University of California
Lawrence Livermore National Laboratory

YUCCA MOUNTAIN PROJECT

CHANGE NOTICE

CN No.: C-2-1 Effective Date: 12/5/91

Affected Document: Quality Procedure "C" Terms and Definitions

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Prepared by:

N/A
Approved by: (Technical Area Leader) Date

Approved by: (YMP QA Manager) 12/6/91 Date

Approved by: (YMP Leader) 5 Dec 91 Date

Training Required: Yes [X] No [ ] QA Staff Only Major Changes [XX] Minor Changes [ ]

Reason for Change:
Clarify when violations of QPs may be considered observations rather than adverse findings.

1. **Replace page 2 of 16 (See attached)**

   Definition of ADVERSE FINDING, second paragraph, add second sentence.

NOTE: THIS CHANGE NOTICE IS TO BE FILED AT THE FRONT OF THE AFFECTED DOCUMENT

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'UCCA MOUNTAIN PROJECT

CONTROLLED COPY No. 100 LLNL

No.: C.

Revision: 2

Effective Date: 11/1/91

Page: 1 of 16

Subject: TERMS AND DEFINITION

Training Required: Yes ☐ No ☑

Comment: Reference Material

Approved by: W. L. Ledgerwood 10/30/91 YMP Leader Date

Approved by: R. E. Shaw 10/29/91 YMP Quality Assurance Manager Date

REV 10/2 ltr

This revision reflects a number of additions or changes to definitions that are a part of current quality procedures.

Abstract: A summary record that identifies the prominent points, results, conclusions, or other matter that constitutes record contents.

Acceptance Criteria: Specified limits defined in codes, standards, or other requirement documents that are placed on characteristics of an item, process, or service.

Accession Number: A unique identifier assigned to each indexed YMP record. The accession number is composed of a three-character data element (followed by a period) for location, a two-character data element for year, a two-character data element for month, a two-character data element for day (followed by a period), and a four-character data element for a sequential identification number (e.g., NNA.880601.0025).

Account Manager: Member of the LLNL-Yucca Mountain Project with authorization to sign for expenditure on program accounts.

Activities That Affect Quality: Activities that have an impact on the validity of information or data reported to YMP participants or to agencies designated to receive Project output on functions of structures, systems, or components that are important to operator safety and that could cause undue risk to the health or safety of the public. These activities may include planning, researching, developing, demonstrating, investigating, characterizing, designing, purchasing, fabricating, handling, shipping, storing, cleaning, erecting, installing, inspecting, testing, operating, maintaining, repairing, modifying, decontaminating, decommissioning, dismantling, etc.

Activity: Any work including, but not limited to, procurements, scientific investigations, or designs that is directed toward the achievement of the objectives stated in the WBS Dictionary.

Activity Plan: A detailed description of how an activity is to be performed. This may include a sequence of events, schedules, relationships to other activities and programs, use of supplementary TIPs, expected results, etc.

Administrative Procedures (AP): A procedure that implements a set of LLNL-YMP management requirements or a set of DOE-Project Office management requirements.

Adverse Finding: **An audit or surveillance finding that establishes the existence of one or more of the following:**

1) **a significant condition adverse to quality,**
2) **a failure of a control system to achieve the intended purpose, or**
3) **a violation of an established policy, procedure, instruction, or drawing requirement.**

An adverse finding may summarize small anomalies of the same or similar type in the same or different areas. A violation of an established quality procedure that is not imposed on the activity/organization by the internal LLNL QA Grading report will not be treated as an adverse finding, but it may be treated as an observation.

Audit: A planned and documented activity performed to determine by investigation, examination, or evaluation of objective evidence the adequacy of and compliance with established procedures, codes, standards, instructions, drawings, and other applicable requirements, and the effectiveness of implementation.

Audit or Surveillance Finding: **The result of a review of objective evidence associated with an activity, task, or product, such as drawings, documents, calculations, facts, circumstances, or conditions. See adverse finding.**

Authentication: Authentication is the act of attesting that the information contained within a document is accurate, complete, and appropriate to the work accomplished. Authentication is accomplished by one of the following methods: (1) a stamped, initialed or signed and dated document; (2) a written statement by the responsible individual or organization; or (3) issuing a document that is clearly identified as a statement by the reporting individual or organization. A document cannot become a Quality Assurance (QA) record until it has been authenticated.

