

102-4 Eileen Pana



OFFICE OF CIVILIAN
RADIOACTIVE WASTE MANAGEMENT
QUALITY ASSURANCE ADMINISTRATIVE PROCEDURE

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OFFICE OF CIVILIAN
RADIOACTIVE WASTE MANAGEMENT
QUALITY ASSURANCE ADMINISTRATIVE PROCEDURE

TITLE: PROCUREMENT DOCUMENT REVIEW

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Director, OCRWM <i>[Signature]</i>	Date: 5/21/89	Director, OQA <i>[Signature]</i>	Date: 5/10/89

1.0 PURPOSE

1.1 The purpose of this procedure is to establish the Office of Civilian Radioactive Waste Management (OCRWM) responsibilities and methods for review and acceptance or approval of quality-affecting procurement documents and procurement-related documents.

2.0 SCOPE

2.1 This procedure shall be implemented for the review and acceptance or approval of OCRWM procurement or procurement-related documents for services provided by PROGRAM participants, as identified in the applicable Quality Assurance Controls Specification called for in QAAP 2.3, "Quality Assurance Controls Implementation Plan." It additionally applies to quality-related procurement documents of PROGRAM participants that are submitted to OCRWM Headquarters for review and acceptance or approval, if any.

3.0 REFERENCES AND DEFINITIONS

3.1 REFERENCES

- 3.1.1 "Quality Assurance Requirements for the Civilian Radioactive Waste Management Program," (QAR)-DOE/RW-0214, DOE, 1988.
- 3.1.2 "Quality Assurance Program Description for the Civilian Radioactive Waste Management Program," (QAPD), DOE/RW-0215, DOE, 1988.
- 3.1.3 Quality Assurance Administrative Procedure 7.1, "Control of Purchased Items and Services."

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 written agreement that a document is suitable for its intended use, and that review of a document has been satisfactorily completed.



3.2.3 Mandatory Comment - A comment that the reviewer has determined requires resolution prior to document acceptance or approval. These comments include those which identify a significant conflict with, or deviation from, existing approved OCRWM policy; a quality assurance requirement; a programmatic or management requirement; a technical position; or any other criteria applicable to the document.

4.0 RESPONSIBILITIES

4.1 DIRECTOR OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT (DOCRWM)

The DOCRWM or designee has overall responsibility for:

4.1.1 Accepting or approving OCRWM procurement documents; and

4.1.2 Accepting or approving PROGRAM participant procurement documents that are submitted for OCRWM acceptance or approval, if any.

4.2 ASSOCIATE DIRECTORS

The Associate Directors or designees are responsible for:

4.2.1 Reviewing OCRWM procurement documents that are related to their respective areas of responsibility or fields of expertise; and

4.2.2 Reviewing PROGRAM participant procurement documents that are submitted for OCRWM review, if any.

4.3 ASSOCIATE DIRECTOR FOR PROGRAM ADMINISTRATION AND RESOURCES MANAGEMENT (ADPARM)

The ADPARM or designee is responsible for:

4.3.1 Preparing and maintaining this QAAP;

4.3.2 Coordinating the review of procurement documents;

4.3.3 Tracking and reporting procurement document review status; and

4.3.4 Assigning responsibility for review of procurement documents.

4.4 DIRECTOR OFFICE OF QUALITY ASSURANCE (DOQA)

The DOQA or designee is responsible for:

4.4.1 Reviewing procurement documents to ensure proper quality requirements are adequately addressed.



4.5 PROCUREMENT INITIATORS

The organization initiating a procurement is responsible for:

- 4.5.1 Submitting procurement documents to the ADPARM for review; and
- 4.5.2 Resolving reviewer mandatory comments.

5.0 GENERAL

- 5.1 Procurement documents for OCRWM-purchased services shall be reviewed, and accepted or approved, in accordance with this QAAP. The need for acceptance or approval is specified in reference 3.1.3. Changes to previously accepted or approved OCRWM procurement documents, including contract modifications, shall be reviewed in a manner commensurate with the original review.
- 5.2 If procurement documents from PROGRAM participants (including Project Offices) are received by OCRWM for review and acceptance or approval, the documents shall be processed in accordance with this QAAP.
- 5.3 Procurement document review shall be coordinated and the review status shall be tracked by the ADPARM (Management Systems and Support Division, MSSD).
- 5.4 Procurement document reviewers shall document comments or indicate "No Comments" on a Document Review Record (DRR), Attachments I and II.
- 5.5 Resolution of mandatory comments shall be accomplished between the organization that prepared the procurement document (initiator) and the reviewing organization. In the event that an original reviewer is unavailable for resolution, the Associate Director of the original reviewer shall designate a qualified replacement to resolve the comments.
- 5.6 Resolution of mandatory comments shall be documented by the initiator adjacent to the reviewers' comments on the DRR. The reviewers shall indicate agreement or disagreement with the resolution of these comments in the column on the DRR provided for this purpose.
- 5.7 Comments that cannot be resolved by the reviewing organization and the initiator shall be elevated to successively higher levels of management until resolution is attained.



