



QA: N/A

*Office of Civilian Radioactive Waste Management*

---

***OFFICE OF CIVILIAN RADIOACTIVE WASTE  
MANAGEMENT LICENSING SUPPORT NETWORK  
CERTIFICATION PLAN FOR DOCUMENT PROCESSING***

***Revision 0***

---

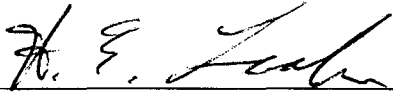
***May 2004***

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

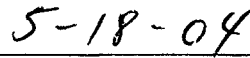
---



Preparation:

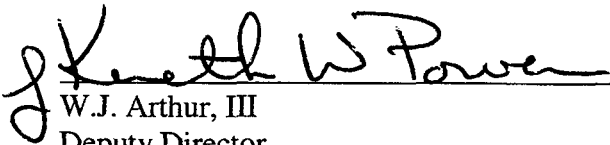


H.E. Leake  
Licensing Support Network Project Manager  
Office of Repository Development

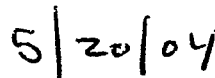


Date

Approval:



W.J. Arthur, III  
Deputy Director  
Office of Repository Development



Date



## CHANGE HISTORY

<u>Revision Number</u>	<u>Interim Change No.</u>	<u>Effective Date</u>	<u>Description of Change</u>
0	0	05/20/2004	Initial issue

INTENTIONALLY LEFT BLANK

# CONTENTS

	Page
ACRONYMS .....	ix
1. BACKGROUND .....	1
2. PURPOSE.....	1
3. CERTIFICATION REQUIREMENTS .....	1
4. PROCESSING OF POTENTIALLY RELEVANT DOCUMENTS AND LOADING DOCUMENTARY MATERIAL ON THE DOE LSN SERVER .....	2
4.1 PROCEDURES AND TRAINING.....	2
4.2 VERIFICATION OF PROCEDURE IMPLEMENTATION .....	4
4.3 COMPLIANCE ASSURANCE.....	5
5. SCHEDULE.....	5
6. CERTIFICATION RESPONSIBILITIES FOR THE PROCESSING OF POTENTIALLY RELEVANT DOCUMENTS AND LOADING IDENTIFIED DOCUMENTARY MATERIAL ONTO THE LSN SERVER .....	6
6.1 CERTIFICATION PERSONNEL .....	6
6.2 CERTIFICATIONS .....	7
6.2.1 Certification Coordinators .....	7
6.2.2 CACI LSN Deputy Directors.....	8
6.2.3 Information Science Research Institute .....	8
6.2.4 CACI MEGA2 Civil Division Director .....	8
6.3 RETENTION OF CERTIFICATION RECORDS .....	9
7. CERTIFICATION PACKAGE COMPONENTS .....	9
8. U.S. DEPARTMENT OF ENERGY CERTIFYING OFFICIAL .....	10
9. RECORDS .....	10
10. REFERENCES .....	11
10.1 DOCUMENTS CITED.....	11
10.2 CODES, STANDARDS, REGULATIONS, AND PROCEDURES.....	11

**CONTENTS (Continued)**

	<b>Page</b>
APPENDIX A – U.S. DEPARTMENT OF ENERGY LICENSING SUPPORT NETWORK CERTIFICATION FORM, CACI.....	A-1
APPENDIX B – U.S. DEPARTMENT OF ENERGY LICENSING SUPPORT NETWORK CERTIFICATION FORM, CACI CERTIFYING OFFICIAL.....	B-1
APPENDIX C – U.S. DEPARTMENT OF ENERGY LICENSING SUPPORT NETWORK CERTIFICATION FORM, INFORMATION SCIENCE RESEARCH INSTITUTE.....	C-1



## ACRONYMS

ADC	Authorized Derivative Classifier
CACI	CACI Commercial, Inc.
DOE	U.S. Department of Energy
HSC	Homeland Security Classification
ISRI	Information Science Research Institute
LA	License Application
LSN	Licensing Support Network
NRC	U.S. Nuclear Regulatory Commission
OCR	Optical Character Recognition
OCRWM	Office of Civilian Radioactive Waste Management
OGC	Office of the General Counsel
RTM	Requirements Traceability Matrix
SUI	Sensitive Unclassified Information

