

Management System: Quality Assurance and Oversight

Subject Area: Quality Oversight and Assessment

Procedure: Document Review

Issue Date and Revision Number: 9/14/2012 0	Lead Subject Matter Expert: Ken Armstrong	Management System Owner: John Sattler
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1.0 Applicability

This procedure applies to all document reviews performed by the EMCBC Office of Technical Assistance and Asset Management and Participating Small Sites.. Documents can be authored by either DOE or the Contractor and are submitted for review and comment by knowledgeable personnel, stakeholders, or other personnel. Typical documents submitted for review are, Quality Assurance Plans, Integrated Safety Management Descriptions, Worker Safety and Health Plans, Work Packages, Decommissioning Plans, proposed actions, Requests for Equitable Adjustments, and other safety and technical documents.

2.0 Required Procedure

Step 1	The DOE Manager requesting the review designates a Document Review Coordinator (DRC). The DOE Manager is typically the Federal Project Director (FPD) for Small Sites, Contracting Officer (CO) or by the Assistant Director (AD) of the Office of Technical Support and Asset Management (OTSAM) for the EMCBC.
Step 2	The DRC establishes and maintains a log of document reviews similar to Form 1, Sample Document Review Log. NOTE: If maintained electronically, the DRC shall work with the Records Management Field Officer (RMFO) to ensure the electronic “record” is maintained in accordance with Records Management requirements.
Step 3	In some cases, the Author may provide early notice that a document will require review. Depending on scope, complexity, and hazards associated with the work, the reviewers should attend document development and planning meetings.
Step 4	The Author provides the documents for review to the FPD (or Designee) or the OTSAM AD with all attachments, Hazards Analysis, Radiation Work Permit (RWP), Excavation Permit, etc.
Step 5	The DOE Manager requesting the review determines if a formal review (Example: Review of Contract Deliverables) of the document is necessary based

	on the hazards, complexity and scope associated with the work and the delegation of authority for document approval.
Step 6	If no formal review is required, the DOE Manager requesting the review notifies the Author that no review is required and annotates the Document Review Log accordingly.
Step 7	If a formal review is required, the DOE Manager requesting the review provides the DRC with the document package and recommends distribution for the document review.
Step 8	The DRC may set up a shared folder with the document, Document Comment Review Form (Form 2), and other reference documents (Example: SPRU uses L Drive/2011-2012 DOE Oversight/Work Package Reviews). NOTE: The shared folder structure shall be set up and maintained in accordance with the EMCBC (or Small Site) File Plan.
Step 9	The DRC fills out the date and document name on a Document Comment Review Form (Form 2), which is maintained as part of the document review file.
Step 10	The DRC determines the period for the review based on the Author's needs, contractual requirements, availability of knowledgeable personnel and/or other commitments (stakeholder agreements).
Step 11	The DRC provides the document package and comment sheet to the Document Reviewers for comment. Where agreements exist with Stakeholders (EPA, Naval Reactors (NR), DOE-LM, etc.) the DOE FPD or the OTSAM AD may offer the document package to interested Stakeholders for review and comment.
Step 12	Document Reviewers shall provide comments to the DRC using the Document Comment Review Form (Form 2) which is maintained as part of the document review file Significant comments shall immediately be brought to the attention of the DOE Manager requesting the review. Examples of significant comments are comments that may affect the project schedule critical path, safety of personnel or the environment, or influence the need for the review.
Step 13	The DRC compiles and/or combines comments where appropriate on a Comment Review form. The DRC also resolves conflicting comments, and requests additional information from reviewers when needed.
Step 14	The DRC provides the compiled comments (Comment Review Form) to the DOE Manager requesting the review.
Step 15	The DOE Manager requesting the review transmits the compiled comments to the author.
Step 16	The DRC logs the transmittal in the Document Review Log
Step 17	The Author reviews and resolves comments, completes the resolutions portion of the Document Comment Review Form (Form 2) and resubmits the revised document package to the DOE Manager requesting the review

Step 18	The DOE Manager requesting the review reads the Document Comment Review Form and either accepts or rejects the resolution of the comment(s).
Step 19	The DOE Manager requesting the review transmits the Document Comment Review Form with the accepted or rejected comments to the Author.
Step 20	The DRC logs the transmittal of comment rejection or acceptance in the Document Review Log. NOTE: This process may be repeated as appropriate until comment resolution is satisfactory.
Step 21	The DRC assembles a Document Review Case File containing all documentation pertaining to this review. NOTE: If any records have been maintained electronically, the DRC shall work with the RMFO to ensure these are captured and maintained in accordance with Records Management requirements. For those reviews, pertaining to Contract Deliverables a copy of the Document Comment Review Form shall also be provided to the Contracting Officer for incorporation into the Contract file.

3.0 References – Forms/Attachments/Exhibits

Form 1, Sample Document Review Log
Form 2, Document Comment Review Form

4.0 Records Generated

Records generated through implementation of this procedure are identified as follows, and are maintained by the Office of Contracting for Contract related reviews and the Office of Technical Support and Asset Management in accordance with the EMCBC Organizational File Plan. Small Sites shall maintain under the same records category code (Disposition Authority), but will manage in accordance with their Site File Plan:

Records Category Code	Records Title	Responsible Organization	QA Classification (Lifetime, Non-Permanent or N/A)
ADM 03-03-A1A	Routine Procurement Files – Contracts above the Simplified Threshold – Requests for Equitable Adjustments	Office of Contracting	N/A

ADM 18-35-B	Records that Demonstrate the Capability for Safe Operation – Quality Assurance Plans	Office of Technical Support and Asset Management	Lifetime
ENV 01-B-04-B	Safety Analysis – Integrated Safety Management Descriptions	Office of Technical Support and Asset Management	N/A
ENV 01-B-05-B	Environmental Administrative Safety and Health Records – Workers Safety and Health Plans	Office of Technical Support and Asset Management	N/A
ENV 01-K-03	Environmental Record Case Files – Decontamination Plans	Office of Technical Support and Asset Management	N/A

EMCBC RECORD OF REVISION

DOCUMENT TITLE: Procedure: Document Review

If there are changes to the controlled document, the revision number increases by one. Indicate changes by one of the following:

- I Placing a vertical black line in the margin adjacent to sentence or paragraph that was revised.
- I Placing the words GENERAL REVISION at the beginning of the text.

<u>Rev. No.</u>	<u>Description of Changes</u>	<u>Revision on Pages</u>	<u>Date</u>
0	Initial Document		9-14-12