6.0 PROCEDURE

6.1 INITIATING PROCUREMENT DOCUMENT REVIEW

- 6.1.1 The procurement document preparer organization (initiator) shall identify any technical and quality acceptance criteria applicable to the document on a Document Review Record (DRR), and submit the DRR with the subject procurement document to the ADPARM.
- 6.1.2 Upon receipt of a procurement document requested for review, the ADPARM shall determine the appropriate Associate Directors to conduct the review. Reviewers shall include the OCRWM offices that are cognizant of the services being procured. The DOQA, shall be included in the review to ensure that quality and quality assurance requirements are adequately addressed. The ADPARM shall identify programmatic acceptance criteria on the DRR, and forward the subject procurement documents and DRRs to the selected reviewers.

6.2 PROCUREMENT DOCUMENT REVIEW

- 6.2.1 Reviewers shall prepare or obtain checklists based upon the review and acceptance criteria specified on the DRR. Reviewers shall perform the review using the checklists.
- 6.2.2 Reviewers shall document their comments on the DRR. If a reviewer designates additional personnel to perform the review, the reviewer shall consolidate all comments onto a single set of DRRs, resolving any conflicting comments.
- 6.2.3 When the review produces comments, the reviewers shall annotate the mandatory comments, if any, with an asterisk in the left margin of the DRR.
- 6.2.4 Upon completion of the review, the reviewers shall forward the signed DRRs to the ADPARM.

6.3 COMMENT CONSOLIDATION

- 6.3.1 The ADPARM shall review the DRRs to determine the extent of the comments.
- 6.3.2 If no comments exist, the ADPARM shall initiate acceptance or approval per section 6.5 of this QAAP.
- 6.3.3 If comments exist, the ADPARM shall transmit the DRRs to the initiating organization for comment response and resolution.



6.4 COMMENT RESOLUTION

- 6.4.1 Resolution of mandatory comments shall be accomplished by the initiating organization.
- 6.4.2 Responses to mandatory comments shall be documented by the initiating organization on the same DRRs on which the comments appear.
- 6.4.3 The initiating organization shall submit the subject document and the DRR responses to the ADPARM.
- 6.4.4 The ADPARM shall forward the document and the DRR responses to the cognizant reviewers for evaluation of mandatory comment resolution.
- 6.4.5 Reviewers shall indicate acceptance or rejection of the response to the mandatory comments and initial the DRR adjacent to each comment response, and shall return the DRR to the ADPARM.
- 6.4.6 If any mandatory comment response is rejected by a reviewer, the ADPARM shall return the DRR to the initiating organization, with the documented rationale for rejection.
- 6.4.7 This comment resolution cycle shall be repeated, if necessary, until all mandatory comments are resolved to the mutual satisfaction of the reviewer and the initiator. Mandatory comments that cannot be resolved by the reviewers and initiator shall be elevated to the attention of the appropriate management level until resolved.
- 6.4.8 The above comment resolution steps may be accomplished in concert via meetings between the initiators and reviewers. The agreed upon resolutions shall be documented on the DRRs.
- 6.4.9 Following satisfactory resolution of mandatory comments on the DRRs, the initiating organization shall revise the document as necessary, and resubmit the document with the completed and signed DRR package to the ADPARM.
- 6.4.10 The ADPARM shall evaluate the DRR package to determine that all mandatory comments have been resolved in accordance with this procedure. If deficiencies exist, the ADPARM shall return the DRR package to the initiating organization for correction.



6.5 ACCEPTANCE OR APPROVAL

- 6.5.1 Upon satisfactory completion of the review process, the ADPARM shall prepare an acceptance or approval memorandum for the signature of the DOCRWM, and forward the memorandum, the DRRs, and the document to the DOCRWM.
- 6.5.2 The DOCRWM shall sign the approval or acceptance memorandum, or shall indicate reasons for non-approval, and return the package to the ADPARM.
- 6.5.3 The ADPARM shall ensure that the procurement document review is complete and forward the procurement document package to the DOE procuring organization for action, if an OCRWM-initiated package, or to the initiating organization.

7.0 RECORDS

- 7.1 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 are considered QA records.

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.



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ATTACHMENT I (Typical)

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

SHEET 1 OF
WBS NO.

