



QA: N/A

*Office of Civilian Radioactive Waste Management*

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***OCRWM LICENSING SUPPORT NETWORK  
CERTIFICATION PLAN FOR DOCUMENT  
COLLECTION***

***Revision 0***

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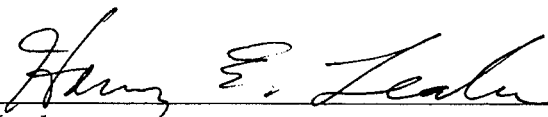
***April 2004***

*U.S. Department of Energy  
Office of Civilian Radioactive Waste Management  
Las Vegas, Nevada*

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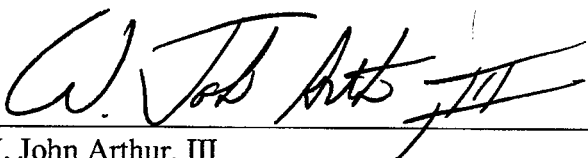


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Date

## CHANGE HISTORY

<u>Revision Number</u>	<u>Interim Change No.</u>	<u>Effective Date</u>	<u>Description of Change</u>
0	0	04/16/2004	Initial issue

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## ACRONYMS

CACI	CACI Commercial, Inc.
DOE	U.S. Department of Energy
IT	Information Technology
LA	License Application
LSN	Licensing Support Network
M&O	management and operating contractor
NRC	U.S. Nuclear Regulatory Commission
OCRWM	Office of Civilian Radioactive Waste Management
OGC	Office of General Counsel
POC	point of contact
RMS	Records Management System
SUI	sensitive unclassified information
YMP	Yucca Mountain Project



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## **1. BACKGROUND**

The U.S. Department of Energy (DOE) has announced its intention to apply for a license from the U.S. Nuclear Regulatory Commission (NRC) to construct a geologic repository for the storage of high-level radioactive waste at Yucca Mountain, Nevada. The Office of Civilian Radioactive Waste Management (OCRWM) is currently preparing a license application (LA) that will be submitted to the NRC. NRC regulations require that DOE make available in advance of submitting its LA "documentary material" as defined in 10 CFR 2.1001 for inclusion on a Licensing Support Network (LSN). Additionally, DOE must certify, in accordance with 10 CFR 2.1009(b), that it has established and implemented procedures to meet the requirements of 10 CFR 2.1003, and that the documentary material specified in 10 CFR 2.1003 has been identified and made electronically available. The DOE must provide an initial certification to this effect and an updated certification at the time the LA is submitted.

## **2. PURPOSE**

The purpose of this document is to establish the responsibilities and methodology for the collection of potentially relevant documents for potential production on the LSN. It addresses the method for documenting certifications from applicable DOE offices and other organizations, contractors, and individuals who have performed work on the Yucca Mountain Project (YMP) and have identified and submitted potentially relevant documents. For purposes of this plan, the term "document" includes written, printed, recorded, magnetic, graphic matter, or other material regardless of form or characteristic and also includes graphic material and information such as raw data, computer runs, computer programs and codes, field notes, laboratory notes, diagrams, and photographs.

## **3. CERTIFICATION REQUIREMENTS**

The LSN certification requirements are provided in the NRC regulations at 10 CFR 2.1009. The regulation contains two paragraphs, the first of which states:

- (a) Each potential party, interested governmental participant, or party shall:
  - (1) Designate an official who will be responsible for administration of its responsibility to provide electronic files of documentary material;
  - (2) Establish procedures to implement the requirements in §2.1003.
  - (3) Provide training to its staff on the procedures for implementation of the responsibility to provide electronic files of documentary material;
  - (4) Ensure that all documents carry the submitter's unique identification number;
  - (5) Cooperate with the advisory review process established by the NRC under §2.1011(d).

The second paragraph of 10 CFR 2.1009 states:

The responsible official designated under paragraph (a)(1) of this section shall certify to the Pre-License Application Presiding Officer that the procedures specified in paragraph (a)(2) of this section have been implemented, and that to the best of his or her knowledge, the documentary material specified in §2.1003 has been identified and made electronically available. The initial certification must be made at the time the participant is required to comply with §2.1003. The responsible official for the DOE shall update this certification at the time DOE submits the license application. [emphasis added]

#### **4. IDENTIFICATION AND SUBMISSION TO CACI OF POTENTIALLY RELEVANT DOCUMENTS**

The DOE has taken numerous actions to identify potentially relevant documents. Taken together, these activities constitute the DOE procedures<sup>1</sup> for identifying potentially relevant documents. The following discussion addresses the plan and its implementation for identifying and submitting potentially relevant documents to CACI-Commercial, Inc. (CACI), the LSN litigation support contractor.

