

Identifier: **EP-ERSS-SOP-4005**
(was QP-03.05)

Revision: **0.0**



Effective Date: **3/23/07**

Environment & Remediation Support Services

Standard Operating Procedure

for **PEER REVIEW PROCESS**

APPROVAL SIGNATURES:

Subject Matter Expert:	Organization	Signature	Date
Saundra Martinez	ERSS	<i>Signature on File</i>	3/15/07
Quality Assurance Specialist:	Organization	Signature	Date
Laura Ortega	QA-IQ	<i>Signature on File</i>	3/22/07
Responsible Line Manager:	Organization	Signature	Date
Dwain Farley	ERSS	<i>Signature on File</i>	3/23/07

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1.0 PURPOSE AND SCOPE

This procedure provides the peer review (PR) process for Environment & Remediation Support Services (ERSS). The process guides staff in conducting a Peer Review and identifying requirements and responsibilities. The PR process also ensures that management is in alignment with key decisions, such as readiness for work or submittal of critical documents.

Peer Reviews are performed by qualified technical personnel with sufficient independence to ensure that criteria, assumptions, methodology, and conclusions are appropriate for a given document.

2.0 BACKGROUND AND PRECAUTIONS

2.1 Background

There are four types of peer reviews:

Decision—A review that occurs before document writing has begun, or at the key decision phase, and that focuses on the appropriateness of the stated objectives for the identified problem, adequacy of the proposed approach to address the objectives, and identification of concerns and necessary contingencies. This review occurs as panel review only.

Document—A review of a completed draft of a document that focuses on clarity of presentation and approach and on consistent, appropriate format and content. This review may be in the form of a panel review or a read review.

Panel—A review that includes a meeting with the author and the reviewers to discuss issues (may be a decision or document peer review). A document will not be provided for a decision review. Comments from the meeting must be recorded.

Read—A review of the written document that each reviewer conducts individually without meeting as a group.

The peer review draft is a version of a document that is ready for peer review; has received a professional pre-peer-review editing and compositing; and shows “peer review draft, date” in the footer of the document.

2.2 Precautions

Unless otherwise noted, the following procedure is the responsibility of the Project Leader and/or Author and Peer Reviewers.

Comments provided after the required review date will not be considered as part of the formal peer review process without prior notification to Project Leader/Author. If the schedule permits, the Project Leader/Author will be encouraged to incorporate late comments where appropriate, but these will be outside of the formal process and will not require documentation of comment/resolution.

Provide at least seven (7) working days for review and comment for documents that are 50 pages or less; provide at least three (3) weeks for review and comment on documents larger than 50 pages. Specify the date that comments must be received by the Project Leader/Author. Documents going through peer review under an accelerated schedule may require a modified peer review (shorter review time and fewer reviewers).

Peer Reviewers should not be directly involved in the specific work that produced the document being reviewed. It may be necessary to include a technical reviewer on the team who is familiar with the project so an independent technical review can be performed.

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Peer review is complete only when all required comments from peer reviewers have been resolved and incorporated, where applicable, into the peer review comment form.

3.0 EQUIPMENT AND TOOLS

None.

4.0 STEP-BY-STEP PROCESS DESCRIPTION

The following procedure is used for all types of peer review.

4.1 Request Peer Review

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| Project Leader/Author | <ol style="list-style-type: none"> 1. Request the appropriate Peer Review (refer to section 2.1, Background) by completing and electronically submitting the Peer Review Request form to the Document Manager via the submittal button on the form.

[NOTE: This form is available at http://erinternal.lanl.gov/Quality/forms.htm or refer to Attachment 1 of this procedure. For help filling out the form, refer to the online document review, approval, and signature matrix (http://erinternal.lanl.gov/procedures/docs/document_approval_requirements.pdf) to determine who must be included in the PR.] 2. Designate a Peer Review Chairperson and/or Technical Reviewer.

[NOTE: This person should not be the Project Leader/Author.] 3. Prepare a statement of the issues, including pertinent supporting information, to be addressed. Include this information on the Peer Review Request form. This information instructs reviewers participating in any type of Peer Review. 4. List appropriate personnel on the Peer Review Request form: GIS, data steward, ENV-RCRA, legal counsel, Quality Assurance (QA), Department of Energy (DOE), Authorized Derivative Classifier (ADC), S-7, management and safety reviewer, other subject matter experts (SMEs). 5. Indicate which section(s) should be reviewed and commented on, if not the entire document. 6. If distribution for Peer Review is done via hard copy, ensure the subcontractor provides a sufficient quantity of documents and distribute to all reviewers.

