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Washington, DC 20555-0001
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RESPONSE TO FREEDOM OF INFORMATION ACT (FOIA) REQUEST

2017-0367

1

RESPONSE
TYPE

☐

INTERIM

☒

FINAL

REQUESTER:

DATE:

03/01/2017

DESCRIPTION OF REQUESTED RECORDS:

Copy of NUREG/BR-0070, entitled "Guide to Types of NRC Formal Documents and Their Uses"

PART I. -- INFORMATION RELEASED

- ☐ Agency records subject to the request are already available in public ADAMS or on microfiche in the NRC Public Document Room.
- ☒ Agency records subject to the request are enclosed.
- ☐ Records subject to the request that contain information originated by or of interest to another Federal agency have been referred to that agency (see comments section) for a disclosure determination and direct response to you.
- ☐ We are continuing to process your request.
- ☐ See Comments.

PART I.A -- FEES

AMOUNT*

\$

0.00

*See Comments for details

☐

You will be billed by NRC for the amount listed.

☒

None. Minimum fee threshold not met.

☐

You will receive a refund for the amount listed.

☐

Fees waived.

PART I.B -- INFORMATION NOT LOCATED OR WITHHELD FROM DISCLOSURE

- ☐ We did not locate any agency records responsive to your request. *Note:* Agencies may treat three discrete categories of law enforcement and national security records as not subject to the FOIA ("exclusions"). 5 U.S.C. 552(c). This is a standard notification given to all requesters; it should not be taken to mean that any excluded records do, or do not, exist.
- ☐ We have withheld certain information pursuant to the FOIA exemptions described, and for the reasons stated, in Part II.
- ☐ Because this is an interim response to your request, you may not appeal at this time. We will notify you of your right to appeal any of the responses we have issued in response to your request when we issue our final determination.
- ☐ You may appeal this final determination within 30 calendar days of the date of this response by sending a letter or email to the FOIA Officer, at U.S. Nuclear Regulatory Commission, Washington, D.C. 20555-0001, or FOIA.Resource@nrc.gov. Please be sure to include on your letter or email that it is a "FOIA Appeal."

PART I.C COMMENTS (Use attached Comments continuation page if required)

In conformance with the FOIA Improvement Act of 2016, the NRC is informing you that you have the right to seek assistance from the NRC's FOIA Public Liaison.

SIGNATURE - FREEDOM OF INFORMATION ACT OFFICER

Stephanie Blaney

**United States
Nuclear Regulatory Commission**



Guide to Types of NRC Formal Documents and Their Uses

May 1984

**Division of Technical Information
and Document Control
Office of Administration**

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GUIDE TO TYPES OF NRC FORMAL DOCUMENTS AND THEIR USES

Introduction

This guide is designed to serve two purposes: (1) to provide information for NRC employees to use in determining what documents to prepare to accomplish their licensing, regulatory, administrative, or management goals, and (2) to provide information for the public to use in determining which types of NRC documents to request to obtain the information they seek. This guidance is for all employees, but it will be particularly useful to new or reassigned employees, and to those who must review and approve the work of others in determining whether the appropriate type of document is being used to record and disseminate information.

Requirements for retention of the types of documents described here have been established and are set forth in NUREG-0910, "NRC Comprehensive Records Disposition Schedule." Most of the documents referenced in this guide for further information are available from the Division of Technical Information and Document Control (TIDC) or are available for inspection and copying for a fee in the NRC Public Document Room. If not, the availability is indicated.

For each type of formal document, the following information is provided if it is applicable:

Purpose - a description of the type of information provided in the document, and the intended use, with historical precedence cited where pertinent.

Criteria for Use - the principles used for determining when to use the particular type of document described.

Sources - the NRC or contractor organization that normally originates the type of document described.

Concurrences Required - the NRC organizational entities that must be considered in the approval chain for the document. Information is included to provide for Office of Management and Budget (OMB) clearance prior to dissemination, if required.

Distribution Method - the normal means for disseminating the information, along with exceptions.

Availability - the minimum requirement for availability of the document to staff and the public.

References - sources of other pertinent information on the type of document described.

ACRONYMS AND ABBREVIATIONS USED IN THIS GUIDE

ACRS	Advisory Committee on Reactor Safeguards
AEOD	Office for Analysis and Evaluation of Operational Data (NRC)
CFR	<u>Code of Federal Regulations</u> (e.g., 10 CFR 2.202, where 10 refers to Title 10, 2 refers to Part 2, and 202 refers to Section 202)
CRGR	Committee for Review of Generic Requirements (NRC)
DES	Draft Environmental Statement (a licensing document)
DOE	Department of Energy, U.S.
EDO	Executive Director for Operations (NRC), or Office of
ELD	Office of Executive Legal Director (NRC)
EPRI	Electric Power Research Institute
ES	Final Environmental Statement (a licensing document)
FOIA	Freedom on Information Act
GPO	Government Printing Office
GRA	Government Research Abstracts published by the National Technical Information Service
GRI	Government Research Index published by the National Technical Information Service
IE	Office of Inspection and Enforcement (NRC)
INPO	Institute for Nuclear Power Operations
NMSS	Office of Nuclear Material Safety and Safeguards (NRC)
NRC	Nuclear Regulatory Commission, U.S.
NRCI	Nuclear Regulatory Commission Issuance
NRR	Office of Nuclear Reactor Regulation (NRC)
NSAC	Nuclear Safety Analysis Center (EPRI)
NTIS	National Technical Information Service
NUREG	A formal NRC staff publication
NUREG/BR	An NRC Brochure
NUREG/CP	Conference proceedings published by NRC
NUREG/CR	Formal contractor and grantee reports
OGC	Office of the General Counsel (NRC)
OMB	Office of Management and Budget, U.S.
RES	Office of Nuclear Reactor Research (NRC)
RIL	Research Information Letter
RM	Office of Resource Management (NRC)
SALP	Systematic Assessment of Licensee Performance
SECY	Office of the Secretary (NRC)
SER	Safety Evaluation Report (a licensing document)
SRP	Standard Review Plan (a licensing document)
TIDC	Division of Technical Information and Document Control in the Office of Administration (NRC)