INTENTIONALLY LEFT BLANK

## **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 filed.

## **2. PURPOSE**

The purpose of this document is to establish the responsibilities and methodology for certification of the processing of potentially relevant documents and making identified documentary material available on the DOE LSN server. For purposes of this plan, the term "document" includes written, printed, recorded, magnetic, graphic matter, or other material regardless of form or characteristics and also includes graphic material and information such as raw data, computer runs, computer programs and codes, field notes, laboratory notes, diagrams, and photographs. Certification that appropriate procedures have been established and implemented will be required from the LSN litigation support contractor, CACI Commercial, Inc. (CACI), and other affected parties that are important for substantiating to the NRC that the requirements of 10 CFR 2.1003 have been met.

## **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.

#### **4. PROCESSING OF POTENTIALLY RELEVANT DOCUMENTS AND LOADING DOCUMENTARY MATERIAL ON THE DOE LSN SERVER**

The DOE has taken numerous actions to identify potentially relevant documents and submit them for processing. From these potentially relevant documents, identified documentary material as defined in 10 CFR 2.1003 is being loaded on the DOE LSN server. Taken together, these activities constitute the DOE procedures<sup>1</sup> for collecting and processing potentially relevant documents and making documentary material electronically available. The following discussion addresses the procedures that have been established and implemented for processing potentially relevant documents and loading documentary material identified from these documents (“identified documentary material”) on the DOE LSN.

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

Procedures (including software) and plans were established to implement the requirements in 10 CFR 2.1003, and appropriate training was provided to promote compliance with the requirements for making electronic files of documents available and adequately documented to support certification. These procedures and related training are described below.

- Utilizing an experienced litigation contractor with existing and proven procedures and processes with trained personnel to process potentially relevant documents (e.g., scan, code, and optical character recognition [OCR], as appropriate).
- Implementation of Manicure software (with associated documentation) developed by the Information Science Research Institute (ISRI) at the University of Nevada, Las Vegas to provide that text files meet OCR text accuracy targets defined in the NRC *LSN Guidelines*.
- Implementation of a documented manual sampling process to provide assurance that the OCR text accuracy targets in the NRC *LSN Guidelines* are satisfied.
- Implementation of Homeland Security Classification (HSC) software (with associated documentation) developed by ISRI to identify if OCRWM documents potentially contain sensitive unclassified information (SUI).

---

<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.

- Implementation of an HSC manual review procedure and associated training for potentially relevant documents selected by HSC software to identify the documents that require subsequent Authorized Derivative Classifier (ADC) review.
- Implementation of an SUI review by an ADC in accordance with draft CG-OCRWM-1, *Joint DOE and NRC Sensitive Unclassified Information and Classification Guide for the Office of Civilian Radioactive Waste Management Program*. ADCs have been trained in accordance with DOE M 475.1-1a, *Identifying Classified Information*.
- Implementation of Privacy Act Classifier and other appropriate software (and associated documentation) developed by ISRI to identify potential privacy information contained in potentially relevant documents.
- Implementation of a privacy and privilege manual review procedure and associated training to screen documents selected by Privacy Act Classifier, other software, or data mining to determine if the selected documents are privileged or otherwise access-restricted.
- Implementation of a process for preserving privilege designations made by the records custodians for potentially relevant documents submitted to CACI for processing and any subsequent privilege designations identified through the software and/or manual review screenings by CACI in conjunction with outside DOE legal counsel. All potentially relevant documents flagged as containing potentially privileged information are uniquely identified and coded in a manner to minimize the risk of releasing privileged information.
- Development and maintenance of an LSN Requirements Traceability Matrix (RTM). This LSN RTM represents the consolidation of technical, programmatic and administrative requirements applicable to the LSN from 10 CFR Part 2, Subpart J (LSN Rule); NRC's *LSN Guidelines* (revised May 2003), and *LSN Baseline Design Requirements Document*, Release 1.0, draft June 5, 2002. Additionally, requirements have been extracted from the Statement of Work for the LSN Automated Litigation Support Services Contractor and incorporated into the RTM. For each requirement in the RTM that requires a DOE action, a DOE or LSN contractor employee has been assigned lead responsibility that the LSN meets that requirement. Completion and maintenance of this matrix will provide added assurance that the DOE LSN satisfies the applicable requirements.
- Development of approved procedures to incorporate identified documentary material into the LSN in a manner that satisfies applicable electronic access requirements and other requirements of 10 CFR Part 2, Subpart J.
- Development and implementation of a CACI LSN Project quality assurance plan to provide assurance that CACI's LSN processing procedures are adequate for achieving compliance with NRC requirements that apply to the LSN and that these procedures are properly implemented.

