U.S. Department of Energy
Carlsbad Field Office

MANAGEMENT PROCEDURE

CBFO MP 10.5, Rev. 10

Effective: October 1, 2018

SUBJECT: PEER REVIEW

Procedure Approver: /signature on file/ Date: 09/18/2018
Michael R. Brown

CHANGE HISTORY

REVISION	REASON FOR REVISION
9	• Updated “Office of Regulatory Compliance” to “Environmental Protection Division”. • Update “Officer Director” to Assistant Manager”. • Redefined “Independence”. • Added “expert judgments” in addition to “technical reviews” in Section 5.1. • Referenced “NUREG-1297” in Section 5.1 Peer Review Process to indicate the origin of the section. • Revised Section 5.3.1.F for clarification. • Revised Section 5.2.2 to reflect the change in 5.3.1.F. • Added a sentence in Section 6.1.3 to clarify that the QA records generated are identified as “lifetime” QA records based on QAPD. • Added the following statement to 6.4.2.C to clarify what the report should contain at a minimum, “The conclusion shall include the final analysis and evaluation results of Section 6.2.2 consented by the peer review panel members”. • Revised Attachment I Section 2.1.1 regarding the alternate Peer Review Panel Member to “If a group member cannot finish or fulfill the review process, the committee will determine the need for a replacement. Should a replacement be needed, the new nominee will undergo the qualification and selection process in accordance with Sections 2.2 and 2.3”. • Clarified the Education section in Attachment II in nominee’s education verification and evaluation. • Numerous editorial and formatting changes.
10	• Complete rewrite of procedure. No change bars present. • Migrated procedure to the new MP template to meet procedural requirements (CBFO MP 4.1, Rev. 13). • Deleted “Date Issued” section in “Change History” from Revision 9 to be in compliance with template and procedure requirements (CBFO MP 4.1, Rev. 13). • Addressed the new CBFO organization titles from the latest CBFO restructuring. • Incorporated Interim Change Notice #1. • Added definitions. • Revised the Attachment example forms and CBFO Forms 10.5-1, 10.5-2, 10.5-3, 10.5-4, and 10.5-5 to meet procedural requirements (CBFO MP 4.1, Rev. 13).

1.0 PURPOSE

This management procedure (MP) defines the responsibilities, requirements, and methodologies to be used for the performance of peer reviews conducted for the Carlsbad Field Office (CBFO) in support of the Waste Isolation Pilot Plant (WIPP). This procedure was developed in accordance with and implements the guidance in NUREG-1297, *Peer Review for High-Level Nuclear Waste Repositories* (refer to Attachment I, Typical WIPP Protocol for Implementation of NUREG-1297 Peer Review Process).

2.0 SCOPE

This procedure applies to the performance of peer reviews described in Code of Federal Regulations (CFR) Title 40 Part 194 (40 CFR Part 194), and conducted under the authority of the CBFO. Per the criteria of 40 CFR §194.27(a), peer reviews may be used to support conceptual models; waste characterization analyses, as required in §194.24(b); and engineered barrier evaluation, as required in §194.44. This procedure supersedes CBFO MP 10.5, Revision 9.

3.0 REFERENCES AND DEFINITIONS

3.1 References

3.1.1 40 CFR Part 191, *Environmental Radiation Protection Standards for Management and Disposal of Spent Nuclear Fuel, High-Level and Transuranic Radioactive Wastes*

3.1.2 40 CFR Part 194, *Criteria for the Certification and Re-Certification of the Waste Isolation Pilot Plant's Compliance with the 40 CFR Part 191 Disposal Regulations*

3.1.3 DOE/CBFO-94-1012, *Quality Assurance Program Document* (QAPD)

3.1.4 CBFO MP 4.1, *Preparation and Maintenance of CBFO Procedures*

3.1.5 CBFO MP 4.2, *Document Review and Approval*

3.1.6 CBFO MP 4.9, *Quality Assurance Records*

3.1.7 NUREG-1297, *Peer Review for High-Level Nuclear Waste Repositories*

3.2 Definitions

3.2.1 **Independence** – Members of the peer review group should be independent of the original work to be reviewed. Independence in this case means that the peer: (1) was not involved as a participant, supervisor, technical reviewer or advisor in the work being reviewed, and (2) to the extent practical, has sufficient freedom from funding considerations to assure the work is impartially reviewed.

