



UNITED STATES  
NUCLEAR REGULATORY COMMISSION  
WASHINGTON, D.C. 20555

OFFICE OF THE  
SECRETARY

June 8, 1994

MEMORANDUM FOR: Arnold E. Levin, LSS Administrator  
FROM: John C. Hoyle, Chairman, LSS Advisory Review Panel  
SUBJECT: SUMMARY OF LICENSING SUPPORT SYSTEM ADVISORY REVIEW  
PANEL MEETING - APRIL 14-15, 1994

The Licensing Support System Advisory Review Panel (LSSARP) held a two-day meeting in Las Vegas, Nevada, on April 14-15, 1994. The primary purpose of the meeting was to provide the Panel members an opportunity to continue consideration of a proposal by NRC that would make DOE responsible for the development of the Licensing Support System (LSS) using InfoSTREAMS designs and technology and would make the LSSA responsible for controlling DOE's operation of the system once it was put into production. This proposal was initially discussed at the Panel's October 1993 meeting. All participating organizations serving on the Panel were represented except the Securities and Exchange Commission and the Patent and Trademark Office. The agenda for the meeting and list of attendees are attached.

Highlights of the meeting are summarized below.

1. Briefing on LSS Administrator's Planned Audit Program

Mr. Levin, LSS Administrator, meeting with the Panel for the first time since his appointment to this position, noted that he had considered carefully the comments and concerns expressed by Panel members at the prior meeting regarding the NRC proposal. In response to their concerns, his office had prepared a report to the Commission (SECY-94-081) which expanded on the mechanisms to be used by NRC to maintain its control of the LSS. His staff also developed enhanced strategies and methodologies to be used in the LSSA's audit and compliance assessment programs to clarify and strengthen the Administrator's ability to monitor and control DOE's performance and to identify and resolve problems in a timely manner.

Mr. Drapkin then provided a briefing on the details of LSSA's planned audit and compliance assessment programs.

After the briefing, the remainder of the day's session was devoted to discussion of ways to obtain economies in LSS development and operation without altering the respective roles of the NRC, the LSS Administrator, and DOE as contemplated by the existing LSS rule. The Panel concluded

the discussion by agreeing with a new proposal by NRC that consideration be given to the assignment of direct authority to the LSS Administrator for all LSS activities to be conducted under DOE's InfoSTREAMS contract by making him the Contracting Officer's Technical Representative (COTR) for those activities. If such an assignment proves to be workable under existing Government contracting regulations, the Panel believed it would be an appropriate method of implementing the provision of the LSS rule which contemplates the LSS Administrator's control over the operation of the LSS.

**Commitments:** NRC and DOE will follow up on the proposal to assign the LSSA as COTR to DOE's InfoSTREAMS contractor and provide their findings to the Panel.

2. DOE Presentation Concerning Capture of DOE Documents

Mr. Graser described the procedures established by DOE to capture and enter into the InfoSTREAMS database pertinent documents which originate in the Secretary's office and in the defense waste organization.

**Commitments:** DOE will report back on whether there are mechanisms in place for capture of graphic oriented material in the defense waste program (such as field notes) and for capture of circulated drafts of Secretarial level documents.

3. DOE Presentation on Status of InfoSTREAMS Development

Mr. Graser provided a summary briefing on the status of development and testing of the initial increments of InfoSTREAMS. At the conclusion of the briefing, Panel members discussed the desirability of establishing a mechanism for members and their technical representatives to be more closely involved in the technical details of InfoSTREAMS design and development so that the LSSARP could determine whether the LSS functionality requirements can be met by this system. The Panel approved the establishment of a Technical Subgroup for this purpose.

**Commitments:** Interested Panel members should provide the LSSARP Chairman with names of their representatives for the Technical Subgroup.

4. Header Subgroup Report

Mr. Balcom, Subgroup Chairman and representative of the State of Nevada, described the Subgroup's activities since the last Panel meeting regarding the development of

instructions for cataloging and indexing LSS documentary materials. He recommended that the new fields and descriptions contained in his April 7, 1994, letter to the LSSARP Chairman (attached) be added to the header data previously approved by the full Panel. Mr. Graser noted that DOE was already implementing the new recommendations of the LSS Header Subgroup in its InfoSTREAMS document capture program.

**Commitments:** Panel approval of the Header Subgroup's recommendation will be scheduled for the next meeting.

5. **Use of LSS on Pilot Project Basis**

Mr. Murphy, Nye County Representative, proposed that a study be made of the feasibility of developing the LSS to the point at which its functionality could be tested on a pilot project basis by storing and retrieving documents pertinent to the certification of the Multi-Purpose Canister (MPC). His proposal was initially described in his letter of March 30, 1994, to the LSSARP Chairman (attached). The Panel noted that the proposal raised several issues, including those of public access, impact on DOE schedules and funding and priority loading of LSS documents, but agreed to request consideration of the feasibility of the plan by DOE.