- Training LSN contractor personnel to the guidance provided in the memorandum to affected DOE and contractor offices by the DOE General Counsel on May 5, 2003 (the Call Memo) (Otis 2003) and utilization of these criteria to screen specific sets of unreviewed documents (e.g., legacy paper maintained by the management and operating contractor in long-term records storage, select sets of legacy electronic files) produced by DOE and contractor organizations to identify and segregate clearly non-relevant documents. This effort was conducted to reduce the non-relevant documents processed by CACI.
- Development and implementation of an Information Security Plan to provide assurance that electronic access to the LSN is not compromised by network vulnerabilities.
- Implementation of the quality assurance oversight of the processing of potentially relevant documents conducted by CACI.

## **4.2 VERIFICATION OF PROCEDURE IMPLEMENTATION**

DOE certification will have a basis, in part, in certifications made by CACI that the potentially relevant documents produced by affected DOE and contractor offices have been processed as appropriate and that identified documentary material as defined in 10 CFR 2.1003 has been made available on the DOE LSN and that the DOE LSN server satisfies applicable regulatory requirements. This CACI certification will address the hardware and software used for the OCRWM LSN and the seven principal document categories that underwent processing. These document categories are:

- Record Information System/Records Management System
- Legacy paper collection (i.e., primarily paper documents not subject to review for relevance, privacy, homeland security, etc. prior to submission to CACI)
- Other paper documents submitted to CACI in response to the Call Memo
- Files on electronic media (including relevant files on individuals' hard drives and central servers but excluding databases)
- E-mail collections
- Electronic databases
- Software.

In order to provide meaningful and reliable certifications to the NRC, the DOE Certifying Official must have confidence in the processing of potentially relevant documents submitted to CACI and that identified documentary material that has been provided on the DOE LSN server. The basic procedures described in this certification plan support certification by the DOE Certifying Official.

### **4.3 COMPLIANCE ASSURANCE**

Compliance assurance reviews will be performed to verify that the processing of each principal category of documents and the loading of the identified documentary material into the LSN was consistent with the regulatory requirements. These reviews will be performed consistent with a Compliance Assurance Plan for Document Processing to be developed in cooperation with the affected organizations.

The purpose of the compliance assurance reviews of the processing of the documents and their loading into the LSN is to provide additional assurance that the documents produced to CACI in response to the Call Memo (Otis 2003) are processed and that identified documentary material is loaded into the LSN in a manner that satisfies the applicable regulatory requirements. The CACI certification will be supported by certifications from the managers responsible for the processing of each of the seven document categories, for the loading of identified documentary material onto the DOE LSN, and for the hardware and software used in developing and hosting the DOE LSN. Additional support for this certification will be provided through closeout or satisfaction of the relevant items in the RTM and the compliance assurance reviews.

After initial and updated certifications, additional compliance assurance reviews will be conducted to provide additional assurance that the DOE LSN continues to be updated with newly identified documentary material. Results of these reviews will be reported to the DOE Certifying Official.

## **5. SCHEDULE**

The initial certification by DOE to the NRC is anticipated to occur June 23, 2004, based on planned submission of the repository LA to the NRC December 23, 2004. After the initial certification, individuals and organizations that generate or identify additional potentially relevant documents must submit the documents to CACI for processing on a monthly basis.

The initial certifications by the DOE Responsible Managers will affirm that records have been searched and that potentially relevant documents identified as of April 15, 2004, have been submitted for processing. If a responsible manager has identified documents that are not yet ready for submission and has received prior approval from the DOE Office of the General Counsel (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 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 for processing. By June 11, 2004, initial certifications to DOE are due from CACI and from the organizations to which the Call Memo (Otis 2003) was distributed. (The certifications from organizations identifying and submitting potentially relevant documents are to be sent to the CACI Discovery Manager by May 17, 2004, and will be subsequently forwarded to the DOE Certifying Official.) The certifications from CACI will state that the potentially relevant documents identified as of April 15 and submitted to CACI have been processed and that identified documentary material has been incorporated onto the DOE LSN server and will include the commitment that additional

potentially relevant documents generated or identified and provided to CACI will be processed and that any documentary material identified from these potentially relevant documents will be incorporated onto the DOE LSN server.