##### **4.1 PROCEDURES AND TRAINING**

Procedures were developed and training was conducted covering the identification and submission to CACI of potentially relevant documents. These procedures and related training are described below.

- Establishment and implementation of an OCRWM integrated records program in July 1987. The integrated program consists of implementing procedures, records management procedures, and an electronic OCRWM Records Management System (RMS). Training was performed to ensure appropriate record material was captured and maintained in the OCRWM RMS.
- Issuance of a memorandum to appropriate DOE and contractor offices by the DOE Office of General Counsel (OGC) on August 9, 2002 (Otis 2002). This memorandum described the requirements associated with the LSN; and directed those offices to search for, preserve, segregate, and retain any potentially relevant documents.
- Issuance of a memorandum to appropriate DOE and contractor offices by the Director of OCRWM on August 12, 2002 (Chu 2002). This memorandum directed each individual within those offices to search for, segregate, and retain existing potentially relevant documents and segregate and retain all potentially relevant documents on an ongoing basis.
- Issuance of a memorandum to appropriate DOE and contractor offices by the DOE OGC on May 5, 2003 (the Call Memo) (Otis 2003). This memorandum provided guidance regarding potentially relevant documents, directed those offices to update

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<sup>1</sup> The term "procedures" is used with its common meaning in this Certification Plan and not with the specific meaning it has in the OCRWM Program.

their estimates of the volume of potentially relevant documents, prepare potentially relevant documents for processing, identify a point of contact (POC) to manage the production of potentially relevant documents, and identify a responsible manager to certify that requirements of the Call Memo were met by the respective office. Individuals in these DOE and contractor organizations were required to submit estimates of their potentially relevant documents (Appendix A). A similar form (Appendix B) was completed by individuals in the DOE OCRWM management and operating contractor (M&O) organization.

- Issuance of a memorandum to appropriate DOE and contractor offices by the Director of OCRWM on May 8, 2003 (Chu 2003). This memorandum transmitted the Call Memo and directed the organizations to circulate the Call Memo to appropriate personnel within those offices to initiate the process of searching for, estimating and segregating potentially relevant documents for screening and collection by CACI.
- Training of POCs at appropriate DOE and contractor offices to ensure that requirements regarding identifying and providing to CACI potentially relevant documents were understood by the individual responsible for providing that office's potentially relevant documents to CACI for processing. Training was provided by staff from the DOE OGC and LSN contractor personnel at numerous DOE and contractor facilities.
- Issuance of a Frequently Asked Questions document to provide additional guidance to individuals in DOE and contractor organizations about the types of potentially relevant documents. The Frequently Asked Questions document included hyperlinks to the relevant regulations and guidance documents and was provided in electronic form to POCs at the appropriate DOE and contractor organizations.
- Training of the DOE OCRWM M&O, subcontractors, and DOE's national laboratory personnel on the identification, segregation and submittal to CACI of potentially relevant documents in response to the Call Memo.
- Implementation of Concept of Operations instructions to establish approved methods for transferring potentially relevant documents from the OCRWM M&O to CACI. Concept of Operations instructions that were established include (1) Transferring E-mail Collections from DOE/OCRWM to CACI; (2) Transferring Electronic File Collections from DOE/OCRWM to CACI; (3) Boxes of Potentially Relevant Material in Custody of Bechtel SAIC Company, LLC, Las Vegas; and (4) Transferring Server-Based Databases from DOE/OCRWM to CACI.
- Issuance of an e-mail to appropriate DOE and contractor LSN POCs by CACI on December 9, 2003. This e-mail requested all organizations to ship to CACI potentially relevant documents previously estimated but not sent to CACI for calendar year 2003 and established a schedule for monthly submittals of any newly generated or discovered potentially relevant documents.

- Issuance of an e-mail to appropriate non-OCRWM DOE and contractor offices by CACI on December 9, 2003. This e-mail requested verification that a sensitive unclassified information (SUI) review was performed on potentially relevant documents submitted in response to the Call Memo and that any documents found to contain SUI were properly identified. Any documents identified were processed by CACI as privileged. The e-mail to non-OCRWM DOE and contractor offices specifically requested that reports on quantities of electronic documents include e-mails and that the availability of any back-up tapes be reported.
- Implementation of a screening process for both active and inactive YMP databases and software for identifying and submitting those that are potentially relevant.
- Implementation during February 2004 of an OCRWM Lotus Notes e-mail template and associated training for the identification of potentially relevant, potentially relevant and privileged, and SUI e-mail messages at the time of creation.
- Implementation of e-mail screening software (with associated documentation) and training for active OCRWM Lotus Notes e-mail users to review legacy e-mail messages that they created and sent in order to identify potentially relevant and, potentially relevant and privileged e-mail messages.

