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## OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT IMPLEMENTING LINE PROCEDURES

TITLE:

DOE/HQ Technical Assessment Review (HQ-TAR)

Procedure No.:

22.3.3

Revision:

0

Date:

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Page:

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ASSOCIATE DIRECTOR, OCRWM

Date:

*L.B. Covert* 5/24/90

Director, OGA

Date:

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### 1.0 PURPOSE

The purpose of this procedure is to define the method to be used by DOE/HQ to perform reviews of program issues dealing with technical concerns, and the responsibilities of the participants involved. The requirements of this procedure may be further supplemented by written guidance on a case-by-case basis to define the logistics and details for the methodology to be used in the review.

### 2.0 SCOPE

This procedure applies to HQ-TAR conducted by DOE/HQ. The intent and scope of HQ-TAR are as defined in section 3.2.

### 3.0 REFERENCES AND DEFINITIONS

#### 3.1 References

- 3.1.1 QAAP 3.1 Technical Review
- 3.1.2 QAAP 3.2 Design Review
- 3.1.3 QAAP 3.5 Preparation of Technical Documents
- 3.1.4 QAAP 17.1 Records Management
- 3.1.5 QAAP 2.2 Personnel Qualification
- 3.1.6 QAAP 2.1 Indoctrination and Training

#### 3.2 DEFINITIONS

- 3.2.1 HQ-Technical Assessment Review (HQ-TAR) - a documented review to evaluate technical status, technical progress, or technical merit of program activities or to develop or evaluate program policy, positions or direction. This type of review differs from the type of reviews of discrete products that may be reviewed by DOE/HQ under references 3.1.1 and 3.1.2. in combination or separately. These reviews are performed by qualified individuals other than those who performed the technical work that may be reviewed in this activity. The HQ-TAR is a management method that may be used to accomplish any DOE/OCRWM responsibilities, including the following:

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- 1) assessing program requirements;
- 2) determining the degree to which technical work meets program requirements;
- 3) developing policy or program guidance;
- 4) assessing the technical status or progress of activities or evaluating technical approaches;
- 5) identifying and assessing technical issues for further management consideration and action.

At the discretion of the responsible Branch Chief, technical assessment reviews may be performed by a group, under the supervision of a chairperson, or may be performed by an individual. The HQ-TAR is not intended to substitute for the reviews of discrete products such as reports or designs that are performed under references 3.1.1-3.1.3. The HQ-TAR should be used for applications where more than a review of a specific HQ-TAR document is involved.

- 3.2.2 HQ-Technical Assessment Review Notice - a notice (Attachment A), issued by the responsible DOE/HQ Branch Chief, or designee, to describe the purpose and scope of the HQ-TAR and provide information for directing the review, including:
- 1) a listing of review criteria directing the review;
  - 2) a listing of materials to be the major focus of the review;
  - 3) a statement of the expected product(s) of the review; e.g., comments for resolution, summary assessments; recommendations, draft guidance documents etc.;
  - 4) any supplemental guidance directing the HQ-TAR.
  - 5) completion date for the HQ-TAR and any appropriate scheduled events required such as management meetings.

Revisions to the TAR notice will be identified by sequential revision numbers and appended to the original notice in the HQ-TAR records package. Revisions to any supplemental guidance accompanying the TAR notice will be identified in an analogous manner.

- 3.2.3 HQ-Technical Assessment Review Team Selection Record - a form listing the members of the team, also defining their functions in the review and certifying that their qualifications meet those required for their function. The HQ-TAR Review Team Selection Record form is shown in Attachment B
- 3.2.4 HQ-Technical Assessment Review Package - a collection of documents (e.g., reports, schedules, plans, drawings etc.) that provides the information to be reviewed.
- 3.2.5 HQ-Technical Assessment Review Comment Record - forms used to document team member's comments and their resolution (Attachment C).



- 3.2.6 HQ-Technical Assessment Review Summary - a memorandum written by the HQ-TAR chairperson to the responsible Branch Chief who initiated the HQ-TAR. This memorandum summarizes the results of the HQ-TAR, describes the product(s) of the effort, and is included as part of the HQ-TAR Records Package.
- 3.2.7 HQ-Technical Assessment Review Records Package - the assembled materials documenting the review, consisting of at a minimum:
- 1) the HQ-TAR Review Notice;
  - 2) the HQ-TAR Review Team Selection Record forms;
  - 3) the HQ-TAR Review Comment Record if these forms are used,
  - 4) any written material directed to be a product of the TAR (summary evaluations, draft recommendations or evaluations, draft recommendations or guidance documents, etc.);
  - 5) the HQ-TAR Review Summary.
- 3.2.8 HQ-Technical Assessment Review Chairperson - person appointed by the responsible Branch Chief to manage and conduct the HQ-TAR. The chairperson may be appointed from DOE staff, DOE support contractors, national laboratory staff, etc.
- 3.2.9 Secretary - a person, who may be designated at the discretion of the HQ-TAR chairperson, to document review meetings, prepare the HQ-TAR Records Package, or any other activities as assigned by the chairperson.