COMMISSION PAPERS (SECY PAPERS)

Purpose: Commission papers, also referred to as SECY papers because the Secretary of the Commission numbers them, and controls their issuance, are used for three purposes: (1) to respond to questions raised by the Commission, the Chairman, and/or the Commissioners individually, (2) to propose rulemaking or respond to petitions for rulemaking, and (3) to bring a matter to the attention of the Commission for information or action.

Commission papers may be of the following types:

1. Commission Meeting Papers, which present major policy issues for discussion and decision by the Commission, usually at a scheduled meeting.
2. Affirmation Papers, which present minor policy issues and usually concern rules and regulations.
3. Notation Vote Papers, which concern matters that do not require a Commission decision at a meeting, but which do require Commissioner concurrence and/or comment.
4. Negative Consent Papers, which concern matters that Commissioners would like brought to their attention before action is taken but which do not require the formality of a Commission vote.
5. Information Papers, which provide the Commission with information on significant matters. Commission action is not normally requested or required.

Criteria for Use: Commission papers are prepared when it is necessary or desirable to inform the Chairman and the Commissioners or to request a decision by them.

Sources: Commission papers may be prepared by NRC staff reporting to the Executive Director for Operations (EDO). Those papers are signed by the EDO. Commission papers may be prepared also by Commission staff. Those papers are signed by the appropriate Commission official.

Concurrences Required: The normal Office concurrences are required before the paper is presented for signature. This includes concurrences of the Office Director and the Directors of other Offices and Regional Administrators affected. If appropriate, the Office of the Executive Legal Director (ELD) or the Office of the General Counsel (OGC) is consulted.

Distribution Method: Distribution is made by the Office of the Secretary and the EDO.

Availability Required: Publicly available SECY Papers can be found in the NRC Public Document Room.

References: Format and details of content and procedures are presented in the "EDO Procedures Manual," NUREG/BR-0016. See also NRC Chapter 0240, "Correspondence Management," and NUREG/BR-0053, "NRC Regulations Handbook."

ENFORCEMENT DOCUMENTS

Purpose: The enforcement documents are means of directing or requiring specific licensee or applicant actions and for applying the sanctions needed to enforce NRC policy (10 CFR 2, App. C). The basic enforcement documents are notices of violation and orders of various types. These are defined below:

A Notice of Violation is a written notice setting forth one or more violations of a legally binding requirement. The notice normally requires the licensee to provide a written statement describing (1) corrective steps which have been taken by the licensee and the results achieved, (2) corrective steps which will be taken to prevent recurrence, and (3) the date full compliance will be achieved. If the Notice of Violation includes a proposed imposition of a civil penalty, the licensee will be required also to (4) admit or deny the violation and (5) state the reason for the violation. A civil penalty is a monetary penalty that may be imposed for violation of (1) certain specified licensing provisions of the Atomic Energy Act or supplementary NRC rules or orders, (2) any requirement for which a license may be revoked, or (3) reporting requirements under Section 206 of the Energy Reorganization Act.

An Order is a written NRC directive to modify, suspend, or revoke a license; to cease and desist from a given practice or activity; or to take such other action as may be proper (see 10 CFR 2.202 and 2.204). The following types of orders are issued:

1. License Modification Orders are issued when some change in licensee equipment, procedures, or management controls is necessary.
2. Suspension Orders may be used (a) to remove a threat to the public health and safety, common defense and security, or the environment; (b) to stop facility construction; (c) when the licensee has not responded adequately to other enforcement action; (d) when the licensee interferes with the conduct of an inspection or investigation.
3. Revocation Orders may be used (a) when a licensee is unable or unwilling to comply with NRC requirements, (b) when a licensee refuses to correct a violation, (c) when a licensee does not respond to a notice of violation where a response was required, (d) when a licensee refuses to pay a fee required by 10 CFR 170, or (e) for any other reason for which revocation is authorized under Section 186 of the Atomic Energy Act.
4. Cease and Desist Orders are used to stop an unauthorized activity that has continued after notification by NRC that such activity is unauthorized.