**Commitments:** DOE agreed to consider the feasibility, timing, potential cost, resource implications and possible adverse impacts on InfoSTREAMS of a possible pilot test of LSS utilizing documents associated with the certification of the Multi-Purpose Canister (MPC) under 10 CFR 71 and 72.

The NRC staff will also evaluate the proposal and identify the issues which need to be addressed before such a test is implemented.

6. **Future Agenda Discussion**

The Panel agreed to schedule the next LSSARP meeting in early September. It will be held in the Washington, DC area.

**Attachments:**

1. Agenda for April 14-15, 1994 Meeting
2. Attendance List
3. April 7, 1994 Letter from Mr. Kirk Balcom
4. March 30, 1994 Letter from Mr. Malachy Murphy

cc: The Chairman  
Commissioner Remick  
Commissioner Rogers  
Commissioner de Planque  
LSSARP Members  
OGC  
EDO  
NMSS  
ASLBP



ATTENDANCE LIST

LSS ADVISORY REVIEW PANEL MEETING  
APRIL 14-15, 1994

Panel Members

U.S. Nuclear Regulatory Commission

John C. Hoyle, Chairman

U.S. Department of Energy

Daniel Graser  
Corinne Macaluso

State of Nevada

Harry Swainston  
Kirk Balcom

Local Government - Site

Malachy Murphy, Nye County

Local Government - Adjacent

Dennis Bechtel, Clark County  
Brad Mettam, Inyo County  
Pete Cummings, City of Las Vegas

National Congress of American Indians

Robert Holden  
Terry Quigley

Nuclear Industry

Jay Silberg

Others

Chip Cameron, NRC  
Moe Levin, NRC  
Kenneth Kalman, NRC  
B. Paul Cotter, Jr., NRC  
David Drapkin, NRC  
Paul Bollwerk, NRC  
Seth M. Coplan, NRC  
Bob Shiideler, NRC  
Tom Barchi, NRC  
George Hallnor, TWR/INFOSTREAMS  
Camille Kerrigan, TWR/INFOSTREAMS  
Janice Tauser, TWR/INFOSTREAMS  
Preston Junkin, TWR/INFOSTREAMS  
Jim Boone, TWR/Regulatory & Licensing  
Fielden Dickerson, TWR  
David Warriner, DOE/YMSCO  
Ray Godman, DOE/M&O/TRW  
Mary Ann Jones, DOE/YMSCO  
Sally Larimore, Clark County  
Ardyce Milton, Clark County  
Tony Neville, Labat-Anderson, Inc.  
Jocelyn Smith, Labat-Anderson, Inc.  
Joe Speicher, Labat-Anderson, Inc.  
Jan Statler, SAIC/YMP  
Brad Bush, SAIC/IRG/YMP  
R.J. Hilsinger, IRG  
Stan Echols, Winston & Strawn

**Kirk Balcom**  
7617 Huron Drive  
Gainesville, Virginia 22065  
(703) 754-1399

April 7, 1994

Mr. John C. Hoyle  
Chairman  
LSS Advisory Review Panel  
U.S. Nuclear Regulatory Commission  
Mail Stop 16 H 3  
Washington, D.C. 20555

Dear Mr. Hoyle:

The reconstituted Header Working Group of the LSS Advisory Review Panel met on February 23 - 24 at the offices of TRW in Vienna, Virginia and agreed upon several changes and additions to the header fields which had been previously approved by the ARP. Several fields were added as subparts to existing fields, there are new individual fields, and new groups of fields which have multiple subparts. For the most part, these changes reflect the ongoing development of DOE's records management systems and OCRWM's InfoStreams. In attendance were representatives from DOE, NRC, the State of Nevada, TRW and Labat-Anderson. Representatives from Clark County sent their comments by mail prior to the meeting.

The accompanying table lists the old fields, the new fields and the new groups of information which DOE would like to capture and recommendations for constructing the data base structure. For the most part, we hope it is self-explanatory. Most of the additions have to do with tracking documents, their electronic images, the relationships between documents, QA status, concurrence/approval information and additional data which we refer to as "housekeeping." Two additional categories at the end of the table, "Audit Information" and "License Process Information," reflect the requirements for data used by the Compliance Assessment Program and licensing procedural documents, respectively.

NRC raised the issue of including adequate fields for auditing the entry and maintenance of documentary materials and non-documentary references into the LSS as an integral part of systems design implementation. Reference is made in the list of fields to "LSS Audit Information." It is expected that the definitions and descriptions will be the subject of future meetings in conjunction with the Compliance Assessment Program.

I have attached the original report of "Recommended Fields for LSS Header Records," dated May 18, 1990 and the subsequent appendix with two additional fields for

reference and background purposes. Most of the information is still valid. That paper was organized around four categories: 1) fields required by participants, 2) fields optional to participant, but completed by the LSSA, 3) fields optional to both the participants and the LSSA, and 4) fields not applicable to the participant, but provided by the LSSA. The premise then was that there would be capture stations at various locations with clear guidelines for the division of responsibility for data entry. Given the present uncertainty over data validation roles and the location of the LSS computer, we have organized the table of fields with a less precise distinction of exactly which organization will be responsible for which data other than the obvious. We expect this to shake out once the participants have agreed on these issues.