By November 22, 2004, updated certifications to DOE are due from CACI and from the organizations to which the Call Memo (Otis 2003) 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 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 certification from CACI will state that the potentially relevant documents identified as of October 11, 2004, and submitted to CACI have been processed and will include the commitment that additional potentially relevant documents generated or identified and provided to CACI will be processed. The certification from CACI also will state that identified documentary material has been incorporated onto the DOE LSN server.

The DOE Certifying Official will update the DOE certification at the time of LA submission, which also serves as the cut-off date for documents to which the updated certification applies. The updated certifications do not apply to potentially relevant documents identified or generated after that, but such material is to be submitted to CACI for processing as long as required by NRC regulations.

## **6. CERTIFICATION RESPONSIBILITIES FOR THE PROCESSING OF POTENTIALLY RELEVANT DOCUMENTS AND LOADING IDENTIFIED DOCUMENTARY MATERIAL ONTO THE LSN SERVER**

### **6.1 CERTIFICATION PERSONNEL**

The CACI certification procedure is described in detail in QIP 5.09, *CACI Certification Hierarchy and Process for Licensing Support Network*. The personnel responsible for providing the supporting and final certifications for processing of potentially relevant documents and loading documentary material on the DOE LSN server in compliance with 10 CFR 2.1009(b) are the following:

1. Certification Coordinators who are subordinates of a CACI LSN Deputy Director will be designated for each category of potentially relevant documents and for the software and hardware used for developing and loading the LSN.
2. An appropriate responsible manager for the ISRI at the University of Nevada at Las Vegas.
3. The CACI LSN Deputy Directors who will consolidate certifications from the CACI Certification Coordinators and provide certifications to the CACI Certifying Official.
4. The CACI Certifying Official – The CACI MEGA2 Civil Division Director will serve as the CACI Certifying Official who will submit certifications to the DOE Certifying Official.



## **6.2 CERTIFICATIONS**

### **6.2.1 Certification Coordinators**

For each category of potentially relevant documents and for software and hardware used for processing potentially relevant documents and loading the identified documentary material onto the DOE LSN, the cognizant CACI Deputy Director will designate a Certification Coordinator who will be responsible for validating the processes and providing an overall certification of the validity of identification and processing for each category and for software/hardware. The Certification Coordinator designated for each potentially relevant document category is expected to be a senior line manager responsible for processing the category. The Certification Coordinator will prepare a narrative description of the processes and information to accompany the certifications. These are required certifications. The supporting documentation will be collected and provided as background to the DOE Certifying Official to substantiate the CACI certification.

The certification by each Certification Coordinator will affirm that the significant processes applied to their potentially relevant document category yielded the expected product so that the documentary material identified could be made electronically available as required by 10 CFR 2.1003. Each Certification Coordinator is responsible for submitting a signed certification to the cognizant CACI Deputy Director certifying that the subject processes were performed in a manner consistent with the requirements of 10 CFR Part 2, Subpart J. The certification must also include a commitment by the Certification Coordinator for continued performance of the processes in a manner consistent with the requirements of 10 CFR Part 2, Subpart J for potentially relevant documents identified and submitted to CACI for processing. The categories for which certification coordinators are to be designated are:

- Record Information System/Records Management System
- Legacy paper collection (i.e., primarily paper documents not previously subjected to review for relevance, privacy, homeland security, etc.)
- Other paper documents
- Files on electronic media (including relevant files on individuals' hard drives and central servers, but excluding databases)
- Email collections
- Electronic databases
- Software
- Hardware and software used for processing and loading the LSN.

The Certification Coordinator documentation is to be submitted to the CACI Deputy Directors by June 9, 2004, for the initial certification and by November 18, 2004, for the updated certification. The format for these supporting certifications is provided in Appendix A of this

document. That form will be modified for the Certification Coordinators who address hardware and software for processing and loading the LSN to certify that the hardware and software yielded a product consistent with the requirements of 10 CFR Part 2, Subpart J. (A hardware and software certification coordinator may be identified for the CACI LSN facilities in both Las Vegas and the Washington, D.C. area.)

