

# Standard Operating Procedure (SOP) 18: Protocol Revision (OC\_I Creation) version 3

## Glacier Bay National Park and Preserve Oceanographic Monitoring Protocol

### Change History

| Previous Version # | Revision Date  | Revised By | Changes                                     | Justification                                                                          | New Version # |
|--------------------|----------------|------------|---------------------------------------------|----------------------------------------------------------------------------------------|---------------|
| 2                  | February 2020  | B. Johnson | Split out of monolithic protocol OC-2014.1. | Central Office guidance mandated separate SOPs be extracted from monolithic protocols. | 3             |
| 1                  | September 2014 | B. Johnson | Minor corrections.                          | Revised monolithic protocol OC-2014.1                                                  | 2             |
| -                  |                | B. Johnson | Initial version                             | For original protocol                                                                  | 1             |

Please cite this Standard Operating Procedure as:

Johnson, W. 2020. Standard Operating Procedure (SOP) 18: Protocol Revision (OC\_I Creation) version 3 Glacier Bay National Park and Preserve oceanographic monitoring protocol. National Park Service, Juneau, Alaska. Available online at <https://irma.nps.gov/DataStore/Reference/Profile/2272161>.

### Summary

Periodically, material changes must be made to the protocol package to take advantage of new or different technologies, equipment, and methods. Changes may also be made to support changed staffing levels, correct significant errors in the document, or redefine and update the forms of data products.

The program manager, project leader, and data manager jointly build a list of desired changes. They review the issues, accept some or all of them by consensus, and draft new language to affect the accepted changes. One person is chosen to coordinate the new document and be responsible for the new draft. Changes to major key items will trigger an external review of the draft documents.

After satisfying both internal and, if judged necessary, external reviewers, the updated protocol will go through formal validation and certification by the program manager and data manager. The certified protocol will be widely disseminated.

### Detailed Steps

1. Network Program Manager tasks

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1. Periodically poll Project Leader and Data Manager on the need for a protocol revision cycle. Schedule a revision cycle when called for by consensus.
2. Obtain a new formal protocol package ID number from Data Manager.
  1. Method for assigning a protocol ID is formally set in SEAN's Data Management Plan, SOP-602 Version Control.
  2. A new ID is required for each revision because most data collected are tagged with the specific protocol they were created under. The mechanism is rigid by design.
3. Update the tracking spreadsheet with the "Protocol review initiated" date.
4. Solicit agenda of issues to address.
5. Initiate kick-off meeting.
2. Program Manager, Project Leader, and Data Manager tasks
  1. Prepare issues lists.
  2. Agree on overall scope of revision.
    1. "Minor"
      1. Updates detailed processes and definitions.
      2. Only SOPs and related documents change.
      3. Requires internal review only.
    2. "Major"
      1. Updates purpose, objectives, or fundamental design.
      2. Any narrative and/or QAP/DQS documents change.
      3. Requires out-of-network peer review.
  3. Agree on a coordinator who is responsible for managing assembly of the revised document.
  4. Obtain the most recent Word versions of the current protocol package components from the Data Manager to serve as the basis for the new document.
    1. The original DOCX files are copied to an editable destination file.
    2. The documents are set for tracked changes.
    3. A global search and replace is done over documents intended to be updated to change all existing references of the protocol package ID to the new designator.
    4. Increment the version number of each document in its headings, titles, and filenames.
    5. The DM provides a location allowing access of the DOCX files by the three team members.
    6. Any revised narrative document must be published as an NRR report.
  5. Draft possible revisions.
    1. Each team member should take responsibility for sections within their realm of expertise.
    2. If a particular section needs to be addressed to meet multiple needs, it should be worked on serially instead of simultaneously.
      1. Get team agreement on the order of attack for issues.
      2. Assign person to do first revision covering first issue.
      3. Obtain consensus on the first revision.
      4. Assign person to do second revision covering second issue, etc.
3. Coordinator tasks

