

# UNCONTROLLED COPY



## OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT QUALITY ASSURANCE ADMINISTRATIVE PROCEDURE

Title:

TECHNICAL DOCUMENT REVIEW

Procedure No.:

QAAP 3.1

Revision:

1

Date:

11/12/91

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Concurrence

Date:

10/24/91

Approval

Date:

10/24/91

### 1.0 PURPOSE

This procedure establishes the Office of Civilian Radioactive Waste Management (OCRWM) responsibilities and methods for the review, acceptance or approval, and release of technical documents.

### 2.0 SCOPE

This procedure addresses technical documents prepared by OCRWM, PROGRAM Participants, and OCRWM managed contractors that are submitted for review, acceptance, and release by OCRWM.

### 3.0 REFERENCES AND DEFINITIONS

#### 3.1 REFERENCES

3.1.1 Quality Assurance Requirements Document (QARD), DOE/RW-0214

3.1.2 Quality Assurance Program Description Document (QAPD), DOE/RW-0215

#### 3.2 DEFINITIONS

3.2.1 The definitions of standard terms may be found in the Glossary contained in reference 3.1.1.

3.2.2 Acceptance - This term is used to indicate that a technical document is suitable for its intended use.

3.2.3 Cognizant Associate Director, OCRWM - The Associate Director, OCRWM responsible for review, acceptance, and release of a specific technical document. Generally, this will be the Associate Director, OCRWM responsible for the functional area that is the subject of the technical document.



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- 3.2.4 Major Revision - Changes to a document that affect a process described in the document, the basic content, or a change in concept.
- 3.2.5 Mandatory Comment - Comment that the reviewer has determined requires resolution prior to document acceptance. These comments may include identified deviations from existing approved OCRWM policy, quality assurance requirements, programmatic or management requirements, technical positions, or any other criteria applicable to the document.
- 3.2.6 Technical Document - A document that specifies scientific or engineering requirements, presents scientific or engineering information or data; or describes scientific or engineering processes.
- 3.2.7 Technical Review - A documented review by individuals with sufficient technical knowledge of the material being reviewed to be able to render a decision on its adequacy. Technical reviews are reserved for documents that contain material that is within the current state-of-the-art and is based on accepted standards, criteria, principals and practices.

**4.0 RESPONSIBILITIES**

**4.1 DIRECTOR, OCRWM**

The Director, OCRWM has the overall responsibility for assuring that OCRWM implements the Technical Document Review process as described in this procedure.

**4.2 ASSOCIATE DIRECTORS, OCRWM**

The Associate Directors, OCRWM are responsible for reviewing PROGRAM schedules and plans in each of their areas of technical cognizance to determine what technical documents will be reviewed by OCRWM.

**4.3 COGNIZANT ASSOCIATE DIRECTOR, OCRWM**

The Cognizant Associate Director, OCRWM is responsible for:

- 4.3.1 Identifying specific documents requiring technical document review and accepting these documents for subsequent release;
- 4.3.2 Designating individual(s) or organization(s) within his own functional area(s) of responsibility as reviewer(s) and arranging for such support;



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4.3.3 Identifying the need for review by other organizations and arranging through other Associate Directors for such outside support as may be needed; and

4.3.4 Coordinating, controlling, distributing, and obtaining resolution of all comments.

**4.4 ASSOCIATE DIRECTOR, OFFICE OF SYSTEMS AND COMPLIANCE (OSC)**

In addition to the responsibilities outlined in 4.2 above, the Associate Director, OSC is responsible for preparing and maintaining this procedure.

**4.5 DIRECTOR, OFFICE OF QUALITY ASSURANCE (OQA)**

The Director, OQA is responsible for:

4.5.1 Reviewing and commenting on technical documents submitted for review to assure that quality requirements specified were satisfied.

4.5.2 Verifying that OCRWM organizations review and accept technical documents, within their areas of responsibility and assuring that the reviews are conducted in accordance with this procedure.

**5.0 GENERAL**

5.1 Technical documents subject to review by OCRWM may be generated by OCRWM, PROGRAM Participants, and OCRWM-managed contractors. Review, acceptance, and release of technical documents shall be conducted in accordance with this procedure.

5.2 Types of technical documents subject to review by OCRWM may include, but are not limited to, system requirements documents, design basis documents, performance assessments, study plans, technical specifications, technical reports, test reports, test plans, design reports, and results of analyses.

