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| Management System: Quality Assurance and Oversight | | |
| Subject Area: Quality Oversight and Assessment | | |
| Procedure: Document Review | | |
| Issue Date and Revision Number: 7/7/2014 1 | Lead Subject Matter Expert: Ken Armstrong | Management System Owner: John Sattler |

1.0 Applicability

This procedure applies to all document reviews performed by the EMCBC Office of Technical Support and Asset Management (OTSAM) and participating Small Sites. Documents can be authored by either DOE or the Contractor and are submitted by the responsible DOE Manager/FPD for review and comment by knowledgeable personnel, stakeholders, or other personnel. Typical documents submitted for review are, Quality Assurance Plan (QAP)/Quality Implementation Plan (QIP)s, 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

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| Step 1 | The DOE Manager/FPD requesting the review designates a Document Review Coordinator (DRC) in the case where there are multiple reviewers or a Lead Reviewer (LR) in the case where one individual is performing the review. |
| Step 2 | If the DRC/LR utilizes a Document Review Log to document reviews, similar to Sample Document Review Log, FM-OTSAM0414C-04-F1, it should be maintained annually. NOTE: If maintained electronically, the DRC shall work with the Records Management Field Officer (RMFO) or Small Sites Records Coordinator 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 requestor provides the documents for review to the DRC/LR with all attachments (example: Hazards Analysis, Radiation Work Permit (RWP), Excavation Permit, etc.). |

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| Step 5 | The DOE Manager/FPD requesting the review provides the DRC/LR with the document package and recommends distribution for the document review. |
| Step 6 | The DRC/LR may set up a shared folder with the document, a Document Review Comment Form, FM-OTSAM-414C-04-F2, 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 7 | The DRC/LR fills out the header information on the Document Review Comment Form, FM-OTSAM-414C-04-F2, which is maintained as part of the document review file. The DRC/LR may use a form similar to the Sample Document Review Comment Form, FM-OTSAM-414C-04-F2, or a document review form specific to the document being reviewed (Example: EMCBC QAP/QIP Document Review Comment Form, FM-OTSAM-414C-04-F3). |
| Step 8 | The DRC/LR 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 9 | The DRC/LR provides the document package and Document Review Comment Form, FM-OTSAM-414C-04-F2, to the document reviewers for comment. Where agreements exist with Stakeholders (EPA, Naval Reactors (NR), DOE-LM, etc.) the DOE Manager/FPD may offer the document package to interested Stakeholders for review and comment. |
| Step 10 | Document reviewers shall provide comments to the DRC/LR using the provided Document Review Comment Form, FM-OTSAM-414C-04-F2, which is maintained as part of the document review file. Significant comments shall immediately be brought to the attention of the DOE Manager/FPD 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 11 | The DRC/LR compiles and/or combines comments where appropriate on a Document Review Comment Form, FM-OTSAM-414C-04-F2. The DRC or LR also resolves conflicting comments, and requests additional information from reviewers when needed. |
| Step 12 | The DRC/LR provides the compiled comments (Comment Review Form) (and Approval Summary if necessary) to the DOE Manager/FPD requesting the review. |
| Step 13 | The DOE Manager/FPD requesting the review transmits the compiled comments to the author. |
| Step 14 | The DRC/LR logs the transmittal in the Document Review Log, FM-OTSAM-414C-04-F1, if utilizing. |
| Step 15 | If resolution of comments is requested, the author reviews and resolves |

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| | comments, completes the resolutions portion of the Document Review Comment Form, FM-OTSAM-414C-04-F2, and resubmits the revised document package to the DOE Manager/FPD requesting the review. |
| Step 16 | The DOE Manager/FPD requesting the review reads the Document Review Comment Form, FM-OTSAM-414C-04-F2, and either accepts or rejects the resolution of the comment(s). |
| Step 17 | The DOE Manager/FPD requesting the review transmits the Document Review Comment Form, FM-OTSAM0414C-04-F2, with the accepted or rejected comments to the author. |
| Step 18 | <p>The DRC/LR logs the transmittal of comment rejection or acceptance in the Document Review Log, FM-OTSAM-414C-04-F1, if utilized.</p> <p>NOTE: Repeat this process as appropriate until comment resolution is satisfactory.</p> |
| Step 19 | <p>The DRC/LR shall assemble and file a Document Review Case File containing all documentation pertaining to this review in accordance with the OTSAM or the Small Sites File Plan. For OTSAM reviews for HQ or another entity, file the case file in accordance with OTSAM's file plan. If assistance is required to determine the appropriate file code, the DRC shall contact the RMFO for identification of the appropriate file code.</p> <p>NOTE: If any records are maintained electronically (email), the DRC/LR shall work with the RMFO to ensure they are captured/identified, and maintained in accordance with Records Management requirements of the Electronic Records Management System (ERMS).</p> <p>For those reviews, pertaining to Contract Deliverables a copy of the Document Review Comment Form, FM-OTSAM-414C-04-F2, shall also be provided to the Contracting Officer for incorporation into the Contract file.</p> |

3.0 References – Forms/Attachments/Exhibits

3.1 Forms

- Sample Document Review Log, FM-OTSAM-414C-04-F1
- Sample Document Review Comment Form, FM-OTSAM-414C-04-F2
- Sample Document Specific – QAP/QIP Document Review Comment Form, FM-OTSAM-414C-04-F3

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 Transactions Above the Simplified Acquisition Threshold Reviews of Contract Deliverables | Office of Contracting | N/A |
| ADM 04-01 | Property Disposal Correspondence Files – Property Reviews | Office of Technical Support and Asset Management | N/A |
| ADM 16-07 | Records Management Files – Review of Records Management Plans, File Plans, etc. | Office of Technical Support and Asset Management | N/A |
| ADM 18-26 | Emergency Planning Administrative Correspondence Files – Emergency Management Reviews | Office of Technical Support and Asset Management | N/A |
| ADM 18-35-B | Records that Demonstrate the Capability for Safe Operation – Quality Assurance and Implementation Plan Reviews | Office of Technical Support and Asset Management | Lifetime of Contract |
| ADM 23-01-A | Administrative Office Files – Document Review Log | Office of Technical Support and Asset Management | N/A |
| ENV 01-B-04-B | Safety Analysis – Safety Reviews (Radiological, Integrated Safety Management, Worker and Safety Plans, etc.) | Office of Technical Support and Asset Management | N/A |
| ENV 01-K-03 | Environmental Record Case Files Decontamination and Decommissioning Cleanup and Transitioning Case Files – Decommissioning Plans | Office of Technical Support and Asset Management | N/A |

EMCBC RECORD OF REVISION**DOCUMENT TITLE: Document Review**

If there are changes to the controlled document before the two-year review cycle, the revision number stays the same; one of the following will indicate the change:

I Placing a vertical black line in the left margin adjacent to sentence or paragraph that was revised; or

I Placing the words GENERAL REVISION at the beginning of the text. This statement is used when entire sections of the document are revised.

If changes and updates occur at the two-year review cycle, the revision number increases by one.

| Rev. No. | Description of Changes | Revision on Pages | Date |
|-----------------|---|--------------------------|-------------|
| 0 | Initial Document | | 9-14-2012 |
| 1 | Added Lead Reviewer and Reference to EMCBC QAP/QIP Document Review Comment Form | All | 7-7-2014 |