Please let me know if you have any questions about our recommendations and what kind of presentation you would like at the upcoming ARP meeting.

Sincerely,



cc: Harry Swainston, State of Nevada

## LSS Header Working Group Meeting February 23-24 1994

The following changes were made to the attached LSS Field Definition Summary Table as a result of the Header Working Group meeting held on February 23-24, 1994. For ease of reading, Field names are underlined and *column headings* are in italics.

### Table Changes:

- 1) The *Format Control* column was removed from table since it was the source of more confusion than clarification.
- 2) The Submitter HC Page / Image Count field was moved under the repeating group Electronic Image Reference Info.
- 3) Author and Author Organization fields: the column - *Data Submitted by Participant* was changed from 'Required' to 'Either Author or Author Organization is Mandatory'.
- 4) Receiver Name and Receiver Organization moved under Document Route/Tracking Info repeating group. Fields had been listed twice.
- 5) Document Date Flag field: the following *Comment* was added, 'Indicates an estimated date'.
- 6) Access Control Code field expanded to Access Control Info which includes:
  - Access Control Code - with *Comment* added, 'Default is PUBLIC'
  - Type of Protection - Required
  - Protection Explanation - Required
- 7) Double asterisks (\*\*) added to Title, Created Title, Abstract, and Comments fields indicating: 'Only one variable length field existed with multiple entries just being appended to previous text'.
- 8) Copyright Info field name changed to Copyright - since a repeating group of information with additional information was not required for copyrighted material. The *Controlled Authority List* entry for Copyright was changed from 'Y' to 'N'.
- 9) Document Type field: the column - *Data Supplied by LSS System or LSSA* was changed from 'N' to 'Optional'.
- 10) Publication Info: Page Range field - a *Comment* was added to reflect: 'Electronically imaged page range shall be stored'.
- 11) Descriptors field: the column - *Data Supplied by Participant* changed from 'Mandatory' to 'Optional'; the column - *Data Supplied by LSS System or LSSA* was changed from 'Required' to 'Mandatory'.
- 12) Identifiers field - the *Comment* was removed (did not apply).
- 13) Sponsoring Organization field: the column - *Data Submitted by Participant* was changed from 'Required' to 'Optional'.
- 14) Contract Number field: Deleted; Not required in LSS.
- 15) Image Reference Info field: Names changed to reflect that Image meant Electronic Image:

**Electronic Image Reference Info:**

- **Electronic Image Count** - the column - *Data Supplied by LSS System or LSSA = 'Mandatory'*.
- **Electronic Image Location ID** - the column - *Data Supplied by LSS System or LSSA = 'Mandatory'*.

- 16) **Electronic Document Route/Tracking Info** field name changed to **Document Route/Tracking Info** - since route tracking information is needed for hardcopy documents as well as electronic documents routed electronically.
- 17) **LSS Record Housekeeping Info**: list of fields updated to include fields previously recommended by Header Working Group as administrative and process tracking fields in document: Recommended Fields for LSS Header Records, 5/18/90.
- 18) **LSS Audit Info**: repeating group added per Dave Drapkin's suggestion to satisfy auditing requirements.
- 19) **LSS/InfoSTREAMS** field name: LSS/IS Accession Number was changed to Participant Accession Number.

## Proposed LSS Field Definition Summary Table

Draft - As of 3/9/94

This table presents the set of logical data entities proposed by the Header Working Group as the substantive information to be captured in the Bibliographic Header for each LSS Record. Each column presents one logical field or a set logically related fields. If a logical set of fields had more than two related fields, a repeating group was formed with a group name followed by a colon (i.e., Publication Info:). In some cases a repeating group has been identified but the contents have not yet been determined. Below is an explanation of each column:

- o **Original LSS Field Name / or New Candidate Field Name: \*** = A field which is being proposed by OCRWM as a candidate LSS field.
- o **LSS / InfoSTREAMS Field Name** = Name common to both LSS and InfoSTREAMS field
- o **Data Submitted by Participant** = This field will be submitted by the participant (Mandatory = must be provided for each unit (record); Required = must be provided if applicable; Optional = provided at discretion of participant)
- o **Provided by LSS System or LSSA** = This field will be provided by LSS. (Mandatory = must be provided for each unit (record); Required = must be provided if applicable; Optional = provided at discretion of participant)
- o **Multi-valued** = Multiple entries allowed in a field.
- o **Controlled Authority List** = List of accepted entries to be used by all participants, such as document types or specific forms of an organization name.
- o **Free Text Searchable** = The ability to perform phrase or single-word searches of the field entries.
- o **Comments/Issues** = Any additional comments or outstanding issues.

11/00  
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**Legend:**

- o Y = Yes, N = No, NA = Not Applicable, TBD = To Be Determined
- \* A field which is being proposed by OCRWM as a candidate LSS field.
- \*\* Only one variable length text field. Multiple entries just appended to previous text.