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1. Assemble revision drafts into a coherent document set.
  2. Maintain a document change table in the affected documents to track versioning.
  3. Distribute to Program Manager, Project Leader, and Data Manager for internal review.
  4. Update documents to satisfy internal review.
  5. Obtain consensus of Program Manager, Project Leader, and Data Manager.
  6. Rough format the updated documents.
  7. Obtain team approval for final review draft.
  8. Update the tracking spreadsheet with the “Protocol draft completed” date.
4. Program Manager tasks
1. If scope is major, coordinate external review.
    1. Pass documents to regional I&M coordinator for consideration.
    2. Distribute resulting review comments to Program Manager, Project Leader, and Data Manager.
    3. Update the tracking spreadsheet with the “Peer review comments received” date.
    4. Revise protocol package components in light of review comments.
    5. Coordinate revisions among team.
    6. Update the tracking spreadsheet with the “Protocol revised from peer review” date.
5. Coordinator tasks
1. Format documents according to any Publications Section rules.
  2. Coordinate any required technical NRR review.
  3. Obtain a TIC document number from NRSS.
  4. Make final technical revisions.
6. Program Manager tasks
1. Generate a set of PDFs from the revised Word documents.
  2. Submit both the PDF and DOCX files via email attachment to the Data Manager for validation.
1. Specify in the message body it is deliverable OC\_I, as defined in the currently operating protocol package.
7. Data Manager Tasks
1. On receipt of the submission, assign the next formal submission number to this protocol package set.
    1. Use the Update Submission Log web tool on the Data Management website at [http://sean-dm.glba.nps.gov/0\\_submission\\_update.aspx](http://sean-dm.glba.nps.gov/0_submission_update.aspx).
    2. Complete Submission\_Log details up through the Submission\_Date column.
    3. If this is the first validation attempt update the tracking spreadsheet with the “First submission to validation” date.
  2. Save the revised files into the staging area for validation at [\\sean.glba.nps.gov\data\SEAN\\_Data\Staging\OC\OC\\_I\NNN](http://sean.glba.nps.gov/data/SEAN_Data/Staging/OC/OC_I/NNN), where *NNN* is the submission number.
  3. Validate the files according to current criteria (SOP 19).
  4. Record validation results in the Submission\_Log using the web tool.
  5. If submission fails mandatory criteria, reply with a “failure email” that includes:

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1. The submission number assigned
2. The deliverable ID
3. The current protocol package ID
4. Documentation listing all the specific mandatory criteria failed
6. If submission passes mandatory criteria
  1. Update the tracking spreadsheet with the “Mandatory validation passed” date.
  2. reply with a “success email” that includes:
    1. The submission number assigned
    2. The deliverable ID
    3. The current protocol package ID
    4. Documentation listing any specific optional criteria failed
    5. Request to certify deliverable as complete
8. Program Manager tasks
  1. On receipt of a failure email:
    1. Make corrections so the deliverable meets mandatory criteria.
    2. Make another submission with the corrected deliverable candidate.
  2. On receipt of a success email, review any failed optional criteria:
    1. If these are acceptable to Program Manager, Project Leader, and Data Manager:
      1. Reply with an “acceptance email” stating the deliverable is accepted and may be disseminated.
    2. If these are unacceptable:
      2. Reply with a “withdrawal email,” stating the deliverable is withdrawn.
      3. Take remedial action to obtain a corrected deliverable.
      4. Restart the process from the beginning.
9. Data Manager tasks
  1. On receipt of a withdrawal email:
    1. Mark the withdrawal in the Submission\_Log’s Status column using the web tool.
    2. Terminate the process.
  2. On receipt of an acceptance email:
    1. Due to its nature, this deliverable contains no sensitive information.
    2. Update the submission log with date of acceptance and initials of the person who accepted it.
    3. Update the deliverable tracking spreadsheet with the date of acceptance for OC\_I.
    4. Create a new protocol package container in Data Store.
      1. Clone an existing assemblage such as reference 2257814. Be sure to include the references owners and links.
      2. Revise the metadata to reflect correct protocol package ID and dates.
      3. Link this new reference to the OC\_I home reference (currently 2257812).
      4. Update the tracking spreadsheet with the “Data Store reference created/updated” date.
    5. Create a new SOP reference in Data Store for each newly revised SOP by cloning an earlier version of each one. Upload the PDF digital file for each new SOP into its reference

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6. Attach each of the new SOP references to the new protocol package container as an external link.
7. Verify the new deliverable files are discoverable and downloadable from Data Store.
8. Update the deliverable tracking spreadsheet with dates for the accessibility milestones.
9. Update the Staging database table SEAN.TBL\_PROTOCOL to include new protocol package identifier and citation.