#### 4.2 VERIFICATION OF PROCEDURE IMPLEMENTATION

DOE certification will have a basis, in part, in certifications made by responsible managers of certain DOE and contractor offices that potentially relevant documents have been identified, segregated, and submitted to CACI for processing. The Call Memo notified the managers of appropriate DOE facilities that they would be required to certify that their organization has identified and submitted to CACI for processing all potentially relevant documents. The Call Memo states (at page 8):

**Certification.** After completing the screening process outlined in this memorandum, and coordinating transfer procedures for each collection, the responsible manager for each DOE program and contractor office must certify that he or she has identified and provided to CACI all documents potentially relevant to the NRC licensing application that are required to be processed for the LSN as defined in the NRC regulations and further specified in this memorandum. CACI will provide a form for this certification and will collect the certification at the conclusion of each office's document processing.

In order to provide meaningful and reliable certifications to the NRC, the DOE Certifying Official must have reasonable confidence in the thoroughness and accuracy of the search for potentially relevant documents. The basic procedures described in this certification plan support certification by the DOE Certifying Official pursuant to actions taken in response to the Call Memo from the OGC (Otis 2003).

The Call Memo explicitly requires that DOE offices and other organizations and contractors that have performed work on or related to the YMP identify the responsible manager who will certify that any documents potentially relevant to the LA in their possession have been identified and

provided to CACI. Furthermore, the memo states that CACI will provide a form for the certification and will collect the certifications at the conclusion of each office's document processing. Additional support for the certification by the DOE Certifying Official will be provided by certifications from individuals that material in the possession and control of the individual has been reviewed and potentially relevant documents have been submitted to CACI.

Similarly, the May 8, 2003 memo from the Director of OCRWM (Chu 2003) requires that each OCRWM organization and contractor organization identify a certifying official and provide contact information to CACI. The memo explicitly states that managers in each OCRWM and contractor organization receiving the memo are responsible for certifying that they have identified the potentially relevant documents and provided them to CACI for processing.

The process described in this Certification Plan incorporates the requirements established by the Call Memo and the May 8, 2003 memo from the Director of OCRWM and specifies implementation details important for satisfying the requirements for identification and submission to CACI of potentially relevant documents in support of key aspects of the complete hierarchy of certifications affirming (1) that procedures to implement the requirements in 10 CFR 2.1003 have been established and implemented and (2) that the documentary material specified in 10 CFR 2.1003 has been identified and made electronically available.

#### **4.3 COMPLIANCE ASSURANCE**

Compliance Assurance Reviews will be conducted to provide added assurance that the activities taken in response to the Call Memo by DOE and contractor offices to identify, segregate, and provide potentially relevant documents to CACI for processing were consistent with the requirements of the May 2003 Memorandum. These reviews will be performed consistent with a Compliance Assurance Review Plan to be developed in cooperation with the affected organizations.

The purpose of the Compliance Assurance Review of the potentially relevant document identification and submission process is to provide the DOE Certifying Official with sufficient visibility into the actions taken by the DOE and contractor organizations to provide the DOE Certifying Official with reasonable assurance that the certifications made by managers of those organizations have an adequate basis and may be relied upon for the DOE certification. This Compliance Assurance Review will be performed by individuals who are knowledgeable about the criteria used to identify potentially relevant documents and experienced in the application of those criteria. The results of this review will be documented in a report to the LSN Project Manager, and any additional actions or other activities necessary to complete the response to the Call Memo will be taken.

After initial and updated certifications, additional Compliance Assurance Reviews will be conducted to determine that CACI continues to receive newly identified or completed potentially relevant documents. Results of these reviews will be reported to the DOE Certifying Official.

### **5. SCHEDULE**

The initial certification by DOE to the Pre-License Application Presiding Officer is anticipated to occur on June 23, 2004, based on planned submission of the LA to the NRC on December 23,

2004. In the period that begins after the initial certification and continues until the submission of the LA, individuals and organizations that generate or identify additional potentially relevant documents must submit the documents to CACI on a monthly basis.

If a responsible manager has identified potentially relevant documents that are not yet ready for submission to CACI and has received prior approval from OGC, he must note in his certification that there are exceptions listed on an attachment to the certification. The excepted items are to be submitted to CACI for processing prior to the initial certification by the DOE Certifying Official.

Certification forms at this stage of the process will include a commitment that additional potentially relevant documents identified or generated will be submitted to CACI on a monthly basis for processing. The certifications from organizations identifying and submitting potentially relevant documents are to be sent to the CACI Discovery Manager by May 17, 2004. By June 11, 2004, these initial certifications are to be submitted to DOE.