<b>Proposed LSS Field Definition Summary Table</b>							
<i>Original LSS Field Name / or New Candidate Field Name (*)</i>	<i>LSS/InfoSTREAMS Field Name</i>	<i>Data Submitted by Participant</i>	<i>Data Supplied by LSS System or LSSA</i>	<i>Multi-Value</i>	<i>Controlled Authority List</i>	<i>Free Text Search</i>	<i>Comments/Issues</i>
✓ LSS Accession Number	LSS Accession Number	N	Mandatory	N	N	NA	Generated by LSS
✓ Participant Accession Number	Participant Accession Number	Mandatory	N	Y	N	NA	
✓ Submitter Center	Submitter Center	Mandatory	N	Y	Y	NA	
✓ Title/Description	Title	Either Title or Created Title is Mandatory	N	N**	N	Y	Title and Created Title are searchable as one field
	Created Title	"	N	N**	N	Y	

Proposed LSS Field Definition Summary Table

Original LSS Field Name / or New Candidate Field Name (*)	LSS/InfoSTREAMS Field Name	Data Submitted by Participant	Data Supplied by LSS System or LSSA	Multi-Value	Controlled Authority List	Free Text Search	Comments/Issues
✓ Author	Author Name	Either Author or Author Organization is Mandatory.	N	Y	TBD N	N	Need full Name?
✓ Author Organization	Author Organization	Full. Both Mand.	N	Y	Y	Y	
✓ Document Date	Document Date	Mandatory	N	N	N	NA	Indicates an estimated date
	Document Date Flag	Required	N	N	Y	NA	
✓ Document/Report Number	Document Number	Required Mandatory	N	Y	N	NA	
✓ Document Condition	Document Condition	Required Mandatory	N	Y	Y	NA	
✓ Edition/Version	Version	Required Mand	N	Y N	N	Y	
✓ Event Date	Event Date	Required Mand	N	Y	N	NA	
✓ Event Date Code	Event Code	Required Mand	N	Y	Y	NA	

Proposed LSS Field Definition Summary Table

Original LSS Field Name / or New Candidate Field Name (*)	LSS/InfoSTREAMS Field Name	Data Submitted by Participant	Data Supplied by LSS System or LSSA	Multi-Value	Controlled Authority List	Free Text Search	Comments/Issues
* Protected Status	Access Control Info: <i>Expanded</i> Access Control Code	Mandatory	N	-	-	-	Default value is 'Public'. <i>1/15/01</i>
*	- Type of Protection	Mandatory	N	Y	Y	NA	
*	- Protection Explanation	Required	N	TBD	TBD	TBD	
*	- Protection Explanation	Required	N	TBD	TBD	TBD	
✓ Related Documents	Related Record Number	Required <i>Man d</i>	Y	Y	Y N	NA	Related Record Number(s) supplied by Participants will be converted to LSS Accession Number(s)
*	Related Record Code	Required	Y	Y	Y	NA	
✓ Special Class	Special Class	Required <i>1</i>	N	Y	Y	Y	
✓ Abstract	Abstract	Required <i>Man d</i>	N	N**	N	Y	
✓ Package ID	Package Identifier	Required <i>Man d</i>	Y	Y	N	NA	

Proposed LSS Field Definition Summary Table							
<i>Original LSS Field Name / or New Candidate Field Name (*)</i>	<i>LSS/InfoSTREAMS Field Name</i>	<i>Data Submitted by Participant</i>	<i>Data Supplied by LSS System or LSSA</i>	<i>Multi-Value</i>	<i>Controlled Authority List</i>	<i>Free Text Search</i>	<i>Comments/Issues</i>
*	Package Code	Required	Y	Y	Y	NA	
Copyright	Copyright	Required	N	N	N	NA	
Document Type	Document Type	Mandatory	Optional	Y	Y	Y	
Publication Data	Publication Info:	Optional	Required	-	-	-	Electronically imaged page range shall be stored.
	- Publication Source			N	Y	Y	
	- Publication Source Editor			Y	N	N	
	- Publisher			N	Y	N	
	- Publication Place			N	N	N	
	- Page Range			N	N	N	
	- Citation Information			N	N	TBD	
- ISBN/Library of Congress Number	N	N	TBD				
Descriptors	Descriptors	Optional	Mandatory	Y	Y	Y	Use LSS Thesaurus