Documents Relative to Enforcement Mechanisms, such as the following, are also used by NRC:

1. Minutes of Enforcement Conferences held by NRC with licensee management to discuss safety, safeguards or environmental problems, licensee's compliance with regulatory requirements, a licensee's proposed corrective

measures (including schedules for implementation) and enforcement options available to NRC.

2. Bulletins and Information Notices, which are written notifications to groups of licensees identifying specific problems and recommending specific actions (see IE Bulletins and IE Information Notices).
3. Notices of Deviation, which are written notices describing a licensee's or a vendor's failure to satisfy a commitment, when the commitment involved is not a legally binding requirement. The notice of deviation requests the licensee or vendor to provide a written explanation or statement describing corrective steps taken (or planned), the results achieved, and the date when corrective action will be completed.
4. Confirmatory Action Letters, which are letters confirming a licensee's agreement to take certain actions to remove significant concerns about health and safety, safeguards, or the environment.

Criteria for Use: The purpose statements provided above contain the criteria for use of these enforcement documents.

Source: Enforcement documents are prepared by NRC staff.

Concurrences: Explicit instructions regarding approvals and concurrence signatures are provided in the Inspection and Enforcement Manual and in 10 CFR 2.

Distribution Method: Distribution is made by the office of the signator.

Availability: The documents and all related correspondence are submitted to the NRC Public Document Room and the appropriate Local Public Document Room(s) through the Document Control System.

References: (1) Inspection and Enforcement Manual. (2) Title 10, Code of Federal Regulations, Part 2, Appendix C, and other cited Parts.

GENERIC LETTERS

Purpose: Generic letters are prepared primarily to inform applicants and licensees of regulatory requirements related to licensing matters and schedules for compliance. These letters are used also to clarify NRC policy, to request information, and to transmit information.

Criteria for Use: Generic letters are used when the information being requested or disseminated is pertinent to all applicants and licensees or selected groups of them.

Sources: Generic letters are prepared by staff of the Office of Nuclear Reactor Regulation (NRR) and the Office of Nuclear Material Safety and Safeguards (NMSS).

Concurrences Required: The normal Division and Office concurrences are required. Depending on the content of the letter, review by the Committee for Review of Generic Requirements (CRGR) may be necessary. In addition, TIDC review and OMB clearance may have to be obtained if the reporting and record-keeping requirements are not covered by an OMB generic clearance.

Distribution Method: Distribution is made on standard distribution lists by TIDC.

Availability: The letters and all attachments are submitted to the NRC Public Document Room and the Local Public Document Rooms through the Document Control System.

References: NRR and NMSS procedures and directives.

IE BULLETINS

Purpose: An Office of Inspection and Enforcement (IE) Bulletin is used to transmit information to and to request action and/or a written response from licensees and permit holders regarding matters of health and safety, safeguards, or environmental significance. Bulletins may be used also to obtain specific actions on a one-time basis; i.e., special inspections, surveys, or checks to determine whether certain events and/or conditions may have generic applicability. IE Bulletins are not intended to substitute for new or revised license conditions or requirements.

Criteria for Use: A bulletin may be issued when timely action is necessary by licensees or permit holders, or timely information is needed by NRC for assessment of a particular situation.

Sources: Recommendations for IE Bulletins originate primarily within IE staff, but they may come from staff of NRR, NMSS or Regional Offices.

Concurrences Required: All affected NRC organizations are contacted for approval or information. A preapproved OMB clearance number must be referenced. Specific clearance numbers have been granted for data collection associated with each part of 10 CFR, and a separate clearance number has been granted for emergency actions. Review and approval of the CRGR is required.

Distribution Method: Distribution to licensees or permit holders and other groups, including NRC staff, is made on established mailing lists by TIDC.

Availability Required: The documents and all related correspondence are submitted to the NRC Public Document Room and the Local Public Document Rooms through the Document Control System.

References: IE Inspection and Enforcement Manual.

IE INFORMATION NOTICES

Purpose: An Information Notice is issued to licensees or permit holders to give preliminary information on an event or condition (essentially unevaluated by NRC) that NRC believes may be relevant to health and safety, safeguards, or protection of the environment. Information notices may be issued also to inform licensees and permit holders promptly of changes in NRC procedures and the implementation of new rules and regulations. Replies are not required.

Criteria for Use: An Information Notice may be issued when, based on the information available at the time, the event or condition does not meet the criteria for issuance of a Bulletin, but licensees or permit holders should be notified promptly.

Sources: Recommendations for IE Information Notices originate primarily within IE staff, but they may come from staff of NRR, NMSS or Regional Offices.

Concurrences Required: Formal approval or concurrence is required by the Director, Division of Emergency Preparedness and Engineering Response (IE) for all Information Notices and by the Director, Division of Quality Assurance, Safeguards, and Inspection Programs (IE) for Information Notices sent to licensed nonreactor facilities. Review and approval of the CRCR is required.

Distribution Method: Distribution to licensees or permit holders and other groups, including NRC staff, is made on established mailing lists by TIDC.

Availability Required: The documents and related correspondence are submitted to the NRC Public Document Room and the Local Public Document Rooms through the Document Control System.

References: IE Inspection and Enforcement Manual.