5.3 Technical documents subject to review by OCRWM may also require Design Review or Peer Review.

5.4 Technical document review status shall be maintained by the Cognizant Associate Director, OCRWM, who shall also designate the document(s) for either Design Review or Peer Review, as appropriate.

5.5 The aggregate expertise of the designated reviewer(s) should encompass the subject area of the technical document. The Cognizant Associate Director, OCRWM shall select the reviewer(s) from OCRWM, PROGRAM Participants, and OCRWM-managed contractors, as needed, to cover the subject matter of the document. All sections of the document shall receive an independent review, i.e., the reviewers shall not review any portion of the technical document in which they directly participated in developing, or were responsible for preparing.



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- 5.6 The Cognizant Associate Director, OCRWM shall document the rationale for selection of the specified reviewer(s). This rationale shall address the qualifications of the reviewer(s) relative to the review subject.
- 5.7 The Cognizant Associate Director, OCRWM shall develop, maintain and provide to the designated reviewer(s) written instructions that establish or reference appropriate review and acceptance criteria which the reviewer(s) shall use to evaluate a document during a technical review. Documents containing such review and acceptance criteria include, but are not limited to, PROGRAM and site specific requirements documents, industry codes, standards, NUREGS, Federal Regulations, and interfacing technical documents.
- 5.8 Once the review and acceptance criteria have been established, the designated reviewer(s) shall provide comments.
- 5.9 Technical document reviewer(s) shall document comments or "No Comments" on a Document Review Record (DRR). The DRR is comprised of a Document Review Record (Attachment I) and as many Document Review Record Continuation Sheets (Attachment II) as necessary.
- 5.10 Resolution of comments shall be accomplished between the organization that prepared the technical document and the reviewer(s). In the event that the reviewer(s) is unavailable for resolution, the Cognizant Associate Director, OCRWM shall designate a qualified replacement to resolve the comments.
- 5.11 The resolution of comments shall be documented by the organization that prepared the technical document, adjacent to the reviewer(s) comments on the same DRR on which the comments appear.

**6.0 PROCEDURE**

**6.1 PLANNING TECHNICAL DOCUMENT REVIEWS**

- 6.1.1 The Associate Directors, OCRWM shall review PROGRAM schedules and plans in each of their areas of technical cognizance at least semi-annually to determine what technical documents will be reviewed by OCRWM.
- 6.1.2 If technical documents are received by OCRWM, other than those identified by 6.1.1, the Associate Director(s) shall determine whether or not a technical document review is required, on a case-by-case basis.
- 6.1.3 Subsequent to receipt of technical documents for review by OCRWM in accordance with Sections 6.1.1 and 6.1.2 above, the Associate Director(s), OCRWM shall determine if a technical document shall also undergo Design Review and/or Peer Review, on a case-by-case basis.



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**6.2 INITIATING TECHNICAL DOCUMENT REVIEW**

**6.2.1** Subsequent to 6.1.1 and 6.1.2 above, the Cognizant Associate Director, OCRWM shall identify the applicable review and acceptance criteria in written instructions and designate the individual(s) or organization(s) required for review.

**6.2.2** The technical document shall be forwarded to the reviewer(s), along with a memorandum requesting technical document review, written instructions containing the review and acceptance criteria, and a DRR.

**6.3 TECHNICAL DOCUMENT REVIEW**

**6.3.1** Using guidance provided in the memorandum requesting technical document review and the instructions containing the review and acceptance criteria, the designated reviewer(s) shall conduct the review. Mandatory comments regarding the technical documents shall be documented on a DRR.

**6.3.2** If the designated reviewer(s) delegates additional staff within the reviewer's organization to perform the review, it shall be the responsibility of the designated reviewer(s) to consolidate comments onto a single DRR. This consolidation shall include resolving any conflicting comments generated by the reviewer's staff.

**6.3.3** Upon completion of the review, the designated reviewer(s) shall sign and date the DRR, and return the DRR and technical document to the Cognizant Associate Director, OCRWM.

**6.4 ACTION SUBSEQUENT TO REVIEW**

**6.4.1** Following receipt of the technical document and DRR from the reviewer(s), the Cognizant Associate Director, OCRWM shall review the DRR to determine the extent of the comments.

**6.4.2** If no comments exist, the Cognizant Associate Director, OCRWM shall prepare an acceptance letter, sign the technical document, if appropriate, and take action to release the document per Section 6.6.