Authorized Examiner: A person qualified in Nondestructive Examination (ASME NQA-1, Suppl 2S-2) or at Level III of Inspection and Testing (ASME NQA-1 Appendix 2A-1). This person is delegated authority by the LLNL-YMP Quality Assurance Manager to conduct qualification examinations and to certify LLNL inspection and NDE personnel.

Auxiliary Software: (1) Software that may be easily and exactly verified, and that performs a simple function such as conversion of units, change in data format, or plotting of data in support of primary analysis software. (2) A stream of commands or sequence of streams of commands executed to utilize system maintained software in which the system maintained software generates reportable results. Auxiliary software does not generate primary data.

Barrier: Any material, structure, system, or component that prevents or substantially delays the movements of water or radionuclides.

Baseline: As used for computer software: (1) The stage of computer software at a completed and reviewed phase of the software lifecycle. (2) Approved documentation generated within or as a result of completing a phase of the software life cycle.

Central Records Facility (CRF): An entity within the Technical and Management Support Services (T&MSS) Contractor that is responsible for receiving, processing, storing, preserving, and retrieving YMP records, except for those records collected by the YMPO Mail and Records Facility (MRF). In addition, the YMP CRF is responsible for assigning a "NNA" prefix accession number to YMP Records.

Certificate of Conformance: A document signed by an authorized individual that certifies the degree to which items or services meet specified requirements.

Certification: The act of determining, verifying, and attesting in writing to the qualifications of personnel, processes, procedures, or items in accordance with specified requirements.

Characteristic: Any property or attribute of an item, process, or service, that is distinct, describable, and measurable.

Commercial Grade Item: **An item satisfying all of the following requirements:** 1) The item is not subject to design or specification requirements that are unique to Mined Geologic Disposal Systems; 2) The item is to be ordered from the manufacturer/ supplier on the basis of specifications set forth in the manufacturer's published product description, i.e., catalog; 3) The item is used in applications other than Mined Geologic Disposal Systems.

Computer Software Validation: The process of evaluating software at the end of the software development process to ensure compliance with software requirements.

Computer Software Verification: The process of determining whether or not the products of a given phase of the software development cycle fulfill the requirements established during the previous phase.

Computer Model Validation: Assurance that a model as embodied in a computer code is a correct representation of the process or system for which it is intended (NUREG-0856). Usually accomplished by comparing code results to (1) physical data, or (2) a verified or validated code designed to perform the same type of analysis (e.g., benchmarking with a validated code). Peer review may be used for computer model validation if it is the only available means for validating a model.

Condition Adverse To Quality: An all-inclusive term used in reference to any of the following: failures, malfunctions, deficiencies, defective items, and nonconformances. A significant condition adverse to quality is one which, if not corrected, could have a serious effect on safety or operability.

Configuration Management: As used for computer software: (1) A system for orderly control of software, including methods used for labeling, changing, and storing software and its associated documentation. (2) The systematic evaluation, coordination, approval or disapproval, and implementation of all approved changes in an item of software after establishment of its configuration.

Containment: The confinement of radioactive waste within a designated boundary.

Containment Period : The period during the first several hundred years following permanent closure of the geologic repository in which radiation and thermal levels are high. During this time, special emphasis is placed upon the ability to contain the wastes by waste packages within an engineered barrier system.

Contractor: An organization under contract to provide supplies, construction, or services.

Controlled Document: Document that has been designated as controlled in accordance with the QAPP or by a member of the YMP. Controlled documents include documents that assure technical adequacy, documents containing or specifying quality requirements, and documents that prescribe activities affecting quality.

Control Measure Documents: As used in this procedure those documents that identify and specify the control measure requirements for specifically identified processes and "Special Processes".

Corrective Action: **Measures taken to rectify conditions adverse to quality, and where necessary, measures to preclude repetition.**

Corroborative Data: Information that may or may not have been acquired and controlled in a manner consistent with Quality Assurance requirements and may be used to support and substantiate other existing data.

Design: The act of developing designs for construction or of analyzing the performance of repository engineered structures, systems, components, and natural barriers. Design documentation includes, but is not limited to, drawings, specifications, test plans, design reports, test reports, system design descriptions, configuration status listing, design manuals, and manuals describing computer programs used for design or performance analysis.

Design Input: Those criteria, parameters, bases, or other design requirements upon which the detailed final design is based.