INSPECTION REPORTS

Purpose: Inspection reports document inspection activities and findings. Inspections are conducted to evaluate compliance with specific requirements and commitments, Regulatory Guides, staff positions and interpretations, and consensus standards. Inspection findings are the basis for enforcement actions. The inspection report may also present observations of the strengths and weaknesses of an applicant or licensee. (See also Systematic Assessment of Licensee Performance (SALP) Reports).

Criteria for Use: An inspection report is a necessary component of an inspection. It must be part of the record of any inspection.

Sources: Inspection reports are prepared by the assigned inspector or inspection team.

Concurrence Required: Approvals vary with the type of inspection.

Distribution Method: Inspection reports are transmitted to the applicant or licensee by letter. Copies are distributed to Regional management by the responsible inspector or team leader. Inspection reports are made publicly available unless they contain security or proprietary information.

Availability Required: The reports and related correspondence and documents are submitted to the NRC Public Document Room and the appropriate Local Public Document Rooms(s) through the Document Control System.

References: IE Inspection and Enforcement Manual.

LICENSING DOCUMENTS FOR REACTORS

Purpose: Reactor licensing documents are (1) analysis and evaluation reports that develop the background for decisions on issuing licenses and (2) the actual licenses. The documents normally prepared for power plant and research reactor licensing are:

Safety Evaluation Report and Supplements (published in the NUREG series)

Draft Environmental Statement (published in the NUREG series)

Final Environmental Statement (published in the NUREG series)

Plant Technical Specifications (may be issued as part of License package or published in the NUREG series)

Construction Permit

Operating License and Environmental Protection Plan

License Amendments

Operator's License

Safety evaluation reports give details of NRC staff review of design, construction, and operating features of the facility. The draft and final environmental statements are required by the National Environmental Policy Act (NEPA) of 1969. These statements report NRC examination of the affected environment, environmental consequences and mitigating actions, and environmental and economic benefits and costs. The plant technical specifications are part of the licensing packages and are the operating requirements.

Criteria for Use: These documents are required for the issuance and maintenance of licenses.

Source: Office of Nuclear Reactor Regulation (NRR).

Concurrences Required: The approvals required vary with the type of document. See NRR procedures.

Distribution Method: Distribution is made on standard distribution lists by TIDC, except for licenses and their attachments, which are distributed by NRR Branches.

Availability Required: The documents and all related correspondence are submitted to the NRC Public Document Room and the appropriate Local Public Document Rooms through the Document Control System.

References: Title 10, Code of Federal Regulations. NRR procedures.

LICENSING DOCUMENTS FOR NUCLEAR MATERIALS AND FACILITIES USING NUCLEAR MATERIALS

Purpose: Licenses and certificates of compliance are issued for facilities and materials associated with the processing, transport and handling of nuclear materials and the disposal of nuclear waste. The issue of a license or certificate follows detailed safety and quality assurance analyses and the evaluation of environmental effects.

Licenses are issued for fuel-cycle functions and the possession of special nuclear materials (SNM).

Fuel-cycle licenses are for

1. Fresh fuel storage prior to issue of an operating license
2. Production of UF_6 for enrichment
3. Milling of yellow cake
4. Enriched uranium fuel processing and fabrication
5. Possession and use in the fuel cycle of critical amounts of special nuclear materials
6. Uranium fuel research and development and pilot plants
7. Source material
8. Away-from-reactor spent fuel storage

Materials licenses, other than for the fuel cycle, are for

1. Waste management facilities
2. Hot-cell facilities for examining irradiated fuel elements and for producing radioisotopes for medical uses
3. Possession and use of byproducts
4. Possession and use of radioisotopes

Certificates of Compliance are issued for radioactive materials packages for shipment to certify that the packaging and contents meet safety standards. A "Directory of Certificates of Compliance for Radioactive Materials Packages" (NUREG-0383) is issued annually that includes a summary report of NRC quality-assurance programs for radioactive materials packages.

Criteria for Use: These documents are issued following review and analysis of applications.

Source: Office of Nuclear Material Safety and Safeguards (NMSS).

Concurrences Required: The approvals required vary with the type of document.

Distribution Method: Licenses are issued to applicants by the NMSS Branch responsible for review and analysis of the application. Certificates of Compliance for Radioactive Materials Packages are issued to the applicants and to registered users of the packages.

Availability Required: Copies of the licenses and certificates of compliance, along with the related correspondence, are submitted to the NRC Public Document Room through the Document Control System.

NRC BROCHURES (NUREG/BR)

Purpose: Brochures (pamphlets, booklets) provide brief treatment of a specific subject. Brochures are identified as NUREG/BR-XXXX.

Criteria for Use: Brochures are single-purpose documents that may or may not be subject to updating. They may be for internal use or they may provide information or guidance to licensees and interested public organizations and individuals. They may present technical, regulatory, management, administrative, and procedural guidance, as well as statistical and other limited-subject information.

The following titles of existing NRC brochures illustrate the wide scope of these documents:

1. NRC Recruitment
2. Public Document Room User's Guide
3. Instructions for Completing Nuclear Material Transaction Reports
4. Handbook for Preparing for and Holding Public Meetings
5. Document Control System Newsletter
6. The Honor Law Graduate Program
7. Information Report on State Legislation
8. MATS User's Guide
9. Doing Business with the U.S. Nuclear Regulatory Commission
10. Power Reactor Events
11. Employee Handbook

Sources: Brochures may be originated in any NRC Office.