[NOTE: The reviewers will receive the PR comment form when they receive the Peer Review email notification from the Document Manager.] 7. Provide an electronic version of a professionally edited, complete, and final Peer Review draft of the document, including appendixes and attachments, table of contents, and cover page complete with document catalog number, to the Document Manager. |
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4.2 Schedule

Document Manager	1.	Receive electronic Peer Review Request form.
	2.	Set up the electronic folder that includes the Peer Review request, draft Peer Review document, and Peer Review Comment/Resolution form.
	3.	Include the review time frame and the reviewers for the Peer Review in the document schedule.
	4.	Put the document through pre-Peer Review editing and compositing and Authorized Derivative Classifier review before sending it to the Laboratory's classification office.
	5.	Draft the e-mail to the reviewers indicating the draft document and comment form are attached.
	6.	Include the following information within the e-mail: <ul style="list-style-type: none"> • a brief description of the item/issue to be reviewed or discussed, • the person receiving and reconciling comments, • the due date for comments to be received, and • any special review requirements provided by the Project Leader/Author (refer to the Peer Review Request form).
	7.	Allow at least one (1) week for the review unless the accelerated approach has been authorized and is being used. See EP-ERSS-SOP-4002, Attachment 1, "Using the Accelerated Approach."
	8.	E-mail the Peer Review notification to reviewers (including items mentioned above).
	9.	Send a reminder at least two (2) days before comments are due (the Peer Review process typically takes two (2) to three (3) weeks for shorter documents).
Project Leader/ Author	10.	For decision and panel reviews, <ul style="list-style-type: none"> • Coordinate the meeting time and location and email participants, including the Document Manager. • Distribute the information regarding any pertinent issues to reviewers at least three (3) working days before the scheduled review. • Prepare a summary documenting the decisions and recommendations within two (2) working days after the meeting. • Distribute the summary to the reviewers and copy the Document Manager, requesting concurrence within three (3) working days. • Work with the reviewers to address and resolve all concerns and revise the summary as necessary. • Transmit the final summary to the Records Processing Facility (RPF).

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4.3 Review proceedings

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| Reviewer | <ol style="list-style-type: none"> 1. Follow the guidance in the Document Manager’s Email peer review notification. 2. Read the original document in its entirety (unless otherwise instructed) to ensure accuracy and consistency. 3. Concentrate on the technical content of the document, focusing on area of expertise. 4. Contact the Project Leader/Author with a request for a panel review if a panel review is more appropriate. 5. Record all comments on the peer review comment/resolution form. Include entries that are informative and that address the issues completely to encourage an effective response to comment(s).

[NOTE: Refer to Attachment 2 to this procedure. Electronic completion of the form is preferred.] 6. Ensure comments are incorporated and/or addressed.

[NOTE: Comments not entered on the Peer Review Comment/Resolution form are not considered mandatory, and, therefore, the author is not required to address them. Editorial comments may be recorded in the margins of the document and returned, along with the form, to the Project Leader/Author.] 7. Submit the Peer Review Comment/Resolution form to the Project Leader/Author. |
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4.4 Comment Resolution

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|------------------------|--|
| Project Leader/ Author | <ol style="list-style-type: none"> 1. Resolve all comments as indicated on the Peer Review Comment/Resolution form. [NOTE: Comments require resolution acceptable to the reviewer. Recommendations as they appear on the Peer Review Comment/Resolution form, Peer Review Summary Report, or document margins, are incorporated as appropriate. The Peer Review Summary Report is product of the Decision Peer Review (see Section 4.2, Step 10).] 2. Direct any questions concerning issues or comments to reviewer(s). |
| Reviewer | <ol style="list-style-type: none"> 3. Concur with the Project Leader’s/Author’s responses by signing the Peer Review Comment/Resolution form. |
| Project Leader/ Author | <ol style="list-style-type: none"> 4. Submit a copy of the revised document and the completed, signed Peer Review Comment/Resolution forms to the Document Manager after all comments have been resolved. 5. Submit peer reviewed document to the designated editor for a final editing and compositing. |
| Editor | <ol style="list-style-type: none"> 6. Provide the final edited version to the compositor for final compositing. |