Design Output: Documents, such as drawings, specifications, and others that define technical requirements of structures, systems, and components.

Design Process: Technical and administrative managerial processes that commence with the identification of design inputs and that lead to and conclude with the issuance of design output documents.

Deviation: A departure from specified requirements.

Disposition: The action taken to resolve a nonconforming condition and to restore acceptable conditions.

Document: Any written or pictorial information describing, defining, specifying, reporting, or certifying activities, requirements, procedures, or results. A document is not considered to be a Quality Assurance Record until it satisfies the definition of a Quality Assurance Record as defined in this Section.

DOE: The U.S. Department of Energy or its duly authorized representatives.

Draft Document: A document (other than a final document) that proposes or reflects a YMP position, policy, plan, or intended purpose and that is transmitted by a supervisory official of the originating organization for formal concurrence within the YMP, or formally transmitted outside the YMP for review and/or comment, or, in the case of YMP participants, provided to YMPO as a scheduled deliverable. Draft documents must be processed into the records system.

Draft Document (Preliminary): A document that is under development or preparation reflecting work in progress. The process of finalization may require iterations and revisions that may be transmitted freely within DOE (including the YMP participants) if the document is stamped "PRELIMINARY DRAFT". Preliminary drafts are excluded from capture in the records system and will not be retained beyond completion of a subsequent iteration.

Drawings: Pictorial representations of a configuration, including documented sketches, photographs or other forms.

Engineered Barrier System: 1) The waste packages and the underground facility; 2) The manmade components of a disposal system designed to prevent the release of radionuclides from the underground facility or into the geohydrologic setting. Such term includes the radioactive waste materials and any encapsulating or stabilizing matrix, radioactive waste containers, materials placed over and around such containers and any other components of the waste package.

Engineered Item: Any structure, system, or component identified in design documents as being a functional part of the completed facility.

Exempt Items and Services: **Items and services that need not comply with the YMP QA Program Requirements. Standard LLNL procurement practices apply; includes non-technical items, e.g., office supplies, standard catalog computers, and peripheral equipment.** All administrative activities are exempt **services.**

Existing Data: Data developed prior to the implementation of a 10 CFR 60, Subpart G QA program by DOE and its contractors, or data developed outside the DOE repository program, such as by oil companies, national laboratories, universities, or data published in technical or scientific publications. Existing data does not include information which is accepted by the scientific and engineering community as established facts (e.g., engineering handbooks, density tables, gravitational laws, etc.).

Experiment: An attempt at discovering a causal relationship. Successful experiments are those which establish a relationship. Success is a function of the experimentor's knowledge, experience, ingenuity and perseverance.

External Audit: An audit of those portions of another organization's QA program that is neither under the direct control nor within the organizational structure for the auditing organization.

External Organization: An organization other than LLNL and LLNL subcontractors participating in DOE-directed nuclear waste-related activities.

Final Design: Approved design output documents and approved changes thereto.

Final Report: Any LLNL-YMP report that: (1) completes a milestone or deliverable product, (2) is published as a formal UCRL or UCID, or (3) is a subcontractor report that completes the terms and conditions of a contract.

Finding: (See audit finding).

Functional Characteristics: Those attributes of a repository or its structures, systems, and components that determine its performance with respect to safety, reliability, operability, and other design criteria.

Generic QA Requirements Specification: A document containing relevant requirements from the LLNL-YMP Quality Assurance Program Plan that may be applicable to the activities of a subcontractor.

Important To Safety: As it applies to structures, systems, and components, those engineered structures, systems, and components that are essential to the prevention or mitigation of an accident that could result in a radiation dose to the whole body, or any organ, of 0.5 rem or greater at or beyond the nearest boundary of the unrestricted area at any time until the completion of permanent closure.

Important To Waste Isolation: The barriers that must meet the criteria that address long-term performance of the engineered and natural barriers to prevent the release of radionuclides from the site fo the accessible environment.

Indexing: Making a guide to facilitate reference to records by extracting information about records from the records themselves, and listing it in a convenient format.

Indoctrination: Instruction provided to personnel for familiarization with programmatic and work-oriented documents applicable to the assigned activity.

Information Copy: A document that is circulated or transmitted for information purposes only. Such documents must be stamped "Information Copy" or designated "information copy" through a buckslip. Information copies are excluded from capture in the records system.

