



NUMBER: 0101

SUBJECT: Directive on Internal Standard Operating Procedures (SOPs), Manuals, and Forms

DIRECTIVE OWNER: Office of the Secretary

EFFECTIVE DATE: 9/21/2022

1. **PURPOSE.** The Directives System for the U.S. Consumer Product Safety Commission (CPSC, Commission, or Agency), serves as the repository for Agency-wide policies and procedures and provides guidance regarding the conduct of Agency employees and the distribution and performance of Agency business. This Directive outlines the general procedures for establishing, reviewing, revising, and cancelling internal Standard Operating Procedures (SOPs), manuals, and forms within the Agency's Directives System.
2. **AUTHORITIES.** 5 U.S.C. §§ 301, 302; 15 U.S.C. § 2053(f); 16 CFR § 1000.13.
3. **SCOPE.** This Directive applies to all employees engaged in the process of establishing, reviewing, revising, and cancelling all internal SOPs, manuals, and forms at the Agency.¹
4. **DEFINITIONS.**
 - a. Standard Operating Procedures (SOPs) specify how a task is to be accomplished, typically, within a single organizational component. SOPs, which facilitate quality and consistency, detail regularly recurring work processes and promote continuity of operations. SOPs should be written with sufficient detail so that someone with limited experience or knowledge of the procedure can successfully reproduce the procedure when unsupervised, particularly when there are temporary or permanent personnel changes.

¹ The Office of the Inspector General (OIG) may choose not to follow the Agency's usual clearance or approval process, due to the OIG's obligation to maintain independence in accordance with the Inspector General Act of 1978, as amended (5 U.S.C. app. 3).



- b. **Manuals**, like SOPs, provide a significant amount of detail to guide employees in the performance of their day-to-day activities. Manuals are usually longer and more detailed than SOPs, although they typically serve the same purpose.
- c. **Forms** are documents that employees must complete as part of accomplishing a specific task within the Agency.

5. PROCEDURES.

- a. **Regular Review of SOPs, Manuals, and Forms.** The Office of the Secretary (OS), in consultation with the Executive Director and the General Counsel, will establish a regular schedule of review of all documents covered by this Directive. Each SOP, manual, and form will be reviewed for possible revision or cancellation at least once every 5 years.
- b. **New SOPs, Manuals, and Forms.** New SOPs, manuals, and forms may be necessary due to changes in statute, regulation, Executive Order, Agency policy, or new Directives or Delegations. New SOPs, manuals, and forms may be added at any time.
- c. **Unscheduled Revisions of SOPs, Manuals, and Forms.** SOPs, manuals, and forms may need to be revised due to changes in statute, regulation, Executive Order, Agency policy, changes within the Agency, such as reorganizations or transfers of function, or new Directives or Delegations. SOPs, manuals, and forms may be revised at any time. Revised documents will identify any documents that they cancel and/or supersede.
- d. **Cancelled SOPs, Manuals, and Forms.** Revised SOPs, manuals, and forms will cancel and supersede the previous document, which will be noted in the new SOPs, manuals, and forms. SOPs, manuals, and forms may be cancelled entirely if they are no longer applicable. The cancelled document will be kept in the repository of "Inactive" directives on the intranet.
- e. **Agency Clearance of SOPs, Manuals, and Forms:** The Executive Director and General Counsel will serve as the final reviewers of each SOP, manual, and form in Agency clearance.
- f. **Publishing of SOPs, Manuals, and Forms.**
 - (1) Once completed, the SOP, manual, or form should be sent to OS for final processing.
 - (2) The Secretary will then notify the Agency that there is a new or revised SOP,



- manual, or form available on the intranet.
- (3) SOPs, manuals, and forms will not be posted on cpsc.gov.

6. RESPONSIBILITIES.

a. The Office of the Secretary shall:

- (1) In consultation with the Office of General Counsel (OGC) and the Office of the Executive Director (OEX), maintain the schedule for a regular review of all internal SOPs, manuals, and forms.
- (2) Maintain the templates for SOPs, manuals, and forms.
- (3) Assign a unique number to each SOP, manual, and form.
- (4) Facilitate the clearance procedure for all new, revised, and cancelled SOPs, manuals, and forms.
- (5) Maintain the official file for each SOP, manual, and form in accordance with Agency record-keeping schedules.
- (6) Ensure that SOPs, manuals, and forms are current and accessible to all agency employees via the intranet.

b. Assistant Executive Directors/Office Directors (AEDs/ODs) shall:

- (1) Assign staff, as needed, to review and revise the SOPs, manuals, and forms that apply to their organizational component.
- (2) Review and approve draft SOPs, manuals, and forms that apply to their organizational component for completeness, accuracy, and consistency before submitting to OS for Agency clearance.
- (3) Coordinate with any other program areas that might be affected by the new or revised SOPs, manuals, and forms before submitting to OS for Agency clearance.

c. The Office of the General Counsel shall:

- (1) Review the legal authorities in the SOPs, manuals, and forms for currency and accuracy.
- (2) The OGC will consult with the program staff, as necessary, to ensure that SOPs, manuals, and forms satisfy all legal requirements.

7. EFFECTIVE DATES.

- a. SOPs, manuals, and forms are effective on the date entered on the heading of the document.



- b. If any SOP, manual, or form does not need to be updated during its regular review, the Executive Director, General Counsel, and AED/OD will sign and date a form indicating that no update or revision was required. The Secretary will append that form to the SOP, manual, or form on the intranet.

- 8. CANCELLATION.** This Directive cancels and supersedes parts of D100, *System of Internal Directives, Delegations of Authority, Implementing Procedures, and External Forms and Manuals*, dated November 20, 2018, and IP100, *Implementing Procedure for Creating, Reviewing, and Cancelling Directives, Delegations of Authority, Implementing Procedures, SOPs, Manuals, and Forms*, dated November 20, 2018.



Alexander Hoehn-Saric
Chair

9/21/2022
Date