNI staff may also from time to time develop some administrative procedure or policy.

All such documents must be entered into TNI's Document Control system and assigned an official number when work on the document commences. The committee chair (or his or her designee) must contact the TNI Secretary (or his or her designee) to obtain the official document number.

All SOPs shall conform to SOP 1-100 and shall use the File Naming Convention appended to this SOP. Policies may have an abbreviated style from SOP 1-100, but must use a complete document control system that shows all relevant information.

Copies of Provisional and Final versions of Policies and SOPs will be kept in secure on-line system accessible by the Chair of the Policy Committee, the Secretary of TNI, the Executive Director, and other designated staff, including all TNI Program Administrators. Draft documents being developed by a committee do not need to be controlled in this manner. TNI committees shall establish systems for ensuring the distribution of the latest approved versions of their draft documents.

## **5.2 Committee Procedure**

Once a committee has finalized an SOP, it may be used on an interim basis while it undergoes review by the Policy Committee and the TNI Board of Directors. Such Policies and SOPs must be posted on the TNI website in the Policies and Procedures area with a notation that the Policy or SOP is Provisional. A copy of the SOP must be provided to the TNI Secretary (or his or her designee) and the Chair of the Policy Committee at this time.

- 5.2.1 The committee establishes the effective date of the Policy or SOP based on time needed to implement the procedures and, as applicable, gain Executive Committee approval.
- 5.2.2 If the Policy or SOP is interim, it must be clearly marked as being provisional by placing the term "Provisional" in parentheses after the SOP Effective Date on the cover page and after the Effective date on the header of each page.

## **5.3 Executive Committee Review**

If a committee is part of one of TNI's core programs that is governed by an Executive Committee, the Policy or SOP must be reviewed and approved by that committee before the Policy or SOP's effective date and before it is sent to the Policy Committee.

If the originating committee is Policy Committee, then the TNI Board of Directors serves as the final review stage and there is no applicable Executive Committee.

## **5.4 Policy Committee Review**

The Policy Committee reviews Policies and SOPs for conformity with respect to style and for consistency with one another and with the overall mission of TNI. The Policy Committee may return the Policy or SOP to the originating committee for additional work or forward the Policy or SOP to the TNI Board for review for organizational impact (e.g., legal, fiscal or credibility issues). In performing this review, the Policy Committee neither approves nor rejects a Policy or SOP, but does ensure that any additional work identified has been resolved. The Policy Committee shall provide a report of all policies and procedures it reviews to the TNI Board of Directors.

- 5.4.1 If the Policy or SOP is returned to the originating committee, further changes to the Policy or SOP must be made using a redline/strikeout format so that any modifications are clear to the Policy Committee. The originating committee and Policy committee will determine whether the revised Policy or SOP requires a new Revision Number (see Section 5.6.2).

## **5.5 TNI Board of Directors Review**

The TNI Board of Directors reviews for endorsement all Policies and SOPs developed by TNI committees, and performs a final review of all Policies and SOPs developed by the Policy Committee itself. The TNI Board of Directors retains the right to review any Policies and SOPs developed by a TNI Core Program or committee.

Minor editorial changes to a Policy or SOP performed as part of a five-year review do not require re-approval by the Board. Any such revisions will be reported to the Board in monthly program reports and the Board retains the authority to review any Policy or SOP.

## **5.6 Final Status**

Once a Policy or SOP has received its review by the Policy Committee or the TNI Board of Directors, whichever is later, the Policy or SOP classification changes to "Final" and the TNI Executive Director or his or her designee notifies the IT Administrator to post the document on the TNI Website under "Policies

and SOPs” and also notifies the chair and program administrator of the committee that created the SOP or Policy.

- 5.6.1 The term “Provisional” is removed from the cover page and header. The effective date remains the same as originally determined by the committee preparing the SOP. The Policy Committee and/or TNI Board review/endorsement dates are added to the cover page.
- 5.6.2 If extensive revisions were made to the Policy or SOP during the review process, the document Revision Number must be increased by 1 and a new effective date must be established. The new Policy or SOP must be approved by the committee preparing the document (and the Executive Committee, if applicable) prior to the effective date of the new document.