Inspector: A person who performs inspection activities to verify whether or not an item or activity conforms to specified requirements.

Inspection: Examination or measurements to verify whether an item or activity conforms to specified requirements.

Instructions: Written direction or guidance to assist in the accomplishment of an activity. An instruction may direct the initiation of a series of procedures and/or actions. Instructions are issued for one-time use only and are specific to an activity or an individual.

Internal Audit: An audit of those portions of an organization's QA program that is retained under its direct control and within its organizational structure.

Investigator: An individual who is qualified as described in 033-YMP-QP 2.10 and who is conducting the scientific or engineering work of an activity.

Isolation: Inhibiting the transport of radioactive materials so that amounts and concentrations of this material entering the accessible environment will be kept within prescribed limits.

Item: An all-inclusive term that is used in place of any of the following: appurtenance, assembly, component, equipment, material, module, part, structure, subassembly, subsystem, system, unit, and prototype hardware. This term includes magnetic media, and other materials that retain or support data.

Lifetime Records: Quality Assurance Records that furnish evidence of the quality and completeness of data, items, and activities affecting quality. All YMP QA Records are classified as Lifetime Records.

Limited Value Material: Those classes of documentary or other material which will not be captured by the RIS and which may be disposed of without special authority, include, but are not limited to, the following:

1. Information copies of correspondence on which no documented administrative action is taken or required. Such material must be marked "Information Copy."

2. Materials documenting such fringe activities as employees welfare activities and charitable fund drives.

3. Reading file copies of correspondence.
4. Tickler, follow-up, or suspense copies of records.

5. Duplicate copies of all records maintained in the same file.

6. Extra copies of printed or processed material, official copies of which have been retained for record purposes.

7. Superseded manuals or other directives maintained outside the originating office.

8. Routing slips.

9. Working papers such as personal notes, reminders, or handwritten drafts.

10. Transmittal sheets that do not require action unless used to transmit materials for action.

11. Blank forms.

12. Initial stenographic notes after the transcription is available.

13. Processed or published material received from other activities or offices, which require no action and are not required for documentary purposes (the originating office or activity is required to maintain record copies).

14. Catalogs, trade journals, and other publications or papers that are received from Government agencies, commercial firms, or private institutions, which require no action and are not part of a case upon which action is taken.

15. Correspondence and other materials of short term value that, after action has been completed, have neither programmatic nor informational value, such as requests for publications and communications on hotel reservations.

16. Reproduction materials such as stencils and offset masters.

17. Physical exhibits, artifacts, and material lacking documentary value.

18. Telecopies (Facsimiles) of materials. If Telecopies (Facsimiles) of signed documents are sent, the original of the signed document(s) (including draft documents) must be forwarded immediately through the mail system.

19. Electronic mail.

Local Records Center (LRC): An entity within each YMP participant's organization that is responsible for collecting and receiving YMP participant records, verifying the completeness of records, protecting QA records, transmitting YMP records to the YMP CRF, and retrieving YMP records in response to internal YMP participant requests.

Major Change: Any change other than those defined as minor changes.

Material: A term that includes items plus any hardware or geologic samples either used in or resulting from research and development or site investigations on the YMP. Hardware and geologic specimens include but are not limited to test apparatus or equipment, special nuclear material, cores, geologic samples, water and gas samples, etc.

Measuring and Test Equipment: Devices or systems used to calibrate, measure, gage, test, or inspect, in order to control or to acquire data to verify conformance to a specified requirement, or to establish characteristics or values not previously known.

Minor Change: Any editorial or grammatical correction that does not change the intent of a document.

Nevada Test Site (NTS) Local Records Center (LRC): The NTS LRC is an entity within the NTS that is responsible for receiving, reviewing, protecting, and transmitting Project records from any Project participant personnel who are performing work at the NTS.

Nonconformance: A deficiency in characteristics, documentation, or procedure that renders the quality of an item to be unacceptable or indeterminate.

Nonconforming Item: An item that does not conform to specified requirements.

Nondestructive Examination (NDE): Is a specialized technological discipline that develops, qualifies and uses methods of material examination without destroying the material under examination. The American Society of Nondestructive Testing (ASNT) has promulgated a nationally recognized reference standard SNT-TC-1A June 1980 that establishes requirements for the qualification and certification of NDE personnel.