#### 4.0 RESPONSIBILITIES

- 4.1 The Branch Chief responsible for the technical activities related to the HQ-TAR is responsible for initiating the HQ-TAR and for identifying the HQ-TAR chairperson. The responsible Branch Chief may also be the HQ-TAR chairperson. The responsible Branch Chief, or designee, is also responsible for defining the purpose and scope of the HQ-TAR, determining the end product(s) of the review and, in consultation with the chairperson, is responsible for defining review criteria. The responsible Branch Chief is responsible for certifying that the person appointed as the HQ-TAR Chairperson is qualified to perform this function (see Attachment A).



- 4.2 The HQ-TAR chairperson is responsible for managing and conducting the HQ-TAR, and assuring that any products of the review are produced as required. The chairperson is also responsible for:
- 1) determining the technical disciplines needed to perform the HQ-TAR;
  - 2) identifying members of the HQ-TAR team and, through the responsible Branch Chief, determining their availability to perform the review;
  - 3) preparing the HQ-TAR Team Selection Record;
  - 4) establishing the minimum qualifications for participants in the HQ-TAR;
  - 5) determining and documenting that the HQ-TAR team members are qualified to perform the review;
  - 6) assembling and distributing the HQ-TAR package and HQ-TAR notice (and any supplemental guidance) to the team members as well as assuring that any revisions to the HQ-TAR notice (and any supplemental guidance) are distributed to all the HQ-TAR team members;
  - 7) arranging logistics and coordination for review meetings and the review in general;
  - 8) preparing the HQ-TAR Records Package (see sec. 3.2.7) and any summaries or other written products required for the HQ-TAR as defined on the HQ-TAR Notice.

The chairperson may be asked by the responsible Branch Chief to collaborate in developing the HQ-TAR notice and defining the scope and purpose of the HQ-TAR. The chairperson may, if necessary, designate a HQ-TAR secretary to assist in the activities indicated above (sec. 4.3). The chairperson may also assign members of the HQ-TAR team to perform specific activities within the scope of the HQ-TAR.

- 4.3 The HQ-Technical Assessment Review secretary is appointed by the HQ-TAR chairperson to assist in the TAR responsibilities as delegated by the chairperson. The responsibilities of the secretary will be defined on the HQ-TAR Team Selection Record.
- 4.4 The HQ-TAR team members are responsible for performing the HQ-TAR functions as defined on the HQ-TAR Team Selection Record. These responsibilities will typically consist of review and comment and participation in the resolution process. Other activities may be assigned by the HQ-TAR chairperson.
- 4.5 The Director, Office of Quality Assurance, is responsible for the review of the HQ-TAR Notice for quality related aspects, as requested by the Branch Chief and for supplying support to the HQ-TAR as required if Quality Assurance staff members are appointed to serve on the team.



5.0 GENERAL

- 5.1 A HQ-Technical Assessment Review may be instituted by the responsible Branch Chief or higher levels of management.
- 5.2 A HQ-Technical Assessment Review will typically be a multiperson, multidisciplined effort. It may be performed by a single person at the discretion of the responsible Branch Chief.
- 5.3 For HQ-TAR team members not within the DOE/OCRWM program, a letter certifying that the team member's qualifications meet the minimum qualifications required for the HQ-TAR must be prepared by the team member's employer and sent to the HQ-TAR chairperson.

6.0 PROCEDURE

- 6.1 The responsible Branch Chief or higher management will identify the need for a HQ-Technical Assessment Review. Either the Branch Chief or designee will complete the HQ-TAR Notice indicating the purpose and scope of the review including any supplemental guidance to the HQ-TAR Notice, the review criteria, identifying the HQ-TAR chairperson and other information on the notice. The responsible Branch Chief signs and dates the HQ-TAR Notice (Attachment A) and forwards it to the HQ-TAR chairperson. If the HQ-TAR includes Quality Assurance functions within its scope, the responsible Branch Chief may submit the draft HQ-TAR Notice and any supplemental guidance to the Office of Quality Assurance (OQA) for review before issuing the HQ-TAR Notice, and will consider including a representative from OQA on the HQ-TAR team.
- 6.2 Upon receipt of the HQ-TAR notice, the HQ-TAR chairperson will:
  - 1) determine the technical expertise needed for the HQ-TAR and identify individuals to serve on the HQ-TAR team;
  - 2) coordinate with the responsible Branch Chief, and others as appropriate, to arrange for the participation of the designated team members;
  - 3) establish the minimum qualifications required for the team members and determine that the team members are qualified to perform their HQ-TAR responsibilities;
  - 4) complete the HQ-TAR Team Selection Record (Attachment B);
  - 5) assemble and distribute the HQ-TAR Package and HQ-TAR Comment record forms to the team members along with the HQ-TAR Notice;
  - 6) designate a person to be the HQ-TAR Secretary if necessary, and assign responsibilities to the secretary;
  - 7) call a meeting of the HQ-TAR team to initiate the review, designate responsibilities, schedule the review, and arrange any other logistics required and;
  - 8) Ensure that any revisions to the HQ-TAR notice are distributed to all team members