By November 22, 2004, updated certifications to DOE are due from the organizations to which the Call Memo was distributed. The updated certifications from organizations identifying potentially relevant documents will state that potentially relevant documents identified as of October 11, 2004, have been submitted to CACI for processing and will include the commitment that additional potentially relevant documents generated or identified will be promptly provided to CACI for processing. Exceptions identified by responsible managers with prior OGC approval will be handled with a process similar to that for exceptions to the initial certification.

The DOE Certifying Official will update the DOE certification at the time of LA submission.

## **6. CERTIFICATIONS RESPONSIBILITIES FOR IDENTIFICATION AND SUBMISSION TO CACI OF POTENTIALLY RELEVANT DOCUMENTS**

### **6.1 CERTIFICATION PERSONNEL**

The personnel responsible for providing the supporting and final certifications for identification and submission to CACI of potentially relevant documents are the following:

1. Individuals within the organizations listed in the distribution lists for the May 3, 2003, Call Memo (Otis 2003) and the May 8, 2003, memorandum (Chu 2003) who identify, among materials in their possession and control, potentially relevant documents that are to be identified and made available to CACI for processing.
2. The responsible manager designated for each organization including OGC and those on the distribution lists provided in Appendices C through F. The Call Memo and May 8, 2003 memo from the Director of OCRWM (Otis 2003 and Chu 2003) request the designation of these responsible managers who will provide certification. In advance of submission of certifications by responsible managers a letter will be sent to each designated or apparent responsible manager. The purpose of the letters is to verify the identity of the responsible manager who will certify for each organization and to provide information on the certification process.

(In the May 8, 2003 memo from the Director of OCRWM the term “certifying official” is used instead of the term “responsible manager” in the Call Memo. In this document the term responsible managers shall include such certifying officials.)

The responsible manager for an organization may be different from the LSN POC designated in response to the May 5, 2003 Call Memo (Otis 2003) or the May 8, 2003 memorandum (Chu 2003). If an Information Technology (IT) POC for an organization is also designated and is different from the responsible manager, the IT POC may be required, at the discretion of the responsible manager, to provide a certification as described below.

3. Group Supervisors who are subordinates of a responsible manager may be asked to submit a certification to their respective responsible manager. This level of certification may be appropriate based on an organization’s size, complexity, geographic distribution, unavailability of supervised individuals (e.g., former employees, transferred employees), or other similar factors. Identification of this level of certifying personnel may not be required for all relevant organizations and will be done at the discretion of the responsible manager for the organization.

## **6.2 CERTIFICATIONS**

### **6.2.1 Individuals**

Each individual who reviews documents in his or her possession or control is responsible for certifying with his or her signature that he or she has reviewed the documents in his or her possession and control and submitted all potentially relevant documents for processing. Each such certification will also include a commitment by the individual to submit to CACI for processing any additional potentially relevant documents that may be subsequently generated and/or identified. As described below, responsible managers of some organizations may choose to provide certification on behalf of their entire organization, rather than require certifications from individuals.

Some organizations may have completed Appendix A or B to support the initial identification, segregation and processing of potentially relevant documents in response to the May 5, 2003, Call Memo from OGC. The initial and updated certification by the DOE will require individuals to complete Appendix G, except where responsible managers are certifying on behalf of their entire organization. Individuals, through the use of Appendix G, will attest to potentially relevant documents in their possession for processing as of April 15, 2004.

Records or records packages required to be submitted to the RMS will be captured and processed from the RMS rather than from individual custodians. In accordance with established OCRWM procedures, a record or records package cannot be submitted to the RMS for processing until completed. Therefore, in-process records or records packages to be submitted to the RMS when completed are not required to be submitted until complete. By signing Appendix G, the individual accepts the obligation to submit in-process records and records packages to the OCRWM RMS when they are completed.



The initial certifications by individuals are to be signed and submitted by May 10, 2004, to the responsible manager in their organization or the Group Supervisor for their sub-organization, if one is designated. Updated certifications by individuals are to be signed and submitted by October 21, 2004.

### **6.2.2 Responsible Managers**

Each responsible manager is required to submit a certification to the CACI Discovery Manager by May 17, 2004, that he or she has identified and provided to CACI that organization's potentially relevant documents that are required to be submitted to CACI for processing as specified in the Call Memo. Updated responsible manager certifications are due to the CACI Discovery Manager by October 25, 2004. If an organization has no potentially relevant documents, the responsible manager shall send a certification to the CACI Discovery Manager stating that the organization has no relevant documents. Each responsible manager certification will also include a commitment by the responsible manager to submit for processing by CACI any additional potentially relevant documents that may be generated, received, or otherwise identified. A certification is required from the responsible manager of each affected DOE or contractor organization.