Non-Processed Materials: Materials that will not be captured by the records system including the following:

1. Pre-award information and documents (i.e., information on a procurement prior to contract award, Source Evaluation Board materials, proposal information, etc.) except as required as a QA record. This material must be clearly marked "Pre-Award."

2. Personnel records, except as required as QA records (e.g., qualification and training records).

3. Proprietary information and business sensitive (financial or commercial) information, which is so marked.

4. Information which has been classified pursuant to an Executive Order or statute, which is so marked. Hard copies of such material, when used in the conduct of YMP business, will be stored and handled in accordance with DOE 5635.1.

5. Personal correspondence, which is so marked (unless submitted for processing).

6. Informal (preliminary) drafts or working papers, facsimiles, and records circulated or transmitted for information purposes, when so marked.

7. Circulation/direct distribution mail, subscriptions, periodicals, press releases, and news clippings.

8. International draft correspondence, documents, brochures, and literature. Final reports and official documents are not excluded.

9. Travel vouchers, travel authorizations, purchase orders, training requests, personnel actions, and similar administrative material, where a record copy is retained by another organization (e.g., the personnel department).

10. Contractor-generated contract progress reports and telephone logs, except when included as part of a required records turnover package.

11. Documents prepared by another DOE organization, not DOE/HQ-OCRWM whose subject matter does not relate specifically or exclusively to the project; and submitted to the project for routine concurrence or coordination.

12. Documents dealing with procurement of office supplies and services, such as paper, desks, reproducing services.

NRC: U.S. Nuclear Regulatory Commission.

Objective Evidence: Any documented statement of fact, other information, or record, either quantitative or qualitative, that pertains to the quality of an item or activity, based on observations, measurements, or tests that can be verified.

Observation: A discovered condition which, in the opinion of the auditor, may lead to an adverse finding if uncorrected.

One-Of-A-Kind Records: Quality Assurance records that cannot be duplicated or microfilmed are considered one-of-a-kind items. Such records include, but are not limited to the following: core samples, photographic negatives, radiographic films, multi-colored maps and map overlays.

Overview: An analysis and assessment by management of the scope, status, adequacy and effectiveness of Program quality achievement and assurance activities. Overview encompasses effectiveness assessments, technical reviews, readiness reviews, audits, and surveillances, as appropriate.

Participant Internal Records: Records directly associated with the participant's contract work whose distribution remains internal to the participant, including the following:

1. Training/seminar approvals.

2. Participant concurrence copies of letters.

3. Interoffice memos related to a project (but not copies to personnel other than the individual project participant's organization) unless transmitted by official letterhead as an attachment.

4. Unpublished reports and documents, unless transmitted to the sponsor for formal review.

Participating Organization: This term applies to the following: (1) The government agencies external to the DOE, (2) national laboratories and (3) organizations participating directly in YMP activities.

Peer: A person having technical expertise in the subject matter to be reviewed (or a critical subset of the matter to be reviewed) to a degree at least equivalent to that needed for the original work.
Peer Review: A documented, critical review performed by peers who are independent of the work being reviewed. The peer's independence from the work being reviewed means that the peer (a) was not involved as a participant, supervisor, technical reviewer, or advisor in the work being performed, and (b) to the extent practical, has sufficient freedom from funding considerations to assure the work is impartially reviewed. A peer review is an in-depth critique of assumptions, calculations, extrapolations, alternate interpretations, methodology, acceptance criteria employed, or conclusions drawn in the original work.

Performance Confirmation: A program of tests, experiments, and analyses that is conducted to evaluate the accuracy and adequacy of the information used to determine with reasonable assurance that the performance objectives for the period after permanent closure will be met.

Primary Data: Information that can be shown to have been acquired and controlled in a manner consistent with all applicable Quality Assurance requirements and is necessary for the resolution of the NRC performance objectives of 10CFR60 in accordance with the YMP Issues Resolution Strategy. This includes information that has been qualified and accepted in accordance with YMP AP 5.9Q, "Acceptance of Data and Data Interpretations not Developed Under the YMP QA Program."

Principal Investigator (PI): An individual who has the technical responsibility for a particular technical task. This responsibility includes, but is not limited to, planning and cost control, the day-to-day technical direction and control of the item or activity, and the assembly of a support team to accomplish the item or activity. This term may be synonymous with task leader or project engineer depending upon the YMP Participant.