- 6.3 The HQ-TAR team members review the materials that are involved in the HQ-TAR and document their comments on the HQ-TAR Comment Record forms (Attachment C) for the documents reviewed.
- 6.4 The team members will forward the completed HQ-TAR Comment Record forms to the chairperson, or designee.
- 6.5 Upon receipt of the HQ-TAR Comment Record forms, the chairperson, or designee, will proceed to arrange for actions required to resolve the comments or produce any other materials required as products of the HQ-TAR, as defined on the HQ-TAR Notice. These actions may involve comment resolution meetings with authors of documents reviewed (comment resolution would proceed according to ref 3.1.1), meetings with HQ-TAR team members to develop draft program policies or technical positions, etc.
- 6.6 If meetings with other organizations are required to complete the HQ-TAR, the chairperson will consult with the DOE/HQ responsible Branch Chief, or designee, who will arrange such meetings. Documentation of such meetings will be prepared by the HQ-TAR chairperson, or designee, for inclusion in the HQ-TAR Records Package.
- 6.7 Resolution of HQ-TAR comments during meetings with other organizations are documented by signature in the area of the comment form indicated for concurrence on the resolution of the comment (line 13 of Attachment C).
- 6.8 Minority or dissenting opinions will be documented and included in the HQ-TAR Records Package.
- 6.9 Unresolved comments from the HQ-TAR team members, or disputed items which arise during meetings between team members or with other organizations, will be documented and forwarded to the responsible DOE/HQ Branch Chief for action, as deemed appropriate.
- 6.10 Upon completion of comment resolution, or other products required by the HQ-TAR Notice, the HQ-TAR chairperson, or designee, assembles the HQ-TAR Records Package and prepares the HQ-TAR Summary for transmittal to the responsible Branch Chief.
- 6.11 Upon receipt of the HQ-TAR Records Package, the responsible Branch Chief will review the HQ-TAR Summary and sign the HQ-TAR notice on the line indicated to certify that the review has been completed.
- 6.12 Upon completion of the HQ-TAR, the HQ-TAR chairperson will process the HQ-TAR Records Package in accordance with reference 3.1.4.



7.0 RECORDS

The following records will be maintained in accordance with ref 3.1.4:

- The HQ-TAR Records Package

8.0 ATTACHMENTS

- Attachment A - The HQ-Technical Assessment Review Notice
- Attachment B - The HQ-Technical Assessment Review Team Selection Record
- Attachment C - The HQ-Technical Assessment Review Comment Record



ATTACHMENT A

HQ TECHNICAL ASSESSMENT REVIEW (HQ-TAR) NOTICE

To \_\_\_\_\_ Rev. # \_\_\_\_\_ Date \_\_\_\_\_

Area to be Reviewed \_\_\_\_\_

HQ-TAR Review Chairperson \_\_\_\_\_

Based on review of the qualification documentation, this HQ-TAR Review Chairperson is qualified to execute the responsibilities of ILP 22.3.3 with respect to the scope and purpose of this review \_\_\_\_\_  
(Responsible Branch Chief) Date

Scope of HQ-Technical Assessment Review (including review criteria and any supplemental guidance applicable)

Purpose and Product(s) of the Headquarters-Technical Assessment

Materials to be included in the review

Signed \_\_\_\_\_ Date \_\_\_\_\_  
(Responsible Branch Chief)

HQ-TAR Completed \_\_\_\_\_ Date \_\_\_\_\_  
(Responsible Branch Chief)





ATTACHMENT C

HQ TECHNICAL ASSESSMENT REVIEW COMMENT RECORD

COMMENT NO: \_\_\_\_\_

A. REVIEWER

B. COMMENT IDENTIFICATION

1. NAME: \_\_\_\_\_

6. DOCUMENT ID. # \_\_\_\_\_

2. ORGANIZATION: \_\_\_\_\_

7. DOCUMENT TITLE: \_\_\_\_\_

3. PHONE NO: \_\_\_\_\_

8. SECTION: \_\_\_\_\_

4. DATE: \_\_\_\_\_

9. PAGE: \_\_\_\_\_

5. SIGNATURE: \_\_\_\_\_

10. PARAGRAPH \_\_\_\_\_

C. COMMENT AND DISPOSITION

11. COMMENT AND PROPOSED RESOLUTION:

12. DISPOSITION

REVIEWER \_\_\_\_\_ DATE \_\_\_\_\_

13. CONCURRENCE

AUTHOR OR OTHER REP. \_\_\_\_\_ DATE \_\_\_\_\_