### **6.2.2 CACI LSN Deputy Directors**

The CACI LSN Deputy Directors will consolidate the certifications from the Certification Coordinators for the potentially relevant document categories. Each certification will also include a commitment to process any additional potentially relevant documents that may be generated, received, or otherwise identified and submitted to CACI for processing. The CACI LSN Deputy Directors will provide certification to the CACI Certifying Official. These are required certifications and are due on June 10, 2004, for the initial certification and November 19, 2004, for the updated certifications.

The formats that the CACI LSN Deputy Director certifications (both initial and updated) should follow are provided in Appendix A of this document. The Deputy Director who receives the certifications for hardware and software used for processing and loading the LSN will submit Appendix A with the added certification that the hardware and software yielded a product consistent with the requirements of 10 CFR Part 2, Subpart J. The CACI LSN Deputy Directors should retain copies of the certifications provided to the CACI Certifying Official.

### **6.2.3 Information Science Research Institute**

The ISRI has prepared software to screen potentially relevant documents for restricted access to protect SUI and to screen potentially relevant documents for restricted access to protect privacy-related information. The ISRI responsible manager is required to certify to the CACI software/hardware Certification Coordinator for the Washington, D.C. area CACI LSN facilities that ISRI has properly designed the software and that proper implementation of the software will, to the best of his or her knowledge and based on current requirements, appropriately identify such materials. These are required certifications.

The ISRI responsible manager is to submit a signed certification using Appendix C of this document to the CACI software/hardware Certification Coordinator by May 28, 2004. Appendix C is also to be used for the ISRI updated certification, which will address any modifications to the software that have been made since the initial certification, and is to be submitted by November 8, 2004.

### **6.2.4 CACI MEGA2 Civil Division Director**

The CACI MEGA2 Civil Division Director is responsible for certifying to the DOE Certifying Official, for both initial and updated certification, that:

1. CACI has implemented procedures during the development of the DOE LSN to satisfy the requirements of 10 CFR 2.1003.

2. Potentially relevant documents submitted for processing to CACI have been converted to files for the Automated Document Image Indexing System.
3. Identified documentary material is being loaded on the DOE LSN server.

The CACI Certifying Official will attest to the validity of the CACI processing of the documents. The certification shall also include a commitment by CACI to process any additional potentially relevant documents that may be generated, received, or otherwise identified by DOE and its contractors, and submitted to CACI. A signed certification is to be submitted by the CACI MEGA2 Civil Division Director to the DOE Certifying Official on June 11, 2004, for the initial certification, and on November 22, 2004, for the updated certifications. These are required certifications. The format for the certifications is provided in Appendix B of this document.

For initial and updated certifications, the CACI Certifying Official is responsible for notifying the DOE Certifying Official in writing when loading of identified documentary material on the DOE LSN server has been completed. Also for initial certification, after receiving authorization from the DOE Certifying Official, CACI will make documentary material on the DOE LSN server available to the public and provide written acknowledgement to the DOE Certifying Official.

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

All original certifications for processing potentially relevant documents will be retained by CACI except the certifications from the CACI Certifying Official to the DOE Certifying Official.

## **7. CERTIFICATION PACKAGE COMPONENTS**

After completion of the compliance assurance reviews, the reports produced by these reviews and copies of the certifications made by CACI will be submitted to the LSN Project Manager and the OGC. This information will be reviewed by the LSN Project Manager and OGC to assure completeness. The information will be compiled as part of a Certification Package that will contain, among other things, copies of the CACI 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. This Certification Package will be submitted on June 11, 2004 to the DOE Certifying Official for his review.

## **8. U.S. DEPARTMENT OF ENERGY CERTIFYING OFFICIAL**

The DOE Certifying Official is responsible for signing an initial certification and submitting it to the NRC Pre-Licensing Application Presiding Officer prior to filing the LA and for submitting an updated certification at the time the LA is submitted. The DOE initial and updated certifications will address the requirements in 10 CFR 2.1009(b), that procedures have been established and implemented to satisfy 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.