<b>Proposed LSS Field Definition Summary Table</b>							
<b>Original LSS Field Name / or New Candidate Field Name (*)</b>	<b>LSS/InfoSTREAMS Field Name</b>	<b>Data Submitted by Participant</b>	<b>Data Supplied by LSS System or LSSA</b>	<b>Multi-Value</b>	<b>Controlled Authority List</b>	<b>Free Text Search</b>	<b>Comments/Issues</b>
<b>Identifiers</b>	<b>Identifiers</b>	<b>Optional</b>	<b>Optional</b>	<b>Y</b>	<b>N</b>	<b>Y</b>	
<b>Comments</b>	<b>Comments</b>	<b>Optional</b>	<b>Optional</b>	<b>N **</b>	<b>N</b>	<b>Y</b>	
<b>Sponsoring Organization</b>	<b>Sponsoring Organization</b>	<b>Optional</b>	<b>N</b>	<b>Y</b>	<b>Y</b>	<b>Y</b>	<b>Would need in IRIS too</b>
<b>*</b>	<b>Media</b>	<b>Required</b>	<b>N</b>	<b>Y</b>	<b>Y</b>	<b>NA</b>	
<b>*</b>	<b>QA Record</b>	<b>Mandatory</b>	<b>N</b>	<b>N</b>	<b>Y</b>	<b>NA</b>	
<b>*</b>	<b>Traceability Number</b>	<b>Required</b>	<b>Required</b>	<b>Y</b>	<b>N</b>	<b>N</b>	
<b>*</b>	<b>Traceability Code</b>	<b>Required</b>	<b>Required</b>	<b>Y</b>	<b>Y</b>	<b>NA</b>	

Proposed LSS Field Definition Summary Table							
<i>Original LSS Field Name / or New Candidate Field Name (*)</i>	<i>LSS/InfoSTREAMS Field Name</i>	<i>Data Submitted by Participant</i>	<i>Data Supplied by LSS System or LSSA</i>	<i>Multi-Value</i>	<i>Controlled Authority List</i>	<i>Free Text Search</i>	<i>Comments/Issues</i>
*	Electronic Image Reference Info:	Required	Required	-	-	-	Electronic image info supplied by Participant to be converted to LSS reference info.
Submitter Page Count	Submitter HC Page / Electronic Image Count (Temp field)	Mandatory	N	N	N	N	Temporary field used to validate submitter page/image count.
Number of Images	- Electronic Image Count	N	Mandatory	N	N	N	System generated.
*	- Electronic Image Location ID	N	Mandatory	TBD	N	N	System generated.
*	Searchable Text Reference Info:  (Contents TBD)	Required	Required	-	-	-	
*	Physical Unit Location Reference Info:  (Contents TBD)	Required	Required	-	-	-	

Proposed LSS Field Definition Summary Table							
<i>Original LSS Field Name / or New Candidate Field Name (*)</i>	<i>LSS/InfoSTREAMS Field Name</i>	<i>Data Submitted by Participant</i>	<i>Data Supplied by LSS System or LSSA</i>	<i>Multi-Value</i>	<i>Controlled Authority List</i>	<i>Free Text Search</i>	<i>Comments/Issues</i>
	<b>Concurrence/Approval Info:</b> - Concur/Approval Name - Concur/Approval Organization - Concur/Approval Type - Concur/Approval Status - Concur/Approval Date - Signed Name - Signed Organization - Concur/Approval Component File ID(s) - Electronic Signature Verification - Silence is Consent Flag	Required	N	-	-	-	

**Proposed LSS Field Definition Summary Table**

<i>Original LSS Field Name / or New Candidate Field Name (*)</i>	<i>LSS/InfoSTREAMS Field Name</i>	<i>Data Submitted by Participant</i>	<i>Data Supplied by LSS System or LSSA</i>	<i>Multi-Value</i>	<i>Controlled Authority List</i>	<i>Free Text Search</i>	<i>Comments/Issues</i>
*	Document Route/Tracking Info:	Required	N	-	-	-	
Addressee	- Receiver Name	Required	N	Y	TBD	N	
Addressee Organization	- Receiver Organization	Required	N	Y	Y	Y	
	- Copyee Name						
	- Copyee Organization						
	- Date Sent						
	- Special Instruction						
	- Type Route						

Proposed LSS Field Definition Summary Table							
<i>Original LSS Field Name / or New Candidate Field Name (*)</i>	<i>LSS/InfoSTREAMS Field Name</i>	<i>Data Submitted by Participant</i>	<i>Data Supplied by LSS System or LSSA</i>	<i>Multi-Value</i>	<i>Controlled Authority List</i>	<i>Free Text Search</i>	<i>Comments/Issues</i>
Administrative and Process Tracking Fields:	<b>LSS Record Housekeeping Info:</b> - Date Received at LSS - Date Available in LSS - Date/time Loaded into LSS - Date/time of Last Modification - LSS Indexer ID - Station ID - QC ID - Subject & Abstract Cataloger ID - Cataloging QC ID - Processing Stage Status - Verification ID - Change Tracking Log	N	Mandatory	-	-	-	

Proposed LSS Field Definition Summary Table							
<i>Original LSS Field Name / or New Candidate Field Name (*)</i>	<i>LSS/InfoSTREAMS Field Name</i>	<i>Data Submitted by Participant</i>	<i>Data Supplied by LSS System or LSSA</i>	<i>Multi-Value</i>	<i>Controlled Authority List</i>	<i>Free Text Search</i>	<i>Comments/Issues</i>
*	LSS Audit Info: (Contents TBD)	N	Required	-	-	-	

License Process Information - Related LSS Table							
<i>Original LSS Field Name / or New Candidate Field Name (*)</i>	<i>LSS/InfoSTREAMS Field Name</i>	<i>Data Submitted by Participant</i>	<i>Data Supplied by LSS System or LSSA</i>	<i>Multi-Value</i>	<i>Controlled Authority List</i>	<i>Free Text Search</i>	<i>Comments/Issues</i>
	(Contents TBD)						

## Proposed Detailed LSS Field List

Draft - As of 3/9/94

### Abstract

A brief narrative description of the subject content of the document or unit, or a full description of the contents of a document that cannot be imaged and converted to searchable text. The abstract is generally written by the author. This field is mandatory for documents that cannot be imaged and converted to searchable text.