3.2.2 **Peer** – A person having technical expertise in the subject matter, to be reviewed, that is at least equivalent to that needed for the original work.

3.2.3 **Peer Review** – A documented, critical review performed by peers who are independent of the work being reviewed. A peer review is an in-depth critique of assumptions, calculations, extrapolations, alternate interpretations, methodology and acceptance criteria employed, and of conclusions drawn in the original work. It will assess the adequacy of the original work, and determine its acceptability for use per 40 CFR Part 194.

3.2.4 **Peer Review Chairperson** – An individual designated by the CBFO Deputy Manager, CBFO Director of the Office of Environmental Protection (OEP) or designee to provide technical leadership to the peer review panel, and to determine the manner in which the required peer review evaluations and reporting are conducted.

3.2.5 **Peer Review Observers –** Representatives of regulatory entities, stakeholders, CBFO, and CBFO participant organizations with the express need to observe the peer review process.

3.2.6 **Peer Review Observer Protocol –** Documented instructions given to the peer review observers, by the peer review chairperson, on interaction with the peer review panel.

3.2.7 **Peer Review Panel** – An assembly of peers representing an appropriate spectrum of knowledge and experience in the subject matter to be reviewed.

3.2.8 **Peer Review Plan** – Documents the scope of the peer review, describes the work to be reviewed, the intended use of the work, the size and composition of the peer review panel, and methods used for the specific peer review.

3.2.9 **Peer Review Procedure** – Documents responsibilities and methods for conducting a peer review. Meets the criteria established in NUREG-1297 and in Attachment I of this procedure.

3.2.10 **Peer Review Report** – In-depth documentation of the proceedings and findings of a peer review signed by each peer review panel member.

3.2.11 **Service Provider** – The organization selected by the CBFO Office of Business Operations to solicit and contract peer review panel members.

4.0 RESPONSIBILITIES

4.1 CBFO Deputy Manager, CBFO Director of OEP or Designee

4.1.1 Request CBFO Office of Business Operations to acquire a service provider to solicit and contract peer review panel members to conduct a peer review consistent with this procedure.

4.1.2 Ensure information and data required to support the peer review are assembled and complete.

4.1.3 Ensure appropriate CBFO staff, in accordance with CBFO MP 4.2*, Document Review and Approval,* review the service provider peer review procedure and peer review plan as needed.

4.1.4 Provide the required interfaces to ensure effective flow of information and logistic support for the peer review process.

4.1.5 Ensure necessary communications, including regulatory reporting requirements, with the U.S. Environmental Protection Agency, the New Mexico Environment Department, and other interested stakeholders.

4.2 CBFO Office of Quality Assurance (OQA) Director or Designee

Responsible for the overall assessment of the peer review process.

5.0 PROCEDURE

5.1 Peer Review Process

The peer review, which meets the criteria established in NUREG-1297, shall be used as a management tool to achieve confidence in the validity of certain technical and programmatic judgments. A peer review process provides assurance in cases where scientific uncertainties and ambiguities exist, but technical and programmatic judgments and decisions still must be made. In general, peer reviews are used to achieve defensible consensus. Peer reviews shall not be used as a substitute for readily collectable data. Conclusions based on inadequate or limited data cannot be improved by subjecting those conclusions to the peer review process. Peer reviews shall not be confused with technical reviews or expert judgments.

5.2 Peer Review Process Initiation

NOTE: The latest revisions of CBFO Forms 10.5-1, 10.5-2, 10.5-3, 10.5-4, and 10.5-5 are accessible in fillable format on the CBFO "Forms/Templates" page on the CBFO home page via the Intranet, http://bellview/cbfo/forms-templates.html.

5.2.1 Upon request for a peer review per the criteria of 40 CFR §194.27, the CBFO Deputy Manager, or CBFO OEP Director, shall request the CBFO Office of Business Operations to prepare an acquisition action that requires service providers to perform the following actions:

A. Develop and submit to the CBFO Deputy Manager, CBFO OEP Director or designee a peer review plan that specifies the scope of the peer review to be conducted, a schedule for peer review activities, and delivery of the final peer review report.