Upon notification from the CACI Certifying Official that documentary material identified by DOE as required for initial certification has been loaded on the DOE LSN server, the DOE Certifying Official will submit initial certification to the NRC Pre-Licensing Application Presiding Officer, scheduled to be completed by June 23, 2004.

Prior to submittal of the initial certification, the DOE Certifying Official will notify the CACI Certifying Official to make publicly available the identified documentary material on the DOE LSN server. The CACI Certifying Official will provide written acknowledgement of this release to the DOE Certifying Official.

Upon notification from the CACI Certifying Official that documentary material identified by DOE as required for updated certification has been loaded on the DOE LSN server, the DOE Certifying Official will submit the updated certification to the NRC Pre-Licensing Application Presiding Officer, scheduled to be completed by December 23, 2004.

## **9. RECORDS**

The following records generated to implement this Certification Plan require retention in accordance with LSN Quality Assurance requirements. The originals of the certifications from the CACI Certifying Official will be submitted to DOE and the originals of DOE Certifying Official certifications will be submitted to the NRC, but a copy of each CACI and DOE certification is to be retained in the LSN Project files. The original certifications for processing potentially relevant documents will be retained by the CACI Certifying Official.

1. Initial and updated ISRI Certifications to the CACI Software/Hardware Certification Coordinator.
2. Initial and updated Certification Coordinator Certifications to CACI LSN Deputy Directors.
3. Initial and updated Certifications by CACI LSN Deputy Directors to the CACI Certifying Official.
4. Copies of initial and updated CACI Certifications to DOE.
5. Copies of the initial and updated DOE Certifications to the NRC.

## 10. REFERENCES

### 10.1 DOCUMENTS CITED

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.20030610.0014.

Otis, L.L. 2002. “*Screening and Processing of Licensing Support Network Documentary Material.*” Memorandum from L.L. Otis (OGC) to affected DOE and subcontractor offices, May 5, 2003. ACC: HQO.20030610.0012.

### 10.2 CODES, STANDARDS, REGULATIONS, AND PROCEDURES

10 CFR (Code of Federal Regulations) 2, Subpart J. U.S. Nuclear Regulatory Commission (NRC): Rules of Practice for Domestic Licensing Proceedings and Issuance of Orders. Readily available.

DOE M 475.1-1a. *Identifying Classified Information.* Readily available.

Joint DOE and NRC Sensitive Unclassified Information and Classification Guide for the Office of Civilian Radioactive Waste Management Program (draft), CG-OCRWM-1.

*Licensing Support Network Guidelines.* U.S. Nuclear Regulatory Commission. May 2003. Readily available.

*LSN Baseline Design Requirements Document.* U.S. Nuclear Regulatory Commission. Release 1.0 (draft), June, 2002.

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

INTENTIONALLY LEFT BLANK

**APPENDIX A**

**U.S. DEPARTMENT OF ENERGY LICENSING SUPPORT NETWORK  
CERTIFICATION FORM, CACI**





**APPENDIX A**

**U.S. DEPARTMENT OF ENERGY LICENSING SUPPORT NETWORK  
CERTIFICATION FORM, CACI**

Pursuant to U. S. Department of Justice MEGA2 ALS Prime Contract # 02-C-0437, CACI-Commercial, Inc. (CACI) has provided support to the U. S. Department of Energy (DOE) in its efforts to comply with the requirements of 10 CFR 2, Subpart J, *Procedures Applicable to Proceedings for the Issuance of Licenses for the Receipt of High-Level Radioactive Waste at a Geologic Repository*. In particular, CACI has provided support in collecting and processing potentially relevant documents and loading identified documentary material onto the DOE Licensing Support Network (LSN) server. CACI has received documents that were identified by cognizant DOE and contractor offices as potentially relevant to the licensing of the high-level waste repository at Yucca Mountain, Nevada. CACI has received these documents in various forms and has processed them to render them consistent with requirements for incorporation into the LSN. I hereby certify, for the \_\_\_\_\_ (insert document category or categories) that, to the best of my knowledge, (1) the process for identification of the cited category/categories of potentially relevant documents was adequate and appropriate, (2) documents in this category have been processed, as appropriate, to satisfy the LSN requirements as demonstrated by information available to me, and (3) documentary material is being identified for loading onto the LSN server. Any additional relevant documents in the cited category/categories that may be generated, completed, received, or otherwise identified and submitted to CACI for processing will be so processed and any documentary material identified will be loaded onto the DOE LSN server.