Concurrences Required: The normal office concurrences are required. Final clearance of the brochure for publication is controlled by TIDC in accordance with the guidance of OMB.

Distribution Method: Brochures may be distributed on standard distribution lists, and additional specialized distribution may be made.

Availability Required: The originating office retains the development record. TIDC retains the control information required by OMB. Brochures with external distribution are available for purchase from the NRC/GPO Sales Program. All brochures are maintained in NRC inventory and in the Public Document Room. They are available on request in Local Public Document Rooms.

References: Manual Chapter 3212, "Control of Production and Distribution of Periodicals and Pamphlets."

NRC MANAGEMENT DIRECTIVES - MANUAL CHAPTERS,
BULLETINS AND ANNOUNCEMENTS

Purpose: NRC Manual Chapters are issued to communicate to NRC employees (1) basic NRC policies, requirements, procedures, and management information of overall applicability; and (2) detail on the manner of compliance with pertinent laws, Executive Orders, regulations, and directives of other agencies.

NRC Bulletins contain urgently needed interim directive material that will be published later in the appropriate chapter.

NRC Announcements contain information of a non-permanent nature needed by all employees or segments of employees.

Criteria for Use: NRC Management Directives are prepared to publish directives and information concerning functions performed by the agency in a controlled system of permanent records that can be maintained current.

Sources: NRC Management Directives may be initiated by any NRC organization with information that meets the above criteria and is within the purposes stated.

Concurrences Required: Draft Manual Chapters and Bulletins are distributed to the Directors of interested NRC Offices and to the Regional Administrators for comment. Drafts incorporating comments are submitted for concurrence. The final draft indicating concurrences and/or unresolved issues is presented to the approving authority. Approval authorities vary depending on the scope and content of the issuance. The Chairman approves Chapters covering organization and functions for offices reporting directly to the Chairman and to the Commission. Generally, NRC Chapters containing new policy or significant revisions of policy are approved by the EDO. Revisions of existing directives are approved by the Director, RM. Bulletins may be approved by Office or Division Directors. In some cases drafts must be reviewed/approved by another Government agency, such as the Office of Personnel Management. Further, issuances may be forwarded to the exclusive representative of the employees (union) for impact and implementation bargaining, if appropriate. NRC announcements are approved by Division Directors or comparable authority.

Distribution Method: Distribution is based on standard distribution lists.

Availability Required: The official records are maintained by the Office of Resource Management. Copies are available for inspection and use in the NRC Public Document Room. Inventory copies are maintained by TIDC.

References: NRC Manual Chapter 0201, "NRC Management Directive System."

NRC RULES AND REGULATIONS

Purpose: NRC rules and regulations are prepared to codify NRC action. They normally arise from (1) Congressional promulgation of a new statute specifying new regulatory requirements; (2) Commission or staff initiatives indicating a need for further regulation to resolve a safety, safeguards, or environmental problem; or (3) Commission receipt of a petition for rulemaking. Proposed rules and regulations are published in the Federal Register for a comment period to enable citizen participation in the decision-making process.

The following types of documents may be prepared:

1. Petitions for Rulemaking
2. Advance Notices of Proposed Rulemaking
3. Proposed Rules
4. Final Rules
5. Policy Statements
6. Memorandums of Understanding
7. Systems of Records

Criteria for Use: The rules and regulations under which NRC conducts its licensing and regulatory activities are issued in Title 10, Chapter 1, of the Code of Federal Regulations, and a rule or regulation published in the Code of Federal Regulations has the force of law. Therefore, this method of publishing is used when enforceability is a requirement.

Source: Action on a regulation is normally assigned to a member of the technical, administrative or legal staff who is familiar with the subject area.

Concurrences Required: The approvals required vary with the subject matter. For precise information see NUREG/BR-0053, "NRC Regulations Handbook," or contact the Rules and Procedures Branch, Division of Rules and Records, ADM.

Distribution Method: All materials for publishing in the Federal Register are transmitted through the Office of the Secretary. Internal NRC staff distribution is the responsibility of the originator and should include all involved and interested persons.

NRC Federal Register notices are also distributed automatically to affected licensees and parties to proceedings and to groups and organizations who have requested this information.

Availability Required: The documents and related correspondence are submitted to the Public Document Room through the Document Control System. The documents are available in microfiche in the Local Public Document Rooms.

References: Detailed instructions for preparation and approvals are contained in NUREG/BR-0053, "NRC Regulations Handbook," and NUREG/BR-0055, "Checklist for Preparation and Review of Federal Register Rulemaking Documents." Guidance is also available in the "EDO Procedures Manual," NUREG/BR-0016.

NRC-SPONSORED BOOKS

Purpose: Books are prepared to record and disseminate information for use as permanent reference material, teaching aids, or major critical reviews of technical or regulatory topics.

Criteria for Use: Proposals by staff, contractors, or grantees for the sponsorship of the preparation and distribution of books are evaluated to ensure that the book proposed fills a unique need and serves an industry-wide purpose. The information to be presented must be considered to be of permanent value (i.e., have a life of at least ten years before becoming obsolete) and must have a sufficiently large potential audience to justify the extra cost compared with that of a report. It must be possible to obtain validation of the information presented by peer review.