B. Determine whether to develop a new peer review procedure, or use Attachment I of CBFO MP 10.5 as the procedure for the peer review. For a new procedure, develop and submit a procedure that incorporates the NUREG-1297 requirements and CBFO Forms 10.5-1, 10.5-2, 10.5-3, 10.5-4, and 10.5-5 (refer to Attachments II through VI examples) to the CBFO Deputy Manager, CBFO OEP Director or designee for CBFO review in accordance with CBFO MP 4.2. If Attachment I of CBFO MP 10.5 is used as the procedure for conducting the peer review, then no further action is required.

C. Submit the identification and qualification documentation of the nominated individual selected as peer review panel chairperson for concurrence by the responsible CBFO Deputy Manager, CBFO OEP Director or designee prior to initiation of the peer review process.

D. Submit all quality assurance (QA) records generated by the peer review to the CBFO Deputy Manager, CBFO OEP Director or designee.

5.3 Peer Review Process Support

5.3.1 The CBFO Deputy Manager, CBFO OEP Director or designee shall:

A. Evaluate the qualifications of the candidates for peer review chairperson submitted by the service provider, and communicate concurrence or non-concurrence until a peer review chairperson is selected.

B. Verify that information and data required to support the peer review are assembled, completed, and provided to the peer review chairperson.

C. Process requests for information, including any additional information required by the peer review panel, in a timely manner.

D. Provide required interfaces to ensure effective flow of information and logistics support for the peer review process.

E. Initiate the CBFO document review process if changes are made to the peer review plan that will affect the implementation of this procedure.

F. Ensure CBFO reviews the changes to CBFO MP 10.5 (Attachment I included) or alternate service provider peer review procedures in accordance with CBFO MP 4.2.

5.3.2 The CBFO Deputy Manager, CBFO OEP Director or designee will serve as the interface with internal and external observers and will coordinate logistics between the peer review chairperson and observers.

5.3.3 The CBFO Deputy Manager, CBFO OEP Director or designee will review and approve/disapprove requests for information from observers as deemed appropriate.

5.4 Peer Review Process Conclusion

5.4.1 The CBFO Deputy Manager, CBFO OEP Director or designee shall review the final peer review report and any supplemental information for impacts and further actions required.

5.4.2 The CBFO Deputy Manager, CBFO Director or designee shall notify the affected organizations (if any) and the appropriate regulatory agencies of the conclusions of the peer review.

5.5 Quality Assurance Assessments

5.5.1 The CBFO OQA Director shall assess the peer review process to ensure that it conforms to this procedure.

5.5.2 The CBFO OQA Director shall present any assessment findings to the responsible CBFO Deputy Manager, CBFO OEP Director or designee; who in turn, submits them to the peer review chairperson for resolution.

5.5.3 The CBFO OQA Director shall review the resolution of any findings to ensure that they include an assessment of the impact of the findings on completed and ongoing peer reviews, as applicable.

5.5.4 Attendance requests for individuals performing peer review QA oversight activities must be coordinated through the peer review chairperson.

6.0 RECORDS

6.1 QA Records

6.1.1 Upon completion of the peer review process and receipt of the QA records from the peer review chairperson, the CBFO Deputy Manager, CBFO OEP Director or designee, with the assistance of the CBFO OQA Director or designee, shall verify that the following documents are assessed for completeness and retained as appendices to the peer review report:

A. Peer review panel chairperson qualification documentation.

B. Peer review plan(s) including peer review procedures (identify if different from Attachment I of CBFO MP 10.5).

C. Peer review panel member qualification and selection documentation including:

- Verification of education/employment documentation (CBFO Form 10.5-1.
- Determination of peer review panel member independence documentation (CBFO Form 10.5-2).
- Justification/decision related to peer review panel selection (CBFO Form 10.5-3).

D. Acquisition documents (beginning with request for peer review from CBFO Office of Business Operations through peer review panel member service provider contracting documentation).

E. Peer review panel orientation documentation and attendance form(s) (CBFO Form 10.5-4).

F. Written minutes of meetings, deliberations, and activities.

G. Observer inquiry forms and/or relevant information that is within the scope of the peer review submitted by an observer to the panel (CBFO Form 10.5-5).

6.1.2 Upon the completion of the verification that appropriate QA records were provided, the CBFO Deputy Manager, CBFO OEP Director or designee shall process the QA records in accordance with CBFO MP 4.9, *Quality Assurance Records.*

6.1.3 In accordance with the CBFO QAPD, records used for repository permitting or certification shall be classified as “lifetime” QA records. Lifetime QA records shall be retained and preserved in an acceptable condition for the operating life of the WIPP.