**CERTIFICATION DATE (Check One)**

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

April 15, 2004  
(Initial Certification)

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

October 11, 2004  
(Updated Certification)

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

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

INTENTIONALLY LEFT BLANK

**APPENDIX B**

**U.S. DEPARTMENT OF ENERGY LICENSING SUPPORT NETWORK  
CERTIFICATION FORM, CACI CERTIFYING OFFICIAL**



**APPENDIX B**

**U.S. DEPARTMENT OF ENERGY LICENSING SUPPORT NETWORK  
CERTIFICATION FORM, CACI CERTIFYING OFFICIAL**

Pursuant to U. S. Department of Justice MEGA2 ALS Prime Contract # 02-C-0437, CACI-Commercial, Inc. (CACI) has provided support to the U. S. Department of Energy (DOE) in its efforts to comply with the requirements of 10 CFR 2, Subpart J, *Procedures Applicable to Proceedings for the Issuance of Licenses for the Receipt of High-Level Radioactive Waste at a Geologic Repository*. In particular, CACI has provided support in collecting and processing potentially relevant documents and loading identified documentary material onto the DOE Licensing Support Network (LSN) server. CACI has received documents that were identified by cognizant DOE and contractor offices as potentially relevant to the licensing of the high-level waste repository at Yucca Mountain, Nevada. CACI has received these documents in various forms and has processed them, as appropriate, to render them consistent with requirements for incorporation into the LSN. CACI has established an LSN Quality Assurance Organization which has provided additional assurance of the accuracy and thoroughness of the CACI work on the LSN Project. I hereby certify that, to the best of my knowledge, the hardware and software used for processing the potentially relevant documents and loading the DOE LSN server were appropriate as demonstrated by information available to me and yielded a product consistent with the requirements of 10 CFR 2, Subpart J. I also hereby certify, for the documents submitted to CACI for processing that, to the best of my knowledge, (1) the process for identification of potentially relevant documents was adequate and appropriate, (2) the specified documents submitted to CACI have been processed, as appropriate, to satisfy the LSN requirements as demonstrated by information available to me, and (3) documentary material is being identified and loaded onto the DOE LSN server. Any additional potentially relevant documents that are submitted to CACI for processing will be processed, as appropriate, and any documentary material identified will be loaded onto the DOE LSN server.

**CERTIFICATION DATE (Check One)**

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

April 15, 2004  
(Initial Certification)

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

October 11, 2004  
(Updated Certification)

CACI Certifying Official  
*TITLE*

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

INTENTIONALLY LEFT BLANK

**APPENDIX C**

**U.S. DEPARTMENT OF ENERGY LICENSING SUPPORT NETWORK  
CERTIFICATION FORM, INFORMATION SCIENCE RESEARCH INSTITUTE**





## APPENDIX C

### U.S. DEPARTMENT OF ENERGY LICENSING SUPPORT NETWORK CERTIFICATION FORM, INFORMATION SCIENCE RESEARCH INSTITUTE

Pursuant to direction from the Office of Civilian Radioactive Waste Management, the Information Science Research Institute (ISRI) at the University of Nevada at Las Vegas, for which I am the responsible manager under whom activities relevant to the Yucca Mountain Project were performed, has prepared software to screen e-mail to identify e-mail that clearly is not relevant to the licensing of a high-level radioactive waste repository at Yucca Mountain, Nevada. ISRI has also prepared software to screen documents for restricted access to protect homeland security information and to protect privacy-related information. The versions of the software provided for the cited uses are listed in the attached configuration management log. I hereby certify that, to the best of my knowledge, and based on current requirements, the versions of the software ISRI developed and provided for use in automatically identifying e-mail messages that can be excluded from the Licensing Support Network (LSN) will not exclude potentially relevant documents if the software is properly implemented. I also hereby certify that, to the best of my knowledge, the versions of the software ISRI developed and provided for use in screening documents for restricted access to protect homeland security information and privacy-related information appropriately identify such documents if the software is properly implemented.

#### CERTIFICATION DATE (Check One)

Initial Certification

Updated Certification

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

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

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

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

INTENTIONALLY LEFT BLANK