Sources: NRC staff, contractors and grantees.

Concurrences Required: For books prepared by NRC staff, the internal approvals required will vary according to the organization to which the author(s) belongs.

Distribution Methods: Books may be published and distributed by NRC, GPO, or a commercial publisher. They will be available for purchase from the NRC/GPO sales program, GPO, or the commercial publisher. The author(s) will receive a limited number of free copies and limited free distribution may be approved by a Division Director or comparable authority for NRC official business.

Availability Required: The book and related correspondence must be available in the NRC Public Document Room.

References: Manual Chapter 3210, "Book Writing and Publishing."

NUCLEAR REGULATORY COMMISSION ISSUANCES (NRCIs)

Purpose: The Nuclear Regulatory Commission Issuances set forth formal orders, opinions, and decisions on regulatory proceedings by the Commission, the Atomic Safety and Licensing Appeal Board, the Atomic Safety and Licensing Boards, and the Administrative Law Judge. Directors' Decisions and Denials of Petitions for Rulemaking are included. They are published monthly, indexed quarterly, and compiled semiannually.

Criteria for Use: These issuances are used only for the purposes described above.

Sources: Issuances are prepared by the groups referred to above.

Distribution Method: The NRCIs are distributed on standard internal and external distribution lists.

Availability Required: NRCIs are available to the public for inspection and use in the NRC Public Document Room. They are also available for purchase from the NRC/GPO Sales Program. All NRCIs are entered in the Document Control System. They are available in microfiche in the Local Public Document Rooms.

References: See any monthly issuance, quarterly index or semiannual cumulation. The NRCIs carry the identification NUREG-0750.

REGULATORY GUIDES

Purpose: Regulatory guides present methods acceptable to the NRC staff of implementing specific parts of NRC regulations, delineate techniques used by the staff in evaluating specific problems or postulated accidents, and provide guidance to applicants and licensees. Where possible, national standards are endorsed, with or without exceptions or additions.

Regulatory guides are not substitutes for regulations and compliance with them is not required. Methods and solutions different from those set out in the guides are acceptable if they provide a basis for the findings requisite to the issuance or continuance of a permit or license by the Commission.

These guides are useful to applicants, licensees, and permit holders in preparing the documentation required by NRC. They are a basis for the reviews specified in the Standard Review Plan (NUREG-0800) and the preparation of environmental impact statements and safety evaluation reports.

Regulatory guides are issued in ten divisions that cover the following major subjects:

1. Nuclear Power Reactors
2. Research and Test Reactors
3. Fuels and Materials Facilities
4. Environment and Siting
5. Materials and Plant Protection
6. Products
7. Transportation
8. Occupational Health
9. Antitrust and Financial Review
10. General

Criteria for Use: Regulatory guides are prepared when detailed guidance is needed for implementing NRC requirements.

Sources: Office of Nuclear Regulatory Research (RES).

Concurrences Required: Draft regulatory guides are issued for comment to interested members of the public after Division review and approval and, if appropriate, CRGR and ACRS review. After the incorporation of comments, active regulatory guides are reviewed by ELD and, if appropriate, CRGR and ACRS. Office review and approval are required for issuance.

Distribution Method: Draft guides are made available to interested parties at no cost on standard distribution lists through TIDC. Special internal NRC distribution is made by the originator. Active regulatory guides are provided at no cost to affected licensees and may be purchased on subscription or as individual copies from the Superintendent of Documents, GPO.

Availability Required: Regulatory Guides are entered into the Document Control System and the NRC Public Document Room. They are available on microfiche in the Local Public Document Rooms. Most program offices and divisions maintain collections of Regulatory Guides. Individual copies are maintained in inventory by TIDC.

Reference: Manual Chapter NRC-3201 "Publication of NRC Staff-Generated Regulatory and Technical Reports."

RESEARCH AND TECHNICAL ASSISTANCE REPORTS PREPARED BY
CONTRACTORS, GRANTEES AND OTHER GOVERNMENT AGENCIES

Purpose: Research and technical assistance reports may be of the following types:

1. Technical letter reports (interim or final)
2. Formal technical reports (NUREG/CR)
3. Monthly and final letter status reports (business letter reports)
4. Research Information Letters (RILs)
5. Conference Proceedings (NUREG/CP)

Technical letter reports provide information on the technical aspects of work by contractors or other government agencies and their contractors. These letter reports may consist of transmittal letters with interim or final informal reports attached, or the technical information may be incorporated in the body of the letter. The form and frequency of reporting is specified in the Contract Statement of Work. These reports receive limited internal and external distribution and are publicly available in the NRC Public Document Room.

Interim technical letter reports provide information on the technical aspects of the work at various stages and form a basis for development of the formal reports required by the contract. Interim technical letter reports may include, but are not limited to, informal (interim) progress reports, "quick-look" reports, data reports, project descriptions, pre-test predictions, model verifications, experiment safety analyses, experiment operating procedures, facility certification reports and test results.