Procedural Nonconformance: Deviation from a controlled procedure, requirement, instruction, or drawing.

Procedure: An element of the Quality Procedures Manual or the Administrative Procedures Manual that specifies how a requirement is to be accomplished or an activity is to be performed.

Process: A procedure, method, or technique followed in the execution of a scientific investigation or the design or manufacture of an engineered item.

Procurement Document: Purchase requisitions, purchase orders, letters of intent, work authorization letters, drawings, contracts, specifications, instructions, or any document that provides a means by which to acquire possession or ownership of items, or right to the use of services by payment.

Procurement Package: Those documents that relate to the purchase of items or services for a given purchase requisition.

Project Microfilming Center (PMC): The PMC is an entity within the DOE Project Office that is responsible for microfilming Project records, preparing source documents, operating cameras, filming, entering microfilm locations into the Records Information System (RIS), processing microfilm, and verifying film quality.

Project Records: Project records are all records generated or received by Project participants except for those that are designated as Limited-Value or Non-Processed materials as defined above.

Purchaser: The organization responsible for the establishment of procurement requirements and for the issuance or administration, or both, of procurement documents.

Purchase Requisition: A document that authorizes the purchase or lease of materials, labor, equipment, or services.

Qualification (Personnel): The characteristics or abilities that are gained through education, training, or experience which are measured against established requirements, such as standards or tests, that qualify an individual to perform a required function.

Qualified Procedure: An approved procedure that has been demonstrated to meet the specified requirements for its intended purpose.

Quality Assurance: All those planned and systematic actions that are necessary to provide adequate confidence that the geologic repository and its subsystems or subcomponents will perform satisfactorily in service. Quality Assurance includes quality control, which comprises those quality assurance actions related to the physical characteristics of a material, structure, component, or system that provide a means by which to control the quality of the material, structure, component, or system to predetermined requirements.

Quality Elements: The major elements of the sponsor's quality assurance requirements documents (1-Organization, 2-Quality Assurance Program, ...).

QA Grading: A process that specifies the QA measures judged necessary to assure the quality of an item or an activity.

Quality Assurance Program Plan (QAPP): Quality requirements which specify what is to be done not how. The QAPP is based on requirements specified by the YMP Office.

Quality Assurance Record: An individual document or other item that has been executed, completed, and approved and that furnishes evidence of (1) the quality and completeness of data (including raw data), items, and activities affecting quality; (2) documents prepared and maintained to demonstrate implementation of Quality Assurance programs (e.g., audit, surveillance, and inspection reports); (3) procurement documents; (4) other documents such as plans, correspondence, documentation of telecons, specification, technical data, books, maps, papers, photographs, and data sheets; (5) items such as magnetic media; and (6) other materials that provide data and document quality regardless of the physical form or characteristic. A completed record is a document or item (and documentation) that will receive no more entries, whose revisions would normally consist of a reissue of the document (or documentation), and that is signed and dated by the originator and, as applicable, by approval personnel.

Quality Procedure (QP): A Quality Procedure is a procedure that implements a set of requirements contained in the QAPP. A QP is applicable to all LLNL-YMP personnel.

Readiness Review: An independent systematic documented review to determine and inform management of the readiness to advance from one phase, process, or activity into another. Readiness Reviews are used to coordinate many elements and provide attention to detail, to assure that the project is ready to proceed.
Receiving: Taking delivery of an item at a designated location.

Record: All books, documents, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the U.S. Government or in connection with the transaction of public business and preserved or judged appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of the data contained therein. Library and museum materials made or acquired and preserved solely for reference or exhibition purposes, extra copies of records preserved only for convenience of reference and stocks of publications and of processed documents are not included. A record is not considered a Quality Assurance Record until it satisfies the definition of a Quality Assurance Record as defined in this section.

Records Information System (RIS): The RIS is a computerized index, search, and retrieval system for records management on the Project.

Record Package: A collection of records supporting one topic (subject) which are filed as a case file (i.e., QA audit file, contract or procurement file, engineering drawings package). The file will be held by the originating office or individual until the transaction is completed. It will then be indexed and processed as one record.

Record Package Identifier: A Record Package identifier is an alphanumeric code used to identify record packages. The Record Package identifier is written as "___.x.x.x," where "__" is the three-digit alpha code used to identify the type of record package (i.e., QRP Quality Related Packages, ARP, Administrative Record Packages; RTP Record Turnover Packages [including non-quality related materials]; or PRP, Personal Records Packages), and "x" is the Work Breakdown Structure (WBS) number assigned to the record package. The Record Package identifier shall be entered into the records system.