**6.4.3** If mandatory comments exist, the Cognizant Associate Director, OCRWM shall transmit the technical document and DRR to the organization that prepared the technical document, for comment resolution.



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**6.5 COMMENT RESOLUTION**

- 6.5.1 The comment response/resolution is documented on the same DRR(s) on which the comments appear.
- 6.5.2 Comment resolution may be accomplished via a comment resolution meeting or a comparable format that produces an acceptable end result that is documented.
- 6.5.3 Once an acceptable resolution is reached, the commentor or designated representative and the document preparer indicate acceptable resolution by initialing and dating the space provided on the DRR adjacent to the comment response.
- 6.5.4 Following the completion of the resolution of comments on the DRR, the document preparer revises the document, as necessary, forwards the completed document along with the completed DRR package, to the Cognizant Associate Director, OCRWM for action in accordance with section 6.4.
- 6.5.5 If comments cannot be resolved to the satisfaction of the reviewing organization and the document preparer organization, they shall be brought to the attention of the appropriate management level until resolution is reached.

**6.6 DOCUMENT ISSUANCE**

Subsequent to document acceptance the Cognizant Associate Director, OCRWM shall provide for release of the document, which may consist of any of the following actions:

- a) Transmitting a PROGRAM Participant prepared document to the PROGRAM Participant for release in accordance with their procedures;
- b) Releasing an OCRWM prepared document to the OCRWM document control organization for controlled distribution in accordance with QAAP 6.1, *Document Control*; or
- c) Releasing an OCRWM prepared document for publication.

**7.0 RECORDS**

Documentation generated as a result of this procedure is collected and maintained in accordance with the requirements specified in QAAP 17.1, *QA Records Management*. At a minimum, attachments I and II of this procedure are QA records.



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**8.0 ATTACHMENTS**

- 8.1 Attachment I - OCRWM Document Review Record
- 8.2 Attachment II - OCRWM Document Review Record Continuation Sheet
- 8.3 Attachment III - QAAP Flowchart

**ATTACHMENT I (Typical)**

<b>OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT U.S. DEPARTMENT OF ENERGY WASHINGTON, D.C.</b>				SHEET <span style="border-bottom: 1px solid black; width: 20px; display: inline-block;"></span> OF <span style="border-bottom: 1px solid black; width: 20px; display: inline-block;"></span> WBS NO <span style="border-bottom: 1px solid black; width: 50px; display: inline-block;"></span>
<b>DOCUMENT REVIEW RECORD</b>				
DOCUMENT NAME				
REVISION				
DATE				
REVIEW INSTRUCTIONS/ACCEPTANCE CRITERIA				
REVIEW INSTRUCTIONS/CRITERIA PREPARED BY  <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <span>_____ Signature</span> <span>_____ Date</span> </div>		REVIEW INSTRUCTIONS/CRITERIA APPROVED BY  <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <span>_____ Signature</span> <span>_____ Date</span> </div>		
FORWARD RESULTS TO				
<b>COMMENTS THAT ARE ANNOTATED WITH AN (*) ARE MANDATORY AND REQUIRE RESPONSE AND RESOLUTION.</b>				
SECT./ PARA	COMMENT	RESPONSE	ACCEPT/ REJECT	
REVIEWED BY  <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <span>_____ Signature</span> <span>_____ Date</span> </div>		RESPONSE BY  <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <span>_____ Signature</span> <span>_____ Date</span> </div>		

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**ATTACHMENT II (Typical)**

SHEET \_\_\_\_\_ OF \_\_\_\_\_  
 WBS NO. \_\_\_\_\_

**OFFICE OF CIVILIAN  
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 U.S. DEPARTMENT OF ENERGY  
 WASHINGTON, D.C.**

**DOCUMENT REVIEW RECORD (continuation sheet)**

DOCUMENT NAME \_\_\_\_\_  
 REVISION \_\_\_\_\_  
 DATE \_\_\_\_\_

**COMMENTS THAT ARE ANNOTATED WITH AN (\*) ARE MANDATORY AND REQUIRE RESPONSE AND RESOLUTION.**

SECT/ PARA	COMMENT	RESPONSE	ACCEPT REJECT

**REVIEWED BY**  

Signature
Date

**RESPONSE BY**  

Signature
Date

**U.S. DEPARTMENT OF ENERGY  
WASHINGTON, D.C.**

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ATTACHMENT III

TECHNICAL DOCUMENT REVIEW