Potentially relevant documents identified by a responsible manager that are not yet ready for submission to CACI at the time of the initial or updated certification by a responsible manager may be temporarily exempted from the certification. Such temporary exceptions require prior approval by OGC and are to be listed in a signed form attached to the certification from the affected responsible manager. The items will be tracked and closed before the initial or updated DOE certification date and the closure will be documented. Such items must be submitted to CACI by June 1, 2004, for the initial certification and by December 1, 2004, for the updated certification. Responsible managers who use the exception option are required to notify the CACI Discovery Manager when excepted items have been submitted for processing by CACI.

The responsible manager may also certify (or request the Group Supervisor to certify) for individuals who are unavailable or who decline to sign an individual certification. The responsible managers may choose to forego requiring certifications from individuals within their organization and instead provide certification on behalf of some of the individual employees or for the organization as a whole. The original signed certifications from responsible managers along with any other original certifications from their organizations are to be submitted to the CACI Discovery Manager by May 17, 2004 for the initial certification and October 25, 2004, for the updated certification. A copy of each responsible manager certification should be retained by him or her consistent with the records management policies within the responsible manager's organization. The format that the responsible manager certifications (both initial and updated) should adhere to is provided in Appendix H of this document. For each organization that designates a separate IT POC, the IT POC is to sign an initial certification and an updated certification using the same form, if required by the responsible manager.

### **6.2.3 Group Supervisors (Optional)**

Group Supervisors may be requested to certify to their respective responsible manager that (1) one or more individuals that they supervise possess documents that are potentially relevant and

are required to be submitted to CACI for processing, as specified in the Call Memo and (2) that the potentially relevant documents have been provided to CACI for processing. If the sub-organization managed by a Group Supervisor has no potentially relevant documents, the Group Supervisor shall send a certification to the responsible manager stating that the sub-organization has no relevant documents as directed by the responsible manager. Each Group Supervisor certification will also include a commitment by the Group Supervisor to submit additional potentially relevant documents that may be generated, received, or otherwise identified.

Group Supervisors may certify for unavailable employees of their sub-organizations or for current employees who decline to sign an individual certification. A Group Supervisor may choose to forego requiring certifications from individuals within the sub-organization and instead provide certification on behalf of the individual employees of the sub-organization as a whole. The original signed certifications from Group Supervisors are to be provided ultimately to the CACI Discovery Manager.

The Group Supervisor certifications are to be submitted to their responsible manager by May 10, 2004, for the initial certifications and by October 21, 2004, for the updated certifications. The format that these supporting certifications (both initial and updated) should adhere to is provided in Appendix G of this document.

### **6.3 RETENTION OF CERTIFICATION RECORDS**

All responsible manager certifications for identification and submission of potentially relevant documents along with any other original certifications from that organization will be submitted to the CACI Discovery Manager, and copies will be retained by the organizations.

## **7. CERTIFICATION PACKAGE COMPONENTS**

After completion of the Compliance Assurance Reviews, the reports produced by these reviews and copies of the certifications made by responsible managers will be submitted to the LSN Project Manager and the OGC. This information will be reviewed by the LSN Project Manager and the OGC for completeness. The information will be compiled as part of a Certification Package that will contain among other things copies of the responsible manager certifications, the reports from Compliance Assurance Reviews, a description of actions taken to address any deficiencies that have been identified, and the status of open items. The completed Certification Package will be submitted to the DOE Certifying Official for his review.

## **8. RECORDS**

The following records generated to implement this Certification Plan require retention in accordance with LSN Quality Assurance requirements. The originals of DOE Certifying Official certifications will be submitted to the NRC, as appropriate, but a copy of each DOE certification is to be retained in the LSN Project files. The originals of the following certifications will be submitted to the CACI Discovery Manager:

1. Initial and updated Certifications by individual document custodians;

2. Initial and updated Certifications by IT POCs to their organization's Responsible Manager;
3. Initial and updated Certifications by Group Supervisors to their Responsible Managers; and
4. Initial and updated Responsible Manager Certifications to the CACI Discovery Manager.

## **9. REFERENCES**

### **9.1 DOCUMENTS CITED**

Chu, M.S.Y. 2002. "Search for and Retention of Relevant Hard Copy and Electronic Documents for the Licensing Support Network." Memorandum from M.S.Y. Chu (OCRWM), to affected DOE and contractor offices, August 12, 2002. ACC: HQO.20030610.0014.

Chu, M.S.Y. 2003. "Attached Memorandum on the Licensing Support Network (LSN) from the Office of the General Counsel." Memorandum from M.S.Y. Chu (OCRWM), to affected DOE and contractor offices, May 8, 2003. ACC: HQO.20030610.0011.