Record Package Segment: A record package segment is a record or group of records that are included as part of a record package.

Record Source: Any individual or organizational entity employed by a project participant who is responsible for generating records or receiving records from an entity outside the project.

Records Turnover Package: A collection of Project records which, under the terms of a contract, interagency agreement, memorandum of understanding, or similar instrument, are submitted by a YMP participant at intervals, not to exceed annually, to the YMP CRF prior to closeout of the contract or other agreement. A records turnover package consists of all data first produced or specifically used in the performance of the contract.

Repair: The process of restoring a nonconforming characteristic to a condition such that the capability of an item to function reliably and safely is unimpaired, even though that item still does not conform to the original specification.

Requestor: The individual originating a procurement action. If the requestor is a Task Leader or above, then that same individual has responsibility for fulfilling the responsibilities assigned to the Task Leader by the procurement procedure.

Requirement: An element of the Quality Assurance Program Plan which specifies what is to be done and who is responsible. A requirement does not specify how the requirement is to be accomplished.

Rework: The process by which a nonconforming item is made by completion or correction, to conform to the original requirements, utilizing approved procedures.

Right of Access: The right of a purchaser or designated representative to enter the premises of a supplier for the purpose of inspection, surveillance, or Quality Assurance audit.

SANL: The DOE established system that enables the Laboratory to obtain goods and services from DOE Weapons Complex integrated contractors, other DOE prime contractors, Federal agencies, and the military. The **SANL Administrative Services Office** handles these requests. The acronym "SANL" ("SAN" - San Francisco Regional Office/DOE and "L" - LLNL) is LLNL's identifier within the system.

Scientific Investigation: Any research, experiment, test study, or activity that is performed for the purpose of investigating the natural barriers or the man-made aspects of the geologic repository, including the overall design of the facilities and the waste package. This will include, but will not be restricted to, all geologic, tectonic, seismologic, hydrologic, climatologic, geochemical, chemical, geophysical, physical, geomechanical, mechanical, meteorological, metallurgical, environmental, socioeconomic, and transportation studies of activities which are performed for, or in support of, the investigation, exploration, site characterization, development of design bases, licensing, construction, operation, monitoring, performance evaluation and/or closure of the geologic repository.

Scientific Investigation Plans (SIP): Documents which describe the scientific investigation performed in support of the waste package design for the YMP. Each SIP is subdivided into one or more subtasks or activities.

Scientific Notebook Custodian: The individual to whom the LRC has issued a Scientific Notebook.

Scientific Notebook Entry: Information placed in a Scientific Notebook over a period of one day or less. Entries made by each Investigator are signed and dated by that Investigator each day or more frequently. Any number of entries may be made on any given day in a single Scientific Notebook by any number of Investigators.

Scientific Notebook: A bound book having numbered pages, a table of contents, and controlled identification issued by the Local Records Center (LRC) which is used to record data, calculations, observations, and opinions that are (or might become) important in the execution of a YMP activity. Notebook may be used in lieu of a Technical Implementing Procedure.

Scientific Notebook Technical Reviewer: An Investigator who is capable of performing the described work but has not performed the work to be reviewed. If the supervisor (usually the TL) is the only competent available individual to perform the technical review, this supervisor shall not have made scientific input or specified or excluded a particular approach. The QA Manager or designee and the TAL must approved in advance and in writing, the use of a supervisor.

Service: The performance of activities that include but are not limited to site characterization, design, fabrication, investigation, inspection, nondestructive examination, repair, or installation.

Significant Condition Adverse to Quality: A condition adverse to quality which, if not corrected, could have a serious effect on safety or operability.

Special Process: A process, the results of which are highly dependent on the control of the process or the skill of the operators, or both, and in which the specified quality cannot be readily determined by inspection or test of the product.

Specially Processed Records: Records that cannot be microfilmed on 16 mm rolls of film. These records may be filmed on aperture cards (i.e., oversized maps and logs) or they may be duplicated and stored in dual storage (i.e., negatives, color photographs, magnetic media).

Supervisor: This term is used on two contexts.