### Access Control Info

A logical group of information pertaining to the access control placed on the document or unit. This field is used to indicate whether access to a document is restricted as privileged, and the type of protection to be enforced. The logical group may include the following fields:

- Access Control Code
- Type of Protection
- Protection Explanation.

### Author Name

The name of each person listed on the document or unit as responsible for all or part of its creation. Only personal authors are entered in this field. Corporations as authors are captured in the Author Organization field. This field is part of a logical group which includes:

- Author Name
- Author Organization.

Entries in the Author field are linked to the corresponding entry in the Author Organization field.

### Author Organization

The name of the organization (i.e., company, corporation or group) with which each author was affiliated at the time the document was created, or the name of the organization responsible for creating or originating the document when there is no personal author. If an author works for one organization and is representing another, then both affiliations should be captured, e.g., an attorney using a law firm's letterhead but representing a client organization. This field is part of a logical group which includes:

- Author Name
- Author Organization.

An entry in this field is linked to the Author Name field in order to provide the connection between an author and his/her affiliation. Thus a searcher seeking a document authored by J. A. Brown of Sandia will not retrieve a document authored by J. A. Brown of DOE and C. R. Smith of Sandia.

**Comments**

Any information not covered in other fields which the submitter or indexer believes would be necessary to identify or retrieve the document or unit, or to further explain any field entry for the document or unit. The field can be used for entries such as the language of the document (if it is not English) or the page numbers that are missing in an incomplete document.

**Concurrence/Approval Info**

This is a logical group of concurrence/approval information concerning all persons listed on the concurrence/approval form for the document. This information is needed for all electronic documents which are routed electronically for concurrence and/or approval. The fields within the logical group may include:

- Concurrence/Approval Name
- Concur/Approval Organization
- Concur/Approval Type
- Concur/Approval Status
- Concurrence/Approval Date
- Signed Name
- Signed Organization
- Concur/Approval Component File ID(s)
- Electronic Signature Verification
- Silence is Consent Flag
- Electronic Signature.

For hardcopy documents, this field contains the names of all persons on the concurrence/approval list.

**Copyright**

An indication of the copyright status of a document. Entries will be made in this field if a document is copyrighted; this usually applies to documents that are commercially published. Copyrighted materials require permission from and possible payment of royalties to the author or publisher in order to store, reproduce, and distribute copies.

**NOTE:** Some copyright notices restrict the entry of copyrighted material into electronic format. This issue will need to be addressed prior to capturing images and searchable text of copyrighted documents.

**Created Title**

A sentence or phrase which 1) briefly describes the contents of the untitled document or a non-document, 2) augments the existing title to improve its clarity or meaning, or 3) augments the existing title to distinguish it from other titles that may be mistaken as duplicates. Either a Title or a Created Title is mandatory for every document or unit.

**Descriptors**

Words or phrases from the LSS Thesaurus representing the subject content of the document or unit. A descriptor may or may not be a word or phrase contained in the text of the document. As many descriptors should be used as needed to describe the main concepts of the unit. The use of the descriptor obviates the need for synonyms in a search statement.

**Document Condition**

The physical condition of the document at the time of entry into the system which would preclude the ability of the capture station to accurately or completely capture all information. This includes information such as INC (pages missing), ILL (portions illegible), and MARG (marginalia).

**Document Date**

The date on which the document was issued, published or completed. If the date is unknown, information in the document will be used to determine a likely date. In this case, the Estimated Date Flag is set. This field is part of a logical group which includes:

- Document Date
- Document Date Flag.

The entry in the Document Date field is linked to the corresponding entry in the Document Date Flag field.

**Document Date Flag**

An indicator that the document date has been estimated from information contained in the document or in the accompanying documents. The Document Date field will contain the date that corresponds to the date on the record. If there is no date, other means of inferring the date will be used. In these cases, the Estimated Date Flag will be set to inform the user that the date has been estimated. This field is part of a logical group which includes:

- Document Date
- Document Date Flag.

The entry in the Document Date Flag field is linked to the corresponding entry in the Document Date field.

**Document Number**

The identifying number(s) assigned to a document that distinguishes it from other documents (e.g., DOE Order No., Public Law number, report number). Document numbers appear (typed or handwritten) on the document itself and are considered to be control numbers. The Document Number is generally assigned by the issuing agency. Examples are report numbers, or public law numbers such as SAND86-1023, PL95-16, or H101-364.

**Document Route/Tracking Info**

This is a logical group of information concerning the routing, distribution, and tracking of a

document. The fields within this logical group may include:

- Receiver Name
- Receiver Organization
- Copyee Name
- Copyee Organization
- Date Sent
- Special Instructions
- Type of Route.