NOTE: The latest revisions of CBFO Forms 10.5-1, 10.5-2, 10.5-3, 10.5-4, and 10.5-5 are accessible in fillable format on the CBFO "Forms/Templates" page on the CBFO home page via the Intranet. Attachments II through VI (listed below) are examples and are not intended for use.

7.0 ATTACHMENTS

Attachment I. Typical WIPP Protocol for Implementation of NUREG-1297 Peer Review Process

Attachment II. Example of CBFO Form 10.5-1, *Peer Review Panel Member Verification of Education/Employment Form*

Attachment III. Example of CBFO Form 10.5-2, *Determination of Peer Review Panel Member Independence Form*

Attachment IV. Example of CBFO Form 10.5-3, *Peer Review Panel Selection Justification/Decision Form*

Attachment V. Example of CBFO Form 10.5-4, *Peer Review Panel Orientation Form*

Attachment VI. Example of CBFO Form 10.5-5, *Observer Inquiry Form*

Typical WIPP Protocol for Implementation of NUREG-1297 Peer Review Process

NOTE: Refer to Section 3.2 of CBFO MP 10.5 for definitions of terms.

A1.0 Establishment of the Peer Review Panel Chairperson

1.1 The service provider shall document the selection of peer review panel chairperson who will select the peer review panel members.

A2.0 Selection of Peer Review Panel Members

2.1 Peer Review Panel Size and Composition

2.1.1 Peer review panel size and composition shall be determined by the peer review chairperson. The peer review chairperson may utilize technical advisors to assist in the selection process. If a panel member cannot finish or fulfill the review process, the peer review chairperson will determine the need for a replacement. Should a replacement be needed, the new nominee will undergo the qualification and selection process in accordance with Sections 2.2 and 2.3.

2.1.2 The number of peers comprising a peer review panel varies with the complexity of the work to be reviewed, its importance in meeting safety or waste isolation performance goals, the number of technical disciplines involved, the degree to which uncertainties in the data or technical approach exist, and the extent to which differing viewpoints are held within the applicable technical and scientific community concerning the issues under review. The Peer review chairperson is required to confirm that the peer review evaluation did consider relevant data, models, and methods, and that the evaluation was conducted objectively and without bias.

2.1.3 The collective technical expertise and qualifications of peer review panel members shall span the issues, and areas involved in the work to be reviewed, including any differing bodies of scientific thought. Technical areas more central to the work to be reviewed shall receive proportionally more representation on the peer review panel. The peer review panel should represent the major schools of scientific thought. The potential for technical or organizational partiality shall be minimized by the formation of a balanced peer review panel.

2.2 Peer Review Panel Member Qualifications

2.2.1 The acceptability of any peer review panel member is based on technical qualifications and independence, both of which shall be satisfied.

2.2.2 The requirement for technical qualifications of a panel member shall be satisfied by meeting all of the following:

A. Recognized and verifiable technical qualifications at least equivalent to those needed for the original work under review (the primary consideration in the selection process) in the technical area the panel member has been selected to cover. The technical qualifications of each panel member and of the peer review panel as a whole, shall relate to the importance of the subject matter to be reviewed.

B. The peer review chairperson shall ensure that the education and pertinent experience of each panel member is verified and documented on CBFO Form 10.5-1, *Peer Review Panel Member Verification of Education/Employment Form* (refer to Attachment II example).

2.2.3 The requirement for independence shall be satisfied by meeting all of the following:

A. Peer review panel members shall be independent of the original work to be reviewed.

B. Due to the U.S. Department of Energy's (DOE's) extensive effort in the waste management area, the unavailability of other technical expertise in certain areas, and the possibility of reducing the technical qualifications of the reviewers in order to maintain total independence, it may not be possible to exclude all DOE or DOE contractor personnel from participating in a peer review. In cases where total independence requirements cannot be met, a documented rationale as to why someone of equivalent technical qualifications and greater independence, if applicable, was not selected shall be documented in a memo to be filed and included in the QA record package.

C. The peer review panel member shall document the rationale for independence on a *Determination of Peer Review Panel Member Independence Form (*CBFO Form 10.5-2) (refer to Attachment III example). The documented rationale shall be reviewed, verified, and approved by the peer review chairperson. The form shall be maintained as a QA record.

