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NUCLEAR WASTE MANAGEMENT PROGRAM  
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Subject: IDENTIFICATION AND CONTROL OF ITEMS, SAMPLES AND DATA

Approved: FEB 10 1989

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### INTRODUCTION

This section provides the requirements for the identification and control of items, samples and data and consists of three separate parts. The requirements for items are stated in part A; in part B for samples; and, part C for data resulting from scientific investigations. Part A applies to activities related to the engineered items and does not apply to scientific investigations. Parts B and C apply to scientific investigation activities and do not apply to engineered items.

### PART A - IDENTIFICATION AND CONTROL OF ITEMS

#### 1.0 IDENTIFICATION

Items are identified to assure that only correct and accepted items are used or installed. The identification is verified prior to installation or use. Identification is maintained either on the item, its containers, or in documents traceable to the item from receipt until installed.

< See addition per  
CN R 8-0-1

#### 1.1 GENERAL

Items of production (batch, lot, component, part) are identified from the initial receipt and fabrication of the items up to and including installation and use. This identification relates an item to an applicable design or other pertinent specifying document.

1.1.1 Physical identification is used to the maximum extent possible. Where physical identification on the item is either impracticable or insufficient, physical separation, procedural control, or other appropriate means are employed.

1.1.2 Identification markings, when used, are applied using materials and methods which provide a clear and legible identification and do not detrimentally affect the function or service life of the item. Markings are transferred to each part of an identified item when subdivided and are not obliterated or hidden by surface treatment or coatings unless other means of identification are substituted.

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1.1.3 When specified by codes, standards or specification that include specific identification or traceability requirements (such as identification or traceability of the item to applicable specification and grade of material; heat, batch, lot, part or serial number; or specified inspection, test or other records) the program is designed to provide such identification and traceability control.

1.1.4 Where specified, items having limited calendar or operating life or cycles are identified and controlled to preclude use of items whose shelf life or operating life has expired.

## 2.0 CONTROL

Provisions are made for the control of item identification consistent with the planned duration and condition of storage, such as: (1) provisions for maintenance or replacement of markings and identification records due to damage during handling or aging; (2) protection of identification on items subject to excessive deterioration due to environmental exposure; (3) provisions for updating existing facility records.

## PART B - IDENTIFICATION AND CONTROL OF SAMPLES

Procedures are developed and implemented to assure that samples are identified and controlled in a manner consistent with their intended use. Such procedures define the responsibilities (including interface between organizations) for collection, identification, handling, storage, transportation and the generation of records.

### 1.0 IDENTIFICATION

Physical identification is used to the maximum extent possible. Where physical identification cannot be placed on the sample, appropriate alternative identification methods are described and used. All identification methods provide methods whereby identification of samples are traceable to the appropriate documentation such as drawings, specifications, drilling logs, test records, inspection documents, and nonconformance reports.

#### 1.1 GENERAL

Samples are identified by placing the identification directly on the sample, on their container or on records traceable thereto. If it is impractical to place the identification on the sample, methods are described and implemented to assure that samples are not mixed with like samples and that the correct identification of samples is verified and documented prior to release for use.

1.1.1 Procedures are developed and implemented to assure that sample collection methods, techniques and related equipment produce the intended sample. Sample handling methods are developed, documented and utilized to assure that all samples meet the technical objectives dictated by the scientific investigation, for which the samples are collected.

1.1.2 Storage methodology is developed and implemented to assure that samples are maintained in predetermined physical conditions commensurate with their intended purpose. Samples intended for long term storage receive appropriate treatment to assure that they do not degrade during storage. Long term is defined by the personnel responsible for the activity using the samples and depends on the sensitivity of the sample to storage conditions.

1.1.3 Transportation methods are described and effected by procedures prescribing appropriate containers, handling and any other environmental or safety considerations for the sample(s). Where multiple organizations are involved, appropriate procedures define responsibilities and documentation methods to be used.

1.1.4 Controls are developed and implemented to assure that sample identification is verified and maintained when handled, transported or transferred from one organization's responsibility to another.

1.1.5 Measures are taken to maintain sample identification while in storage. These measures are consistent with the planned duration and conditions of storage and describe actions to be taken where samples have a maximum life expectancy while in storage. Physical segregation of samples to preclude mixing with like samples is used to the maximum degree practical.

1.1.6 Where samples are controlled by more than one organization, procedures describing the organizational responsibilities are developed and implemented.

1.1.7 The DOE Project Office decides the ultimate curation of all types of samples including liquids, gases and solids. The DOE Project Office will, as a minimum, address the transportation, handling, storage, retrievability of samples and the generation and retention of records. All records generated as a result of testing of samples are handled in accordance with 033-YMP-R 17.

## PART C - IDENTIFICATION AND CONTROL OF DATA

### 1.0 IDENTIFICATION

Data generated from a LLNL-YMP scientific investigation is identified to assist in the determination of its correct use. Identification of such data is provided in all documents, information systems, or both, in which such data appear.

#### 1.1 GENERAL

The identification of LLNL-YMP data includes a reference to the origin of the data (task, test, experiment, report, publication, etc.) and an indication of the Quality Assurance <sup>Level</sup> assigned to the activity which produced the data.

1.1.1 Control measures are established and implemented to assure that LLNL-YMP data are properly identified. These measures include verification of the identification of such data prior to release for use.

1.1.2 Where data are the results of the efforts of more than one organization, procedures describing the organizational responsibilities for that data are developed and implemented. The documentation resulting from the scientific investigation involving more than one organization are annotated to show which organization produced what portion of the data.