
memorandum

Carlsbad Field Office
Carlsbad, New Mexico 88221

DATE: September 21, 2016

REPLY TO
ATTN OF: CBFO:OEP:AS:AC:16-3309:UFC 1410.00

SUBJECT: Interim Change Notice #1 to CBFO MP 10.5, Revision 9, *Peer Review*

TO: Distribution

Interim Change Notice (ICN) #1 to Carlsbad Field Office (CBFO) Management Procedure (MP) 10.5, Revision 9, *Peer Review*, is effective immediately. This ICN is necessary to address the following editorial revisions:

- At the top of Page 1, add the effective date of “August 2015” immediately below the CBFO Form 4.1-1 number (Management Procedure Template);
- At the bottom of Page 1, add “Director, Office of Environmental Protection, after “PROCEDURE OWNER:”;
- In the CHANGE HISTORY section for Revision 9, change the Date Issued from “TBD” to “01/08/16”;
- In Steps 4.1.1 and 5.2.1, change “Office of Business” to “Office of Business Operations”;
- On Attachment II (CBFO Form 10.5-1), *Peer Review Panel Member Verification of Education/Employment Form*, add the effective form date “January 2016” immediately below the Form number;
- On Attachment III (CBFO Form 10.5-2), *Determination of Peer Review Panel Member Independence Form*, add the effective form date “January 2016” immediately below the Form number;
- On Attachment IV (CBFO Form 10.5-3), *Peer Review Panel Selection Justification/Decision Form*, add the effective form date “January 2016” immediately below the Form number;
- On Attachment V (CBFO Form 10.5-4), *Peer Review Panel Orientation Form*, add the effective form date “January 2016” immediately below the Form number;
- On Attachment VI (CBFO Form 10.5-5), *Observer Inquiry Form*, add the effective form date “January 2016” immediately below the Form number;

Should you have any questions, please contact me at (575) 234-7488.

//signature on file//

George T. Basabilvazo, Director
Office of Environmental Protection

Distribution:
All CBFO Staff *ED
*ED denotes electronic distribution

cc:
CBFO MP 10.5, Rev. 9 Records Package
CBFO M&RC

U. S. Department of Energy
Carlsbad Field Office

MANAGEMENT PROCEDURE

CBFO MP 10.5, Rev. 9

Effective: January 8, 2016

SUBJECT: PEER REVIEW

Procedure Approver: //signature on file//

Date: January 6, 2016

CHANGE HISTORY

Revision Number	Date Issued	Description of Changes
9	TBD	<ul style="list-style-type: none"> • 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.

1.0 PURPOSE

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

AVAILABLE ONLINE AT:

<http://bellview/cbfo/CBFO-Procedures.html>

PROCEDURE OWNER:

2.0 SCOPE

This procedure applies to the performance of peer reviews prescribed in Code of Federal Regulations (CFR) Title 40 Part 194 (40 CFR Part 194), and conducted under the responsibility of the CBFO. The peer reviews may be applied to repository performance demonstrations as specified in 40 CFR §194.27, to qualify waste characterization data as specified in 40 CFR §194.22(b), and to other applications requiring the use of NUREG-1297. This procedure supersedes MP 10.5, Revision 8.

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. NUREG-1297, Peer Review for High-Level Nuclear Waste Repositories, published February 1988
- 3.1.4. DOE/CBFO-94-1012, Quality Assurance Program Document (QAPD)
- 3.1.5. CBFO MP 4.2, Document Review

3.2. Definitions

Refer to the CBFO QAPD glossary of terms for general quality assurance terms. For the purposes of this procedure, the following terms are defined:

- 3.2.1. **Contractor Technical Representatives** – Persons who are authorized to represent their organization and first tier contractual responsibilities with CBFO for performance of the peer review.
- 3.2.2. **Independence** – The neutral position of a peer not involved as a participant, a supervisor, a technical reviewer, or an advisor in the work being reviewed. This neutral position will, to the extent practical, have sufficient freedom from funding to assure the work is impartially reviewed.
- 3.2.3. **Peer** – A person having technical expertise in the subject matter to be reviewed to a degree at least equivalent to that needed for the original work.
- 3.2.4. **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.
- 3.2.5. **Peer Review Panel** – An assembly of peers representing an appropriate spectrum of knowledge and experience in the subject matter to be reviewed.
- 3.2.6. **Peer Review Manager** – The administrative manager of the peer review process.
- 3.2.7. **Peer Review Panel Selection Committee** – A committee, led by the peer review manager, selects the peer review panel members.