DOCUMENT REVIEW RECORD

DOCUMENT NAME
REVISION
DATE

REVIEW INSTRUCTIONS/ACCEPTANCE CRITERIA

REVIEW INSTRUCTIONS/CRITERIA PREPARED BY

Signature

Date

REVIEW INSTRUCTIONS/CRITERIA APPROVED BY

Signature

Date

FORWARD RESULTS TO

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

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ATTACHMENT II (Typical)

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

SHEET ____ OF ____
WBS NO. _____

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

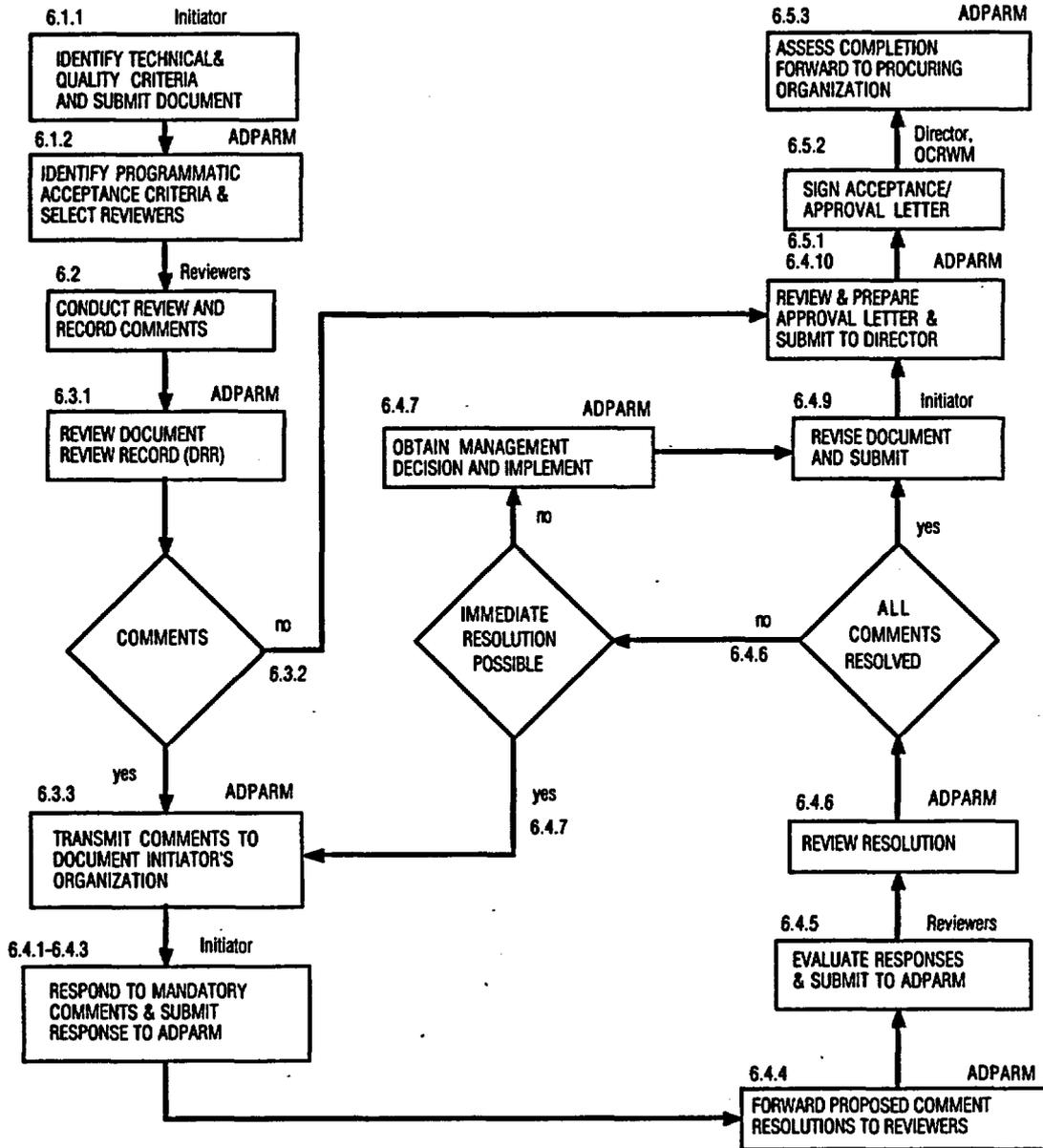
Signature Date

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ATTACHMENT III

PROCUREMENT DOCUMENT REVIEW



ADPARM = ASSOCIATE DIRECTOR FOR PROGRAM ADMINISTRATION & RESOURCES MANAGEMENT

QUALITY ASSURANCE ADMINISTRATIVE PROCEDURES

4.1

The following number is for OCRWM records management purposes only and should not be used when ordering this publication.

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