> **A programmatic supervisor is responsible for a technical management function within the YMPO as a Technical Area Leader or Task Leader. This individual is often referred to in Quality Procedures as a "functional manager" or "supervisor".**
>
> **An administrative supervisor is responsible for personnel within the Lawrence Livermore National Laboratory organization. This person may also be a YMP participant and may have programmatic responsibilities in the LLNL Yucca Mountain Project QA Program.**

Supplier: Any individual or organization under contract to provide items or services to the DOE/YMP, to a Participating Organization, or to an NTS Support Contractor for YMP activities.

Surveillance: The act of monitoring or observing to verify whether or not an item or activity conforms to specified requirements.

Technical Implementing Procedures (TIP): Detailed procedures which provide instructions for repetitive technical operations.

Technical Representative: The individual assigned responsibility for technical decisions related to a procurement action. The technical representative is likely to be the requestor, but need not be. The Task Leader may serve as the Technical Representative.

Technical Review: A documented traceable review performed by qualified personnel who are independent of those who performed the work but who have technical expertise at least equivalent to those who performed the original work. Technical reviews are in-depth, critical reviews, analyses and evaluation of documents, material or data that require technical verification and/or validation for applicability, correctness, adequacy and completeness.

Test: Examination, investigation, evaluation and documentation of inherent properties, functionability, environmental reaction, variances, and reliability of any article, material or process.

Testing: An element of verification that is used to determine the capability of an item to meet specified requirements by subjecting the item to a set of physical, chemical, environmental, or operating conditions.

Traceability: The ability to trace the history, application, or location of an item and like items or activities by means of recorded identification.

Training: In-depth instruction provided to personnel to develop and demonstrate initial proficiency in the application of selected requirements, methods, and procedures, and to adopt to changes in technology, methods, or job responsibilities.

Training Matrix: A tabular presentation of categories of project personnel (Management, Technical, Administrative, and Quality Assurance) versus a listing of all Quality Procedures. This matrix is used as a guide by Supervisory and Technical Area Leaders when specifying training requirements for personnel for which they have responsibility. Appropriate sets of Quality Procedures and other forms of training are assigned for each category based on: (1) complexity of activity, (2) involvement in implementation of requirements, (3) requirement for oversight or assessment of implementation of activities, (4) frequency of implementation of procedures, and (5) need to develop proficiency.

Use-As-Is: A disposition that is permitted for a nonconforming item when it can be established that the item is satisfactory for its intended use.

Validation: The act of reviewing a QA record (authenticated record) to assure that it is legible, identifiable, reproducible, and microfilmable (when required). See also "Computer Software Validation" and "Computer Model Validation".

Verification: The act of reviewing, inspecting, testing, checking, auditing, or otherwise determining and documenting whether or not items, processes, services, or documents conform to specified requirements. See also "Computer Software Verification".

Waiver: Documented authorization to depart from specified requirements.
Yucca Mountain Site Characterization Project Office (YMPO): The organization to which the U.S. Department of Energy, Office of Civilian Radioactive Waste Management (OCRWM) has assigned the responsibility of administering and coordinating the activities of various Participating Organizations and NTS Support Contractors.

Waste Package: The waste form and any containers, shielding, packing, and other absorbent materials immediately surrounding an individual waste container.

Work Breakdown Structure (WBS) Dictionary: A product-oriented document framework for organizing and defining work to be accomplished.

Working Files: Project-related files kept or created by a project employee in the performance of his or her official duties on the project. To be designated as such, the files must be in the possession of the individual, completely segregated from, and in addition to, the official office files.

Written Practice: As used in this procedure, it is an implementing procedure manual and/or plan that prescribes the detailed qualification/certification requirements for specific disciplines of NDE and inspection activities and their Level of Proficiency in accordance with the SNT TC.1A, NQA-1, Supplement 2S-1 and other related standards.

YMP: Yucca Mountain Site Characterization Project.

YMP Participants: An all inclusive term used to describe (generically) the various organizations involved in the YMP. This term includes the YMPO, Participating Organizations, and Nevada Test Site (NTS) Support Contractors. These organizations are required to have an OCRWM approved Quality Assurance Program Plan (QAPP) for the conduct of their activities.

YMP Personnel: All U.S. Department of Energy Participating Organizations, and NTS Support Contractor personnel involved in YMP activities.

YMP Records: All records generated or received by YMP participants except for those that are designated as YMP participant internal, non-processed, or limited-value material.

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