- 3.2.8. **Peer Review Chairperson** – A peer review panel member designated by the peer review manager 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.
- 3.2.9. **Peer Review Observer Protocol** – Documented instructions for observer interaction with the peer review panel.
- 3.2.10. **Peer Review Observers** – Representatives of regulatory entities, stakeholders, CBFO, and CBFO participant organizations with the express need to observe the peer review process.
- 3.2.11. **Peer Review Plan** – Documents the approach, purpose and scope of a peer review.
- 3.2.12. **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.
- 3.2.13. **Peer Review Report** – In-depth documentation of the proceedings and findings of a peer review.
- 3.2.14. **Service Provider** – Used interchangeably with contractor hired to employ or contract peer review panel members.

4.0 **RESPONSIBILITIES**

- 4.1. Deputy Manager, Assistant Manager or Designee
 - 4.1.1. Request CBFO Office of Business to acquire services for the conduct of a peer review consistent with this procedure.
 - 4.1.2. Concur with the peer review manager candidate nominated by the service provider prior to initiation of the peer review process.
 - 4.1.3. Ensure that information and data required to support the peer review are assembled and complete.
 - 4.1.4. Ensure that the service provider peer review procedure and peer review plan are reviewed by the appropriate CBFO staff in accordance with MP 4.2, Document Review, as needed.
 - 4.1.5. Provide the required interfaces to ensure effective flow of information and logistic support for the peer review process.
 - 4.1.6. Ensure necessary communications, including regulatory reporting requirements, with the U.S. Environmental Protection Agency (EPA), the New Mexico Environment Department (NMED), 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 (NUREG-1297)

The peer review shall be used as a management tool to achieve confidence in the validity of certain technical and programmatic judgments. The intent of a peer review is to pass judgment on the technical adequacy of the work or data submitted for review, to identify aspects of the work on which technical consensus exists, to identify aspects on which technical consensus does not exist, and to identify aspects of the work believed to be incorrect or requiring amplification. A peer review process provides assurance in cases where scientific uncertainties and ambiguities exist but in which technical and programmatic judgments and decisions still must be made. In general, peer reviews should be used in a confirmatory sense. 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

- 5.2.1. Upon request for a peer review in accordance with 40 CFR Part 194, the Deputy Manager, Assistant Manager or designee shall request an appropriate service acquisition action from the Office of Business or designated contractor that includes:
- A. Development of a peer review procedure that incorporates the NUREG-1297 requirements established in Attachment I and includes Attachments II through VI. Attachment I may be used in lieu of development of a new procedure, with appropriate service provider documentation (e.g., cover sheet with approvals) provided to the CBFO.
 - B. CBFO review and approval of the peer review procedure and peer review plan, if Attachment I is not used.
 - C. A request that the service provider submit the identification and qualification documentation of the nominated peer review manager for concurrence by the responsible Deputy Manager, Assistant Manager or designee prior to initiation of the peer review process.
 - D. The specific scope of the peer review to be conducted, including a schedule for review activities and delivery of the final report.
 - E. The requirement that the peer review process be conducted in accordance with this procedure.
 - F. The requirement for the peer review manager to transfer all QA records to the responsible contractor technical representative who then submits them to the responsible Deputy Manager, Assistant Manager or designee.
- 5.2.2. If the service provider uses this procedure, which includes Attachment I, no further CBFO review is required. However, if the service provider uses an alternate peer review procedure, the Deputy Manager, Assistant Manager or designee shall initiate the CBFO document review process in accordance with MP 4.2.

5.3. Peer Review Process Support

- 5.3.1. The Deputy Manager, Assistant Manager or Designee shall:
- A. Evaluate the qualifications of the candidates for peer review manager submitted by the service provider and communicate concurrence or non-concurrence until a peer review manager is selected.
 - B. Verify that information and data required to support the peer review are assembled, complete, and provided to the peer review manager.