Otis, L.L. 2002. "Search for and Retention of Relevant Hard Copy and Electronic Documents for the Licensing Support Network." Memorandum from L.L. Otis (OGC), to affected DOE and contractor offices, August 9, 2002. ACC: HQO.20030610.0013.

Otis, L.L. 2003. "Screening and Processing of Licensing Support Network Documentary Material." Memorandum from L.L. Otis (OGC), to affected DOE and contractor offices, May 5, 2003. ACC: HQO.20030610.0012.

### **9.2 CODES, STANDARDS, REGULATIONS, AND PROCEDURES**

10 CFR (Code of Federal Regulations) 2, Subpart J. Energy: Rules of Practice for Domestic Licensing Proceedings and Issuance of Orders. Readily available.

CACI. CACI Certification Hierarchy and Process for Licensing Support Network. QIP 5.09, Rev. 0.

**APPENDIX A**

**U.S. DEPARTMENT OF ENERGY LICENSING SUPPORT NETWORK  
DOCUMENT REPORTING FORM FOR INDIVIDUALS**



**APPENDIX A**

**U.S. DEPARTMENT OF ENERGY LICENSING SUPPORT NETWORK  
DOCUMENT REPORTING FORM FOR INDIVIDUALS**

*Instructions:*

1. Review all material as per the memorandum.
  2. Fill in this form.
    - a. To measure volume of hard copy material: Do not count file cabinet drawers or boxes. Open each drawer or box, push all the documents to one end and use a ruler to measure the contents in inches. For your page count estimates, please use 200 pages per inch, 2400 pages per foot.
    - b. For electronic material, indicate on this form whether you have potentially relevant material (check yes or no) and the type of material (e.g., computer files, e-mail files).
  3. Complete the form and certification and provide to your LSN POC.
- 

Name:	
Title:	
Org:	
Phone #:	
Fax#:	

*Certification:*

I, \_\_\_\_\_, certify that I have completed this form to the best of my knowledge and ability in response to the DOE OGC Memorandum dated \_\_\_\_\_. I have reviewed all material in my possession and control for potential relevancy to the NRC licensing application as defined in NRC regulations and further specified in the Memorandum.

\_\_\_\_\_  
(Signature)

<b>Location:</b>				
<b>Active Hard Copy Documents</b> (each of the four categories listed in inches)		<i>(Active documents are those you cannot release to CACI for processing)</i> <b>Note: CACI will call Point of Contact to coordinate processing of these documents.</b>		
<b>Potentially Relevant Documents:</b> _____	<b>Potentially Relevant Privileged Documents:</b> _____	<b>Potentially Relevant Classified Documents:</b> _____	<b>Potentially Relevant Circulated Draft Documents:</b> _____	
<b>Can these Active Documents be released for local copying?</b>		<input type="checkbox"/> Yes <input type="checkbox"/> No		
<b>Inactive Hard Copy Documents</b> (each of the four categories listed in inches)		<i>(Inactive Documents are those which can be shipped to CACI for processing)</i> <b>Note: documents should be boxed for shipment to CACI. (CACI will coordinate logging, labeling and method of shipment with the Point of Contact.)</b>		
<b>Potentially Relevant Documents:</b> _____	<b>Potentially Relevant Privileged Documents:</b> _____	<b>Potentially Relevant Classified Documents:</b> _____	<b>Potentially Relevant Circulated Draft Documents:</b> _____	
<b>Electronic Material</b>		<input type="checkbox"/> Yes <b>Type of media:</b> <input type="checkbox"/> No		
<b>Comments:</b>				

**APPENDIX B**

**REVISED U.S. DEPARTMENT OF ENERGY LICENSING SUPPORT NETWORK  
DOCUMENT REPORTING FORM FOR INDIVIDUALS**





## APPENDIX B

### REVISED U.S. DEPARTMENT OF ENERGY LICENSING SUPPORT NETWORK DOCUMENT REPORTING FORM FOR INDIVIDUALS

**Instructions:**

1. Review all material as per the memorandum.
2. Fill in this form.
  - a) To measure volume of hard copy material: Do not count file cabinet drawers or boxes. Open each drawer or box, push all the documents to one end and use a ruler to measure the contents in inches. For your page count estimates, please use 200 pages per inch, 2400 pages per foot.
  - b) For electronic material, indicate on this form whether you have potentially relevant material (check yes or no) and the type of material (e.g. computer files, e-mail files.)
3. Complete the form and certification and provide to your LSN POC.

---

Name:	
Title:	
Org:	
Phone #:	
Fax #:	

**Certification:**

I, \_\_\_\_\_, certify that I have completed this form to the best of my knowledge and ability in response to the DOE GC Memorandum dated May 5, 2003. I have reviewed all material in my possession and control for potential relevancy to the NRC licensing process in accordance with the guidance provided in the GC memorandum.