Final technical letter reports are prepared to record the results of contract work that comprises review and evaluation of the work of others or work to be used by the staff in the licensing and regulation process. These technical letter reports are not followed by a formal report.

Formal technical reports, which may be periodic progress reports on long-term projects or final reports, are published in the NUREG/CR series. These reports are final products of research, original investigations, or significant compilations of information, or they may be progress reports. They meet the requirements of the Energy Reorganization Act of 1974 for production and dissemination of information and reports on the regulatory process.

Monthly and final letter status reports (business letter reports) provide administrative and contractual information, including personnel time expenditures, costs incurred and obligated funds. These reports are specified in the Statement of Work.

Research Information Letters (RILs) summarize research information for staff use. They are prepared in the NRC Office of Nuclear Regulatory Research (RES).

Conference Proceedings report the information presented at conferences sponsored or cosponsored by NRC. Sponsorship or cosponsorship by NRC requires that the subjects covered be of interest and value to NRC. Such proceedings are published in the NUREG/CP series.

Criteria for Use: Except for RILs, the criteria for use of these documents are provided in the Statement of Work of the contract or interagency agreement covering the work. RILs are prepared as deemed necessary by the staff of RES to summarize or correlate information.

Sources: Contractors and other governmental agencies and their contractors, primarily the Department of Energy (DOE) and the National Laboratories operated for DOE.

Concurrences Required: Prepublication approvals are specified in the Statement of Work, including review by the Committee for Review of Generic Requirements, if appropriate. Requests for Publication (NRC Form 426A) of formal reports (NUREG/CRs) must be signed by the responsible Division Director or comparable authority unless such authority is delegated to a DOE contractor by the Division Director or comparable authority responsible for the work. The completed Form NRC 426A signifies that all pertinent technical and management reviews have been completed and that the document is approved for public dissemination.

Distribution Method: Technical letter reports are distributed by or for the NRC Project Manager in accordance with the Statement of Work.

Formal reports are distributed by NRC, even if printed by a DOE contractor, on standard distribution lists by TIDC, and additional specialized distribution may be made. All formal reports in the NUREG/CR and -CP series are available for purchase from the NRC/GPO Sales Program. They are announced in the NRC monthly "Title List of Documents Made Publicly Available" (NUREG-0540) and the NRC quarterly "Regulatory and Technical Reports" compilation (an abstract/index), NUREG-0304. They are available in hard copy for review and copying and are indexed by title in the NRC Public Document Room.

Formal reports (NUREG/CR and -CP series) are announced in the GPO monthly catalog and the National Technical Information Service (NTIS) Government Research Abstracts (GRA) and Government Research Index (GRI). Microfiche copy is also provided to U.S. and foreign Depository Libraries on a selective or exchange basis.

Availability Required: Standard distribution lists are used that include the Document Control System and the Public Document Room. Selected reports are available in the Local Public Document Rooms, as well as the abstract/index (NUREG-0304) of all NUREG-series reports.

References: Manual Chapter NRC-3202, "Publication of Technical Reports Prepared by NRC Contractors." Manual Chapter 1102, "Procedures for Placement of Work with the Department of Energy."

STAFF REPORTS ON REGULATORY, TECHNICAL AND ADMINISTRATIVE ISSUES (NUREG SERIES)

Purpose: Formal reports on regulatory, technical, and administrative issues of interest to staff, industry, other governmental entities, and the public are published in the NUREG series. They present:

1. results of licensing studies of specific plants or facilities preliminary to licensing actions.
2. results of analyses of general or specific problems of a regulatory or technical nature that are of interest to a major segment of the industry.
3. action and review plans, as well as guidance, for meeting NRC requirements.
4. task force reports on specific topics.
5. proceedings of conferences and workshops.
6. management and program analysis reports.
7. statistical analyses that are of interest to the staff, the industry and the public.
8. administrative reports that are of interest to the staff, the industry and the public.

Publication in the NUREG series assures announcement in (1) the Government Printing Office (GPO) monthly catalog, (2) the National Technical Information Service (NTIS) Government Research Abstracts (GRA) and Government Research Index (GRI), and (3) the provision of microfiche copy to U.S. and foreign Depository Libraries on a selective or exchange basis. NUREG-series reports are announced also in the NRC monthly "Title List of Documents Made Publicly Available" (NUREG-0540) and in the quarterly abstract/index journal entitled "Regulatory and Technical Reports" (NUREG-0304).

Criteria for Use: Textual and statistical information needed by the industry and the public in report format is prepared for publishing in the NUREG series. Such reports satisfy the Freedom of Information Act (FOIA) requirements for public availability and the Atomic Energy Act of 1954 (as amended) requirements for production and dissemination of information and reports on the regulatory process. NUREG-series reports do not, in themselves, constitute regulatory requirements. Reports in the NUREG series include:

1. Regulatory and Technical Reports (see also licensing documents)

Draft and Final Environmental Statements, DES and FES (plant or facility specific)

Safety Evaluation Reports, SER (plant or facility specific)

Standard Format and Content Guides

Standard Review Plan, SRP (including Branch technical positions)

Task Action Plans

Task Force Reports

2. Management Information Reports ("Rainbow Books")

Licensed Operating Reactors Report (Gray Book), NUREG-0020

Licensee, Contractor and Vendor Inspection Status Report (White Book), NUREG-0040