- 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 logistic 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 the CBFO MP 10.5 (Attachment I included) or alternate service provider peer review procedures in accordance with MP 4.2.
- 5.3.2. The Deputy Manager, Assistant Manager or designee will serve as the interface with internal and external observers and will coordinate logistics between the peer review manager and observers.
- 5.3.3. The Deputy Manager, Assistant Manager 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 Deputy Manager, Assistant Manager or designee shall review the final peer review report and any supplemental information for impacts and further actions required.
- 5.4.2. The Deputy Manager, Assistant Manager 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 OQA Director should assess the peer review process to ensure that it conforms to this procedure.
- 5.5.2. The OQA Director shall present any assessment findings to the responsible Deputy Manager, Assistant Manager or designee, and the contract technical representative, who in turn submits them to the peer review manager.
- 5.5.3. The 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 manager or 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 contractor technical representative (via the peer review manager), the Deputy Manager, Assistant Manager or designee, with the assistance of the 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 manager qualification documentation.

- B. Peer review plan(s) including peer review procedures (identify if different from Attachment I of MP 10.5).
- C. Documentation for appointment of the peer review panel member selection committee.
- D. Peer review panel member qualification and selection documentation including:
- Verification of education/employment documentation (Attachment II, CBFO Form 10.5-1);
 - Determination of peer review panel member independence documentation (Attachment III, CBFO Form 10.5-2);
 - Justification/decision related to peer review panel selection (Attachment IV, CBFO Form 10.5-3).
- E. Service acquisition documents (beginning with request for peer review from CBFO Office of Business Operations through peer review panel member service provider contracting documentation).
- F. Peer review panel orientation documentation and attendance form(s) (Attachment V, CBFO Form 10.5-4).
- G. Written minutes of meetings, deliberations and activities.
- H. Observer inquiry forms and/or relevant information that is within the scope of the peer review submitted by an observer to the panel (Attachment VI, CBFO Form 10.5-5).
- 6.1.2. Upon the successful completion of the verification that appropriate QA records were provided, the responsible Deputy Manager, Assistant Manager or designee shall process the QA records in accordance with CBFO MP 4.9, Quality Assurance Records.
- 6.1.3. In accordance with the QAPD, records used for repository permitting or certification shall be classified as "lifetime" QA records.

7.0 **ATTACHMENTS**

- Attachment I. Typical WIPP Protocol for Implementation of NUREG-1297 Peer Review Process
- Attachment II. Peer Review Panel Member Verification of Education/Employment Form (CBFO Form 10.5-1)
- Attachment III. Determination of Peer Review Panel Member Independence Form (CBFO Form 10.5-2)
- Attachment IV. Peer Review Panel Selection Justification/Decision Form (CBFO Form 10.5-3)
- Attachment V. Peer Review Panel Orientation Form (CBFO Form 10.5-4)
- Attachment VI. Observer Inquiry Form (CBFO Form 10.5-5)

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

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

- A1.0 Establishment of the Peer Review Panel Selection Committee
 - 1.1 The peer review manager shall lead the peer review panel selection committee and shall document the selection of two individuals to serve on the selection committee using the following criteria:
 - 1.1.1 Knowledge of the peer review process
 - 1.1.2 Knowledge of the potentially qualified peer review candidates
 - 1.1.3 Impartiality and no organizational conflict of interest
- 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 panel selection committee. The committee may utilize technical advisors to assist in the selection process. 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.
 - 2.1.2 The number of peers comprising a peer review panel varies with the complexity of the work to be reviewed, its importance to 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 strongly held within the applicable technical and scientific community concerning the issues under review.
 - 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 and the potential for technical or organizational partiality should 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 manager shall ensure that the education and pertinent experience of each panel member is verified and documented on Attachment II, Peer Review Panel Member Verification of Education/Employment Form (CBFO Form 10.5-1).

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. Because of the 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 file and included in the QA record package.
- C. The peer review panel member shall document the rationale for independence on an Attachment III, Determination of Peer Review Panel Member Independence Form (CBFO Form 10.5-2). The documented rationale shall be reviewed, verified, and approved by the peer review manager. The form shall be maintained as a QA record.

2.3 Peer Review Panel Selection

2.3.1 The peer review panel selection committee shall eliminate potential peer review panel members from consideration based on information provided on the list and 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 panel selection committee shall document the rationale for selection and non-selection of peer review panel members on an Attachment IV, Peer Review Panel Selection Justification/Decision Form (CBFO Form 10.5-3). This form shall be maintained as a QA record.