2.3 Peer Review Panel Selection

2.3.1 The peer review chairperson shall eliminate potential peer review panel members from consideration based on the following criteria: (1) equally or more qualified individuals are available, (2) the candidate is not available, and/or (3) the candidate has a potential or perceived organizational conflict of interest.

2.3.2 The peer review chairperson shall document the rationale for selection and non-selection of peer review panel members on a *Peer Review Panel Selection Justification/Decision Form* (CBFO Form 10.5-3) (refer to Attachment IV example). This form shall be maintained as a QA record.

2.3.3 The peer review chairperson shall ensure the services of the selected peer review panel members are retained. Service acquisition documents are to be included with the QA records.

2.3.4 If an appointed peer review panel member is unable to continue as a standing member, the member shall formally resign. The peer review chairperson will select an alternate member in accordance with the applicable sections of this protocol, or opt to continue the peer review with the remaining panel members, as appropriate. The basis for the decision shall be formally documented.

A3.0 Peer Review Panel Member Orientation

3.1 The peer review chairperson shall ensure that all peer review panel members have received adequate orientation prior to performing their assigned work. Orientation may take the form of reading assignments, briefings, or classroom training, as appropriate. Orientation shall be documented as to content and scope.

3.2 At a minimum, assigned reading or orientation shall be facilitated by the peer review chairperson, and shall include the applicable sections of the following:

3.2.1 40 CFR Part 191, *Environmental Radiation Protection Standards for Management and Disposal of Spent Nuclear Fuel, High-Level and Transuranic Radioactive Wastes.*

3.2.2 40 CFR Part 194, *Criteria for the Certification and Re-Certification of the Waste Isolation Pilot Plant's Compliance with the 40 CFR Part 191 Disposal Regulations.*

3.2.3 NUREG-1297, *Peer Review for High-Level Nuclear Waste Repositories.*

3.2.4 DOE/CBFO-94-1012, *Quality Assurance Program Document*, sections 1.1, 2.5, and 5.4.

3.2.5 CBFO MP 10.5, *Peer Review.*

3.2.6 Applicable Peer Review Plan.

3.2.7 Peer Review Procedure.

3.2.8 The peer review process, including the administrative requirements.

3.2.9 A brief summary of the peer review technical subject matter, which may include a briefing by the scientist or engineer responsible for the study being reviewed.

3.3 Attendance at orientation shall be documented on a *Peer Review Panel Orientation Form* (CBFO Form 10.5-4) (refer to Attachment V example) and shall be maintained as a QA record.

A4.0 Observer Protocol

4.1 The observer protocol shall be maintained during the peer review process. Observers are not active participants in the peer review process. Observer communication with peer review panel members during formal panel sessions is disallowed unless requested by a peer panel member or when prior approval is obtained from the peer review chairperson. The peer review chairperson is responsible for the conduct of the peer review and will maintain administrative control of the peer review process.

4.2 The peer review chairperson will ensure that all observers are introduced in the pre-review meeting and initial review sessions.

4.3 Prior to starting the panel session, the peer review chairperson will provide a brief introduction, summary of review objectives, and expectations for observer conduct.

4.4 Observers may submit questions in writing to the peer review chairperson during breaks or other designated times unless otherwise requested by peer review panel members or approved by the peer review chairperson. Observers will limit questions to issues directly related to the information/data being reviewed. Observer questions and peer review panel responses will be addressed only if prior approval is obtained from the peer review chairperson, and the approved questions are documented on the *Observer Inquiry Form* (CBFO Form 10.5-5) (refer to Attachment VI example). This form shall be maintained as a QA record.

4.5 Observers shall be permitted, upon request to the peer review chairperson, copies of any information provided to the peer review panel during the peer review process. Such requests for information shall be documented.

4.6 Observers are permitted to submit to the peer review panel relevant information that is within the scope of the peer review. The information must first be given to the peer review chairperson for documentation as a QA record before it is submitted to the peer review panel.

A5.0 Schedule/Status

5.1 The peer review chairperson will provide status updates to the CBFO Deputy Manager, CBFO OEP Director or designee, and the CBFO OQA Director.

5.2 The peer review chairperson will ensure observers are informed daily of schedule and room changes.

5.3 The peer review chairperson will provide the CBFO Deputy Manager, CBFO OEP Director or designee with a detailed peer review schedule and updates, as required. This information will be provided to observers as requested.