4.5 Conflict Resolution Process

Technical Reviewer	1.	Contact the Project Leader/Author regarding comments that were rejected.
	2.	In the event that an issue cannot be resolved directly with the Project Leader/Author, bring the issue to the Peer Review Chairperson/Technical Reviewer.
Peer Review Chairperson/ Technical Reviewer	3.	Meet with the Division Leader and the Project Leader/Author, if appropriate.
Division Leader	4.	Work with the Peer Review Chairperson and the Project Leader/Author to discuss and resolve the issue(s).
Division Leader and Project Leader/Author	5.	Document the decision on the Peer Review Comment/Resolution form and return the form to the Document Manager.
	6.	Continue the completion of the peer review process.
Project Leader/Author	7.	Continue comment resolution (Section 4.4 of this procedure).
	8.	Transmit the completed Peer Review Comment/Resolution forms and/or the decision review summary report to the Document Manager. [NOTE: Completed forms include reviewer comments, the Project Leader/Author's resolutions to the comments, and the signature of each reviewer.]
Document Manager	9.	Scan the completed Peer Review Comment forms (all pages) and save each reviewer's comment form as a portable document file (PDF) in the electronic folder. [NOTE: The Peer Review Request form and the completed Peer Review Comment/Resolution forms are included as part of the document package and included in the submittal to the Records Processing Facility during final distribution by the program office.]

4.6 Records

- Document Manager 1. Submit the following records generated by this procedure to the Records Processing Facility:
- Submittal letter (program office obtains signatures);
 - Document catalog signature form for the submittal letter (program office obtains signatures);
 - Certification page (for remedy completion reports only);
 - Document;
 - Title page;
 - Document catalog signature form for the document (Project Leader/Author and/or Document Manager obtains signatures);
 - Peer Review Comment/Resolution forms (PL/author obtains signatures); and
 - Final approved copy of the document is in the publications folder.

5.0 PROCESS FLOW CHART

To be provided at a later date.

6.0 ATTACHMENTS

- Attachment 1: 4005-1 Peer Review Request Form (1 page)
Attachment 2: 4005-2 Peer Review Comment/Resolution Form (2 pages)

7.0 REVISION HISTORY

Author: Sandra Martinez

Revision No <i>(Enter current revision number, beginning with Rev.0)</i>	Effective Date <i>(DCC inserts effective date for revision)</i>	Description of Changes <i>(List specific changes made since the previous revision)</i>	Type of Change <i>(Technical or Editorial)</i>
0.0	3/23/07	Major rewrite formerly QP 3.5	T/E

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[Using a CRYPTOCARD, click here to record "self-study" training to this procedure.](#)

If you do not possess a CRYPTOCARD or encounter problems, contact the ERSS training specialist.

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ATTACHMENT 1: PEER REVIEW REQUEST FORM

<p>4005-1</p> <p align="center">Peer Review Request Form</p>	<p>Records Use only</p> 
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1.0 Request for Peer Review	Date:
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Requestor (PL/author):	Point of Contact:
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Date comments should be returned: first choice: second choice:

Document Title:

Deliverable due date to DOE: NMED: Other (specify organization):

List document control or SOP number(s) addressed in the decision/document to be reviewed:

Author/Presenters:

Required personnel for the peer review team (refer to online document review, approval, and signature matrix [http://erinternal.lanl.gov/procedures/docs/document_approval_requirements.pdf] to determine who should review e.g., if the document has maps, a GIS reviewer is mandatory):

Project cost code for peer reviewers:

Brief description of item/issue to be reviewed (who, what, where, when, why, and how):

Approvals (signature/date): Project Leader/Author:

ATTACHMENT 2: PEER REVIEW COMMENT/RESOLUTION FORM

<p>4005-2</p> <p style="text-align: center;">Peer Review Comment/Resolution Form</p>	<p>Records Use only</p> 
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Part 1 (to be completed by the DM) Date:

Title:	Catalog #:	Rev. #:
Reviewer's Name:	Group:	MS/Phone: Comments due date: (mandatory)
Author's Name:	Phone:	Fax:
Document Manager:	Phone:	Fax:

Part 2 (to be completed by the reviewer and PL/author as appropriate)

Received on (date):	Review completed on:	Signature <i>(sign after verifying final resolution)</i> :
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Comment #	Location ¹	M/R ²	Reviewer's Comments	A/R ³	Author's Proposed Revision/Resolution	Final Resolution

¹page, paragraph, line ²M = mandatory / R = recommended ³A = accept / R = reject

ATTACHMENT 2: PEER REVIEW COMMENT/RESOLUTION FORM

<p>4005-2</p> <p style="text-align: center;">Peer Review Comment/Resolution Form</p>	<p>Records Use only</p> 
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Title:	Reviewer:
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Comment #	Location ¹	M/R ²	Reviewer's Comments	A/R ³	Author's Proposed Revision/Resolution	Final Resolution

¹page, paragraph, line ²M = mandatory / R = recommended ³A = accept / R = reject