#### **Document Type**

The format or physical form of the document. Examples include a book, notebook and plan.

#### **Electronic Image Reference Info**

This is a logical group of reference information concerning the electronic image of the record.

The fields in this logical group may include:

- Electronic Image Count
- Electronic Image Location ID
- Submitter HC Page/Electronic Image Count - is a temporary field used by the LSS Administrator to validate the hardcopy page count or electronic image count supplied by the Participant.

#### **Event Code**

A code that identifies the type of event occurring on the Event Date. Entries will be made in this field only when there is an entry in the Event Date field. Examples of codes include: AUDIT (Audit), INSP (Inspection), HEAR (hearing), or EFFECT (Effective or Implementation Date). This field is part of a logical group which includes:

- Event Date
- Event Code.

Each entry in the Event Code field is linked to the appropriate entry in the Event Date field.

#### **Event Date**

This field is used to capture the date of 1) The effective date of an order, procedure, or any other implementation date of the document; or, 2) the date(s) of a particular happening (such as an inspection, audit, meeting or hearing) that is the main topic(s) of the content of the document. The field will assist in assembling all documents about a particular event or all documents that must be implemented on or between specific dates. Examples of events include audits and inspections. Examples of implementation events include the effective date of an order or a regulation. This field is part of a logical group which includes:

- Event Date
- Event Code.

Each entry in the Event Date field is linked to the corresponding entry in the Event Code field.

**Identifiers**

Words or phrases which are not contained in the LSS Thesaurus but the submitter or cataloger believes represents the subject content of the unit and will assist the user in retrieval of the unit. These may be "buzz words" or words representing new concepts which have not yet been incorporated into the LSS Thesaurus. The terms in this field provide a candidate list of terms for inclusion into the LSS Thesaurus.

**LSS Accession Number**

A unique identifier assigned to each LSS unit entering the system. The capture station at which the unit enters the LSS is also identified as part of this number. The LSS Accession Number will also be used as a Related Record Number pointer for units which have relationships to other units in the LSS data base.

**LSS Audit Info**

This is a logical group which contains LSS audit information. The specific field level information has not yet been defined.

**LSS Record Housekeeping Info**

This is a logical group of information which contains data base management administrative and process tracking fields used by the LSS Administrator. These fields may include:

- Date Received at LSS
- Date Available in LSS
- Date/time Loaded into LSS
- Date/time of last Modification
- LSS Indexer ID, Station ID
- QC ID
- Subject & Abstract Cataloger ID
- Cataloging QC ID
- Processing Stage Status
- Verification ID
- Change Tracking Log.

**Media**

The physical media upon which the unit is stored. Examples of Media include PHOTO (photographs), VIDEO (video), and DISK (magnetic disk).

**Package Code**

A code that identifies the type of package which has been assigned a Package ID. Entries will be made in this field only when there is an entry in the Package ID field. Examples of Package Codes include: DRAW (drawing package), DATA (data package), or INSPEC (inspection package). This field is part of a logical group which includes:

- Package Identifier
- Package Code.

Each entry in the Package Code field will be linked to the appropriate entry in the Package Identifier field.

#### **Package Identifier**

An identifier assigned to all components of a group of documents or units that have been submitted as a single entity. This field enables a package containing many documents which may or may not have relationships among them to be reassembled quickly and easily. This field is part of a logical group which includes:

- Package Identifier
- Package Code.

Each entry in the Package Identifier field will be linked to the appropriate entry in the Package Identifier field.

#### **Participant Accession Number**

A unique identification number required by 10CFR 2/J to be assigned by the participant to each unit submitted for entry into the LSS. This number assists the submitters in locating documents they have submitted and assists the capture operation in verifying the identity of the documents received and matching it with the image and text. This field should contain a specific alpha code identifying the participant organization, e.g., DOE, NRC, NEV, and any other alphanumeric scheme which the submitting organization might use to control their own units. It may be the accession number used in their own records system. This field is part of a logical group which includes:

- Participant Accession Number
- Submitter Center.

#### **Physical Unit Location Reference Info**

This is a logical group of location information which indicates where the physical unit can be found. The specific field level information has not yet been determined.

#### **Publication Info**

The publication information is a logical group of bibliographic information that is not covered in other fields, but is important in identifying or citing the document. This group in combination with author and title fields provides the user with a standard consistent bibliographic citation for use in creating bibliographies and references for reports. This logical group may include the following fields:

- Publication Source
- Publication Source Editor
- Publisher
- Publication Place
- Page Range
- Citation Information
- ISBN/Library of Congress Number.

### **QA Record**

An indicator of whether the document or unit is a quality assurance record. Quality assurance documents are those whose contents have been determined to furnish evidence of the quality and completeness of data, items, and activities related to the safety of the repository program.