A6.0 General Peer Review Process

6.1 Peer Review Plan

The peer review chairperson shall ensure that a peer review plan is prepared and approved by the CBFO prior to each peer review. The peer review plan shall contain, at a minimum:

- The scope of the peer review and description of the work to be reviewed.
- The intended use of the work in performance assessment (if applicable).
- The composition of the peer review panel.
- Suggested methods (e.g., the method used to document observations, comments, and conclusions).
- The schedule to complete the peer review report.
- The frequency of status reports.

6.2 Subject Matter Peer Review Process.

6.2.1 Peer reviews shall be conducted in accordance with the requirements of the peer review procedure and the peer review plan. Major changes to the peer review procedure or the plan shall be submitted to the responsible CBFO Deputy

Manager, CBFO OEP Director or designee for review and concurrence. The peer review chairperson may approve minor changes (e.g., editorial, renumbering sections, reformatting forms, updating organization titles, and clarifications that do not change intent) to the peer review plan.

6.2.2 The peer review process shall consist of an in-depth analysis and evaluation of:

A. Validity of assumptions.

B. Alternate interpretations.

C. Uncertainty of results and consequences, if incorrect.

D. Appropriateness and limitations of methodology and procedures.

E. Adequacy of application.

F. Accuracy of calculations.

G. Validity of conclusions.

H. Adequacy of requirements and criteria in accordance with approved technical and QA requirements and the applicable peer review plan(s).

6.2.3 Peer review panel members shall interact to ensure that sufficient consideration is given to interdisciplinary and coupled data and information.

6.2.4 Each peer review panel member shall support the peer review chairperson in the preparation of the peer review report on their specific review areas.

6.2.5 The peer review chairperson shall provide technical leadership to the peer review panel members and determine the manner in which the required peer review evaluations and reporting are conducted.

6.2.6 The peer review chairperson shall delegate the assignments of specific review tasks and activities among peer review panel members.

6.2.7 The peer review chairperson shall coordinate peer review panel activities in accordance with applicable procedures and the peer review plan.

6.2.8 The peer review chairperson shall provide the required coordination between the peer review panel members and the responsible Deputy Manager, OEP Assistant Manager or designee to ensure that an effective and responsible flow of information and logistic/technical support is provided.

6.2.9 The peer review chairperson shall provide the Deputy Manager, OEP Assistant Manager or designee with periodic progress reports on the status of the peer review, as specified within the peer review plan.

6.2.10 The peer review chairperson shall ensure that all required forms and documentation are complete prior to the start of the peer review process.

6.2.11 The peer review chairperson shall ensure that the peer review is accomplished and documented in accordance with approved procedures or with this attachment, and in an effective and timely manner.

6.3 Peer Review Daily Caucus

6.3.1 When peer review activities are conducted, the peer review panel chairperson shall schedule and conduct daily caucuses of the peer review panel to address issues, concerns, questions, conflicts, etc.

6.3.2 The peer review chairperson shall ensure that written caucus minutes are developed, shall initial the minutes to signify that they have been reviewed and reasonably represent the work of the peer review panel, and shall ensure the minutes are maintained as QA records.

6.3.3 Authorization for observers to attend the caucus meetings shall be obtained through the peer review chairperson prior to admittance.

6.4 Peer Review Report

6.4.1 A written peer review report will be prepared under the direction of the peer review chairperson and will contain the following:

A. Listing of peer review panel members.

B. Description of the work or issue that was reviewed, documenting:

1. Validity of assumptions.

2. Alternate interpretations.

3. Uncertainty of results and consequences, if incorrect.

4. Appropriateness and limitations of methodology and procedures.

5. Adequacy of application.

6. Accuracy of calculations.

7. Validity of conclusions.

8. Adequacy of requirements and criteria in accordance with approved technical and QA requirements and the applicable peer review plan(s).

C. Conclusions reached by the peer review panel.

D. Individual statements by the peer review panel members, reflecting dissenting views or additional comments, as appropriate.