**5.7 Periodic Review**

All policies and SOPs are reviewed every five years by the Policy Committee.

**6.0 SOP Approved Changes**

Revision	Date of Change	Description of Change
0	5/15/12	New SOP
1	9/21/12	Revised sections 5.1 and 5.2; added section 5.6; added appendix. Changed Interim Final to Provisional
2	11/7/14	Revised section 5.2 to have Provisional documents posted in the general area of the website. Revised section 5.4 to require Policy Committee to inform the TNI Board of Directors of all Policies and SOPs the committee reviews. Revised section 5.5 to introduce a streamlined process for TNI Board review of Policies and SOPs. Created a new Section 5.6 to describe how a Policy or SOP achieves “Final” status. Renumbered former Section 5.6 to become 5.7.
2.1	12/9/14	Revised Section 5.6 at the request of the Board to indicate a copy would be provided to the committee that developed the document.
3	3/6/15	Revised Sections 5.2, 5.3, 5.4, 5.6 and 5.7 to define effective dates, identify provisional documents and provide instructions on how to revise a Policy or SOP if major changes were made after review.
3.1	10/6/17	Added section 5.7
4	5/4/18	Clarified sections 5.3, 5.5, and 5.6.
4.1	2/18/21	Editorial changes to Appendix A- Remove CPC and TAC, add training, remove Power DMS

## Appendix A

### File Naming Convention for Control Documents

Policies, SOPs, Consensus Standards and Belief Statements will be identified with a unique file name using this convention:

XXX-Y-###-Rev#-Committee-ShortTitle- Date-Status

Where

**XXX** is a 3 or 4 letter code as follows:

SOP	Standard Operating Procedure
POL	Policy
POS	Position Statement
STD	Consensus Standard
FORM	Forms, including application forms and checklists
GUID	Guidance Document
TNI	TNI Governance Documents

**Y** is the program number

1	Administration
2	Consensus Standards
3	NELAP
4	PT
5	NEFAP

**###** is a 3 or 4 letter unique identifier, e.g., 115 or ELV1

**Rev#** is the revision number\*\*

**Committee** is short name or acronym of committee that developed the document

Admin	Developed by TNI staff independent of a committee
Advocacy	Advocacy Committee
Chemistry	Chemistry Expert Committee
CSDP	Consensus Standards Development Program Executive Committee
FAC	Field Activities Expert Committee
Finance	Finance Committee
IT	Information Technology Committee
LAB	Laboratory Accreditation Body Expert Committee
LASEC	Laboratory Accreditation System Executive Committee
Micro	Microbiology Expert Committee
NEFAP	National Environmental Field Activities Program Executive Committee
NELAP	National Environmental Laboratory Accreditation Program Accreditation Council
Nominating	Nominating Committee
Policy	Policy Committee
LPTC	Laboratory Proficiency Testing Expert Committee
PTP	Proficiency Testing Program Executive Committee
QS	Laboratory Quality Systems Expert Committee
Radio	Radiochemistry Expert Committee
SSAS	Stationary Source Audit Sample Program Expert Committee
Training	Training Committee

**Short Title** is a very brief summary of the document title

**Date** is shown as mm-dd-yy and is the most recent date the document was created or revised.

**Status**

Draft	SOP or Policy in development by a committee
Provisional	SOP or Policy approved by Committee that developed it (and by the Executive Committee), but has not gone through the complete review and approval process
Interim	Interim Standard
Final	SOP or Policy that has gone through the complete review and approval process
WDS	Working Draft Standard
VDS	Voting Draft Standard
FAS	Final Approved Standard adopted by Expert Committee but not implemented into a TNI program*
Adopted	Standard adopted for use within a given TNI program*