### **Related Record Code**

The code that represents the type of relationship between the document being entered and the record to which it is related. Each code in the authority list will have a reciprocal code; for example, the reciprocal of a document (A) that is attached to another document (B) is document (B) has attachments (A). Examples of Related Record Codes include: REV (revises or is a later version of), COR (corrects) or SUPR (supersedes). This field is part of a logical group which includes:

- Related Record Number
- Related Record Code.

Each entry in the Related Record Code field will be linked to the appropriate entry in the Related Record Number field.

### **Related Record Number**

This field contains the LSS Accession Number(s) of a record that has a particular relationship to the document or unit being entered. There are several types of relationships, such as: parent/child (a document and its attachments); original/subsequent (a document and a later versions, comments, corrections, or errata); and whole/part (a book and its chapters, a journal and its articles), an information package and the cataloging units it contains. The type of relationship is captured in the Related Record Code field. This field is part of a logical group which includes:

- Related Record Number
- Related Record Code.

Each entry in the related Record Number field will be linked to the appropriate entry in the Related Record Code field.

### **Searchable Text Reference Info**

This is a logical group of information required to identify and locate the searchable text file. The specific field level information has not yet been determined.

### **Special Class**

The special group or category to which a document or unit may belong. Entries in this field identify special categories of documents in order to retrieve them as a group, such as Site Characterization Plan Reference. The field is also used to indicate that a record does not contain text or does not have an image. Examples of Special Class data includes: Header only, No searchable text or image, or Translation of a document from a foreign language.

**Sponsoring Organization**

The name of the agency or agencies responsible for funding or otherwise sponsoring the work reported in the unit.

**Submitter Center**

A coded field for the name and location of the participant or its subdivision submitting material for inclusion into the LSS. This field provides a contact point for material that is rejected by the LSS Administrator. It also provides a contact point for notification that the header, image, and searchable text have been loaded into the LSS and are ready for review and verification by the first submitting agency. This field is part of a logical group which includes:

- Participant Accession Number
- Submitter Center.

Each entry in the Submitter Center field will be linked to the appropriate entry in the Participant Accession Number field.

**Title**

An identifying sentence or phrase given to the document that appears on the document, i.e., the actual title. If the actual Title is not present for a document or unit, a Created Title must be provided.

**Traceability Code**

A code that indicates the type of traceability number. Examples of this code include: ATDT (technical data link), CIDI (Configuration Identifier & Document Identifier), and WBS (Work Breakdown Structure). This field is part of a logical group which includes:

- Traceability Number
- Traceability Code.

Entries in this field will be linked to corresponding entries in the Traceability Number field.

**Traceability Number**

An identifier that has been assigned to a document in order to link it to a specific activity or to a specific record in another database. These identifiers will enable searchers to easily retrieve all records associated with any given site activity by providing a special linkage not available through other fields. They will also point to related records contained in other databases such as the technical data database. Examples of traceability numbers include WBS number, linkages to technical databases, and configuration management identifiers. This field is part of a logical group which includes:

- Traceability Number
- Traceability Code.

Entries in this field will be linked to corresponding entries in the Traceability Code field.

**Version**

The version, revision number, or status of a document that has or will have multiple iterations. It will correspond to information contained on the document, e.g., Revision 2, Version 1, Final, or Draft.

LANE  
POWELL  
SPEARS  
LUBERSKY

March 30, 1994

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Partnership  
Including  
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Corporations

Re: LSSARP Meeting April 14 - 15, 1994

Dear John:

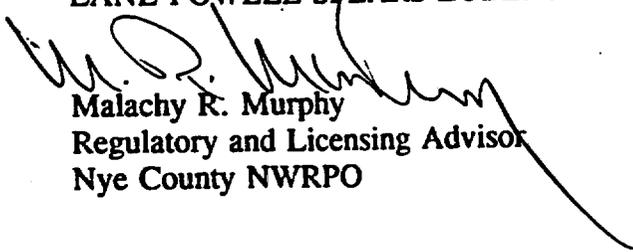
As you are probably aware, the DOE has now made a decision to develop a multi-purpose canister (MPC) and to seek certification of an MPC from the NRC under 10 CFR Part 71. It is my understanding that the DOE will be seeking certification some time in the next few years in order to be able to make MPCs available at reactor sites by 1998. MPC certification proceedings would be far less complex, contentious, and time-consuming than the ultimate licensing proceedings on the repository itself.

I suggest that we might begin at least preliminary discussions at the April 14 - 15 meeting in Las Vegas on the feasibility of developing the LSS to a point where all interested parties could use it, at least on a pilot project basis, during any MPC certification proceedings. If that is at all possible, it could be a worthwhile learning experience, and provide some extremely valuable lessons which could be applied in fully developing the LSS for use during the ultimate repository licensing process. I think we could undertake to discuss this without necessarily extending the meeting beyond a day and a half.

With best personal regards.

Yours very truly,

LANE POWELL SPEARS LUBERSKY

  
Malachy R. Murphy  
Regulatory and Licensing Advisor  
Nye County NWRPO

MRM:lm

cc: Les W. Bradshaw  
Phillip A. Niedzielski-Eichner  
Lloyd Levy  
Members LSSARP

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