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

Location:				
Active Hard Copy Documents (each of the four categories listed in inches)		(Active documents are those you cannot release to CACI for processing) Note: CACI will call Point of Contact to coordinate processing of these documents.		
Potentially Relevant Documents:  Inches	Potentially Relevant Privileged Documents:  Inches	Potentially Relevant Classified Documents:  Inches	Potentially Relevant Circulated Draft Documents:  Inches	
Can these Active Documents be released for local copying?		<input type="checkbox"/> Yes <input type="checkbox"/> No		
Inactive Hard Copy Documents (each of the four categories listed in inches)		(Inactive Documents are those which can be shipped to CACI for processing) Note: documents should be boxed for shipment to CACI. (CACI will coordinate logging, labeling and method of shipment with the Point of Contact.)		
Potentially Relevant Documents:  Inches	Potentially Relevant Privileged Documents:  Inches	Potentially Relevant Classified Documents:  Inches	Potentially Relevant Circulated Draft Documents:  Inches	
Electronic Material	<input type="checkbox"/> Yes      Type of media: <input type="checkbox"/> No			
Comments:				

\_\_\_\_\_

Printed Name

\_\_\_\_\_

Signature

\_\_\_\_\_

Date

**APPENDIX C**

**DISTRIBUTION LIST FOR THE MAY 5, 2003, MEMORANDUM FROM THE DOE  
OFFICE OF GENERAL COUNSEL, "SCREENING AND PROCESSING OF  
LICENSING SUPPORT NETWORK DOCUMENTARY MATERIAL"**



## APPENDIX C

### **DISTRIBUTION LIST FOR THE MAY 5, 2003, MEMORANDUM FROM THE DOE OFFICE OF GENERAL COUNSEL, "SCREENING AND PROCESSING OF LICENSING SUPPORT NETWORK DOCUMENTARY MATERIAL"**

Office of the Secretary

Office of the Deputy Secretary

Office of the Under Secretary

Administrator of National Nuclear Security Administration

Director, Office of Civilian Radioactive Waste Management

Director, Office of Nuclear Energy, Science and Technology

Assistant Secretary for Environmental Management

Director of Management, Budget and Evaluation/Chief Financial Officer

Assistant Secretary for Environment, Safety and Health

Assistant Secretary for Congressional and Intergovernmental Affairs

Assistant Secretary for Policy and International Affairs

Director of Public Affairs

Director, Office of Science

Director, Office of Security and Emergency Operations

Director, Office of the Executive Secretariat

Administrator, Energy Information Administration

Director, National Nuclear Security Administration Service Center

Manager, Sandia Site Office

Manager, Albuquerque Site Office

Manager, Livermore Site Office

Manager, Los Alamos Site Office

Manager, Nevada Site Office

Manager, Chicago Operations Office

Manager, Idaho Operations Office

Manager, Oakland Operations Office\*

Manager, Oak Ridge Operations Office

Manager, Ohio Field Office

Manager, Richland Operations Office

Manager, Savannah River Operations Office

Manager, Office of River Protection

\*This organization was subsequently exempted from the Call Memo.

**APPENDIX D**

**DISTRIBUTION LIST FOR THE MAY 8, 2003, MEMORANDUM FROM THE  
DIRECTOR OF OCRWM, "ATTACHED MEMORANDUM ON THE LICENSING  
SUPPORT NETWORK (LSN) FROM THE OFFICE OF THE GENERAL COUNSEL"**





## APPENDIX D

### **DISTRIBUTION LIST FOR THE MAY 8, 2003, MEMORANDUM FROM THE DIRECTOR OF OCRWM, "ATTACHED MEMORANDUM ON THE LICENSING SUPPORT NETWORK (LSN) FROM THE OFFICE OF THE GENERAL COUNSEL"**

Office of the Director (RW-1)  
Office of Strategy and Program Development (RW-2E)  
Office of Repository Development (RW-2W)  
Office of Quality Assurance (RW-3)  
Bechtel SAIC Company, LLC (East and West)  
Booze Allen Hamilton (East and West)  
University and Community College System of Nevada  
RCS Corporation  
RS Information Systems  
Lechel, Inc.  
Morgan, Lewis LLC\*  
Navarro Quality Services  
Los Alamos National Laboratory  
Lawrence Berkley Laboratory  
Lawrence Livermore National Laboratory  
Sandia National Laboratory  
Argonne National Laboratory  
Pacific Northwest Laboratory  
U.S. Geologic Survey  
Atomic Energy of Canada, Ltd.

\*This organization was subsequently exempted from the memo.

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**APPENDIX E**

**25 ADDITIONAL ORGANIZATIONS THAT RECEIVED THE CALL MEMO**



## **APPENDIX E**

### **25 ADDITIONAL ORGANIZATIONS THAT RECEIVED THE CALL MEMO**

AGEISS Environmental Inc.