Topical Review Status, NUREG-0390

Systematic Evaluation Program Status Summary Report, NUREG-0485

Safeguards Summary Event List, NUREG-0525

Standards Development Status Summary (Green Book), NUREG-0566

Unresolved Safety Issues (Aqua Book), NUREG-0606

Operating Reactors Licensing Actions Summary, NUREG-0748

Summary Information Report, NUREG-0871

3. Reference Reports

NRC Annual Report

Handbook of Acronyms and Initialisms, NUREG-0544

NRC Organization Charts, NUREG-0325

Regulatory and Technical Reports, an abstract/index of NUREG, NUREG/CR, and NUREG/CP issuances, issued quarterly and compiled annually, NUREG-0304

Report to Congress on Abnormal Occurrences, NUREG-0090

Staff Practices and Procedures Digest, NUREG-0386

Standard Distribution for Unclassified U.S. Nuclear Regulatory Commission Reports, NUREG-0550

Title List of Documents Made Publicly Available, NUREG-0540

Sources: NUREG-series reports may be originated in any NRC office.

Concurrences Required: Requests for Publication (NRC Form 426) must be signed by the responsible Division Director or comparable authority. This signature signifies that all pertinent technical and management reviews, including, as appropriate, review by the Committee for Review of Generic Requirements, have been completed and that the document is approved for public dissemination.

Distribution Methods: These formal reports are distributed on standard distribution lists, and additional specialized distribution may be made. They are available for purchase from the NRC/GPO Sales Program. They are also available in hard copy for review and copying and are indexed by title in the NRC Public Document Room.

Availability Required: Standard distribution lists are used that include the Document Control System and the Public Document Room. Selected reports are available in the Local Public Document Rooms, as well as an abstract/index (NUREG-0304) of all NUREG-series reports.

References: Manual Chapter 3201, "Publication of NRC Staff-Generated Regulatory and Technical Reports."

References pertinent to specific types of NUREG-series reports:

1. NRR Office Letter No. 2, Rev. 2 - NUREG-0800 - Standard Review Plan for the Review of Safety Analysis Reports for Nuclear Power Plants.
2. NRR Office Letter No. 3, Standard Review Plans for Environmental and Antitrust Reviews.
3. Project Manager's Handbook, Division of Licensing, Office of Nuclear Reactor Regulation.

SYSTEMATIC ASSESSMENT OF LICENSEE PERFORMANCE (SALP) REPORTS

Purpose: Systematic Assessment of Licensee Performance (SALP) Reports are prepared annually for each power reactor facility by an SALP Board. These assessments are prepared by inspectors and NRC managers knowledgeable of the inspection findings and of any regulatory issues of significance that developed during the designated assessment period. The SALP Board reports are discussed with the licensee management in a management meeting, and the licensees prepare written responses on identified topics.

Criteria for Use: The SALP program is used to identify utility organizational strengths and problem areas and to discuss the identified problems with the utility's management to reach an understanding of proposed corrective action. The SALP reports are prepared to record the results of the assessments.

Sources: SALP packages, which include the report, are prepared in the Regional Offices.

Concurrences Required: The SALP package is transmitted to the licensee by letter signed by the Regional Administrator upon concurrence of those who participated in the evaluation.

Distribution Method: The SALP packages are distributed by the Regional Office.

Availability Required: The SALP package consists of the transmittal letter to the licensee, the SALP Board report, and the licensee response to the report and/or the management meeting. This package is submitted to the NRC Public Document Room through the Document Control System. The packages are also sent to the appropriate Local Public Document Rooms.

References: Manual Chapter 0516, "Systematic Assessment of Licensee Performance."

TECHNICAL REPORTS OF THE OFFICE FOR ANALYSIS AND EVALUATION OF OPERATIONAL DATA

Purpose: Three types of technical reports (i.e., technical reviews, engineering evaluations, and case studies) are prepared by the Office for Analysis and Evaluation of Operational Data (AEOD) based on a review of operational experience as obtained in Licensee Event Reports (LERs). The AEOD reports are prepared to provide for understanding of (1) the event or situation, (2) the range and seriousness of the safety implications and lessons to be learned from the event, and (3) any actions that should be taken to minimize the possibility of recurrence and avoid even more serious events.

Criteria for Use: AEOD technical reports are used to formally document various levels of studies performed by AEOD on specific events or situations. A Technical Review is a preliminary evaluation of a potentially significant event, while an Engineering Evaluation or Case Study is a more substantial evaluation of a more substantive event or situation. While a Technical Review may be used to support a recommendation for issuance of an IE Information Notice, it generally does not contain recommendations for actions outside AEOD. Engineering Evaluations and Case Studies may include recommendations for action by other NRC offices.

Sources: AEOD staff.

Concurrences Required: Formal approval or concurrence for technical reviews and engineering evaluations is obtained within AEOD. Case Studies receive peer review from major program offices prior to formal approval from the Director, AEOD.

Distribution Method: Distribution is made by AEOD to the Commission and other NRC offices, the Institute for Nuclear Power Operations (INPO), the Nuclear Safety Analysis Center (NSAC) of the