E. Signature of the peer review chairperson and each peer review panel member.

6.4.2 The peer review report will also include the following appendices:

A. Peer review panel chairperson qualification documentation.

B. Peer review plan(s) including peer review procedures (identify if different from Attachment I of CBFO MP 10.5).

C. Peer review panel member qualification and selection documentation including:

1. Verification of education/employment documentation (CBFO Form 10.5-1).

2. Determination of peer review panel member independence documentation (CBFO Form 10.5-2).

3. Justification/decision related to peer review panel selection (CBFO Form 10.5-3).

D. Acquisition documents (beginning with request for peer review from CBFO Office of Business Operations through peer review panel member service provider contracting documentation).

6.5 Supplemental Information and Data

In the event that issues affecting the defined purpose of the peer review are identified in the peer review report, the panel may be reconvened to review supplementary information provided to resolve such issues. If the panel is reconvened, the review of the supplementary data and information shall be conducted in accordance with this procedure. The results of the supplementary peer review shall be documented in a supplementary peer review report.

A7.0 Record Retention and Maintenance

7.1 QA records shall be retained by the peer review chairperson until completion of the peer review process. Upon completion of the peer review process, the peer review chairperson shall transfer all QA records to the responsible CBFO Deputy Manager, CBFO OEP Director or designee.

7.2 QA records to be retained include:

- Peer review plans
- Peer review procedures (if different from Attachment I of CBFO MP 10.5)
- Service acquisition documents
- Peer review panel member education/employment documentation
- Peer review panel member independence documentation
- Peer review panel selection justification
- Peer review panel member service provider contracting documentation
- Observer inquiry forms
- Peer review panel chairperson qualification documentation
- Peer review panel member selection documentation
- Peer review panel orientation documentation and attendance form
- Written minutes of meetings, deliberations, and activities
- Peer review report

Example of CBFO Form 10.5-1

Peer Review Panel Member Verification of Education/Employment Form

Section 1

Peer panel member nominee information:

My signature verifies that the information contained in this resume is correct. You are hereby authorized to verify this information.

Name:_____ _____ _____
Printed Date Signature

The resume will contain nominee's education and employment history.

I. EDUCATION: A list of educational institution(s), degree(s), discipline(s)/subject(s), and year(s).

II. EMPLOYMENT HISTORY: A list of employment history for the previous ten (10) years, starting with the latest. The history will include responsibilities [in general terms] and years with each employer.

Please note that (all) official transcript(s) is (are) to be in (a) sealed envelope(s) from the university registrar(s). Foreign degrees need to be verified and evaluated by credential evaluation services.

Section 2

The peer review chairperson is responsible for completing this section.

Position/Title: _____

Comments:_____

_____

_____

_____

_____

_____

_____

Peer Review Chairperson:

Name:_____ _____ _____
Printed Date Signature

EXAMPLE

Example of CBFO Form 10.5-2

Determination of Peer Review Panel Member Independence Form

Are you currently employed by DOE or a DOE contractor? ☐ Yes ☐ No

Were you employed by DOE or a DOE Contractor previously? ☐ Yes ☐ No

(If yes, give dates, location, organization, position, and type of work performed.)

Do you have or have you had any direct involvement or financial interest in the work under review? ☐ Yes ☐ No

(If yes, describe.)

Is there any reason why you cannot perform an impartial peer review? ☐ Yes ☐ No

(If yes, describe.)

Is there any aspect of your past that may lead to a perception of bias in the results of your peer review? ☐ Yes ☐ No

(If yes, describe.)

I pledge that my review of this work will be completely impartial and based solely on the information available during the review.

Name:_____ _____ _____
Printed Date Signature

EXAMPLE

Example of CBFO Form 10.5-3

Peer Review Panel Selection Justification/Decision Form

Selection committee members:

Peer review entitled:

_____

Peer review panel composition:

1._____
2._____
3._____
4._____
5._____
6._____
7._____
8._____
9._____
10._____

Justification:

Peer Review Chairperson:

Name:_____ _____ _____
Printed Date Signature

EXAMPLE

Example of CBFO Form 10.5-4

Peer Review Panel Orientation Form

Date:_____ Peer Review Chairperson:_____

Peer review subject or title:_____

Attendees:

PRINTED NAME	SIGNATURE	DATE

EXAMPLE

Example of CBFO Form 10.5-5

Observer Inquiry Form

Date:_____ Observer:_____ Organization:_____

Peer review subject or title:_____

COMMENTS:

RESPONSE:

Peer review chairperson:

Printed Name _____ Signature _____ Date _____

EXAMPLE