ALPHA Services

Bureau of Land Management (BLM)

Bureau of Reclamation (BOR)

L. Joseph Callan

Case Western Reserve University

Federal Occupation Health

Gallagher (James L.)

GIS Enterprises, Inc.

Goodman (Leonard S.)

Image Associates

International Society for Risk Analysis

Inyo County

KPMG LLP

Mine Safety & Health Administration (MSHS)

National Academy of Science (NAS)

National Association of Regulatory Utility Commissioners (NARUC)

National Conference of State Legislatures (NCSL)

Nye County

Opportunity Village

RIO Technical Services

Schmitt & Leslie, Inc.

Technology & Management Services, Inc.

Thorndal, Armstrong, Delk, Balkenbush, & Eisenger

University of Virginia

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**APPENDIX F**

**ADDITIONAL ORGANIZATIONS FROM WHOM RESPONSES TO THE CALL  
MEMO WERE RECEIVED**



## **APPENDIX F**

### **ADDITIONAL ORGANIZATIONS FROM WHOM RESPONSES TO THE CALL MEMO WERE RECEIVED**

DOE - Office of National Transportation

Oak Ridge Institute for Science and Education

University of Nevada Las Vegas

DOE - Office of Science, Brookhaven National Laboratory

DOE - Office of Science, Brookhaven Sciences Associates

University of Tennessee - Battelle, LLC

Bechtel Jacobs Company

DOE - West Valley

West Valley Nuclear Services Company (WVNSCO)

DOE -Business and Information Management

DOE - Carlsbad Field Office

L&M Technologies

Bechtel - BWXT Idaho, Inc. (BBWI)

DOE - Office of Independent Oversight and Performance Assurance (OA)

DOE - Energy Efficiency and Renewable Energy

DOE - Oak Ridge Operations, National Nuclear Security Administration (NNSA), Y-12 Site Office

DOE -NNSA Office of Materials and Conversion (NA - 262)

DOE - NNSA, Naval Reactors Office

DOE - NNSA, Nevada Operations Office

DOE - NNSA, Office of General Counsel

DOE - NNSA, Kansas City Site Office

DOE - NNSA, Pantex Site Office

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**APPENDIX G**

**U.S. DEPARTMENT OF ENERGY LICENSING SUPPORT NETWORK  
CERTIFICATION FORM FOR IDENTIFICATION AND SUBMITTAL TO CACI OF  
POTENTIALLY RELEVANT DOCUMENTS BY INDIVIDUALS AND GROUP  
SUPERVISORS**



**APPENDIX G**

**U.S. DEPARTMENT OF ENERGY LICENSING SUPPORT NETWORK  
CERTIFICATION FORM FOR IDENTIFICATION AND SUBMITTAL TO CACI OF  
POTENTIALLY RELEVANT DOCUMENTS BY INDIVIDUALS AND GROUP  
SUPERVISORS**

Pursuant to direction from the Office of the General Counsel (OGC) of the U. S. Department of Energy or the Director of the Office of Civilian Radioactive Waste Management, \_\_\_\_\_ (insert person or organization name) \_\_\_\_\_ has conducted a review of the documents under (my, its) possession and control. The purpose of the review was to identify documents in (my, our) possession and control that are potentially relevant to the licensing of a high-level waste repository at Yucca Mountain Nevada. The review was conducted under the direction of the May 5, 2003 memorandum from the DOE Office of the General Counsel, "Screening and Processing of Licensing Support Network Documentary Material," and other guidance that was provided by the OGC. Based on the review, I hereby certify that,

- (check one)  to the best of my knowledge, the potentially relevant documents in (my, our) possession and control that were identified by the certification date checked below have been submitted for processing.
- I (or we) did not have any potentially relevant documents in (my, our) possession and control, as of the date checked below.

Additional potentially relevant documents that (I, we) may generate, complete, receive, or otherwise identify will also be submitted on a monthly basis for processing.

**CERTIFICATION DATE (Check One)**

\_\_\_\_\_  
*SIGNATURE*

April 15, 2004  
(Initial Certification)

\_\_\_\_\_  
*PRINTED NAME*

October 11, 2004  
(Updated Certification)

\_\_\_\_\_  
*TITLE*

\_\_\_\_\_  
*DATE*

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**APPENDIX H**

**U.S. DEPARTMENT OF ENERGY LICENSING SUPPORT NETWORK  
CERTIFICATION FORM FOR IDENTIFICATION AND SUBMITTAL TO CACI OF  
POTENTIALLY RELEVANT DOCUMENTS BY RESPONSIBLE MANAGERS**





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