2.3.3 The peer review manager 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 manager will reconvene the peer review panel selection committee to 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.
- 2.3.5 The peer review manager shall select and appoint a chairperson for each peer review panel from among the peer review panel members.

A3.0 Peer Review Panel Member Orientation

- 3.1 The peer review manager 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 manager 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 (QAPD) sections 1.1, 2.5, and 5.4
 - 3.2.5 CBFO MP 10.5, Peer Review
 - 3.2.6 Applicable Peer Review Plans
 - 3.2.7 Peer Review Procedure(s)
 - 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 Attachment V, Peer Review Panel Member Orientation Form (CBFO Form 10.5-4), and shall be maintained as a QA record.

A4.0 Interface Requirements

- 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 manager is responsible for the conduct of the peer review and will maintain administrative control of the peer review process.
- 4.2 The peer review manager or 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 manager or 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 manager or chairperson during breaks or other designated times unless otherwise requested by peer review panel members or approved by the peer review manager. Observers should 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 manager and the approved questions are documented on Attachment VI, Observer Inquiry Form (CBFO Form 10.5-5) and retained as QA records.
- 4.5 Observers shall be permitted copies of information distributed to peer review panel members during the peer review process upon request to the peer review manager. Such requests for information shall be documented.
- 4.6 Observers are permitted to submit to the panel relevant information that is within the scope of the peer review. The information must first be given to the peer review manager for documentation as a QA record before it is submitted to the panel.
- 4.7 Handbooks provided to peer review panel members will be made available for observers to review in the panel conference room.

A5.0 Schedule/Status

- 5.1 The peer review manager will provide status updates to the Deputy Manager, Assistant Manager or designee, and the CBFO OQA Director.
- 5.2 The peer review manager or chairperson will ensure observers are informed daily of schedule and room changes.
- 5.3 The peer review manager will provide the Deputy Manager, Assistant Manager 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 manager shall ensure that a peer review plan has been 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(s) and the peer review plan. Major changes to the peer review procedure(s) or the plan shall be submitted to the responsible Deputy Manager, Assistant Manager or designee for review and concurrence. The peer review manager 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 wrong; (d) appropriateness and limitations of methodology and procedures; (e) adequacy of application; (f) accuracy of calculations; (g) validity of conclusions; and (h) adequacy of requirements and criteria, in accordance with approved technical and quality assurance 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 peer review report(s) on their specific review areas.
- 6.2.5 The peer review chairperson shall provide technical leadership of 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, with the assistance of the peer review manager, the assignments of specific review tasks and activities among peer review panel members.
- 6.2.7 The peer review manager shall coordinate peer review panel activities in accordance with applicable procedures and the peer review plan.
- 6.2.8 The peer review manager shall provide the required coordination between the peer review panels and the responsible Deputy Manager, 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 manager shall provide the Deputy Manager, 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 manager 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 manager 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. The peer review manager will assist the chairperson in resolution of the issues, as necessary.

6.3.2 The peer review manager 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 manager prior to admittance.

6.4 Peer Review Report

6.4.1 The peer review chairperson, with assistance from the peer review manager as needed, shall ensure that the peer review panel findings are documented and that the peer review report is prepared.

6.4.2 The peer review report shall:

- A. Be signed by each peer review panel member
- B. Describe the work or issue that was reviewed
- C. Describe the conclusions reached by the peer review panel. The conclusion shall include the final analysis and evaluation results of Section 6.2.2 consented by the peer review panel members
- D. Provide individual statements by the peer review panel members, reflecting dissenting views or additional comments, as appropriate
- E. List the peer review panel members and provide acceptability information (i.e., technical qualifications and independence) for each member, including any potential technical and or organizational conflict of interest

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 Retention and Maintenance

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

7.2 QA records to be retained include:

- Peer review plans
- Peer review procedures (if different from Attachment I)
- Service acquisition documents
- Peer review panel member verification of education/employment documentation
- Determination of peer review panel member independence documentation
- Peer review panel selection justification/decision documentation
- Peer review panel member service provider contracting documentation
- Observer inquiry forms
- Peer review panel manager 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 reports

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 manager is responsible for completing this section.

Verifier: _____
 Position/Title Date

Verifier Name: _____
 Printed Date Signature

Comments: _____

Peer review manager: _____
 Printed Date Signature

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.

Signature: _____

Print Name: _____

Date: _____

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:

Date: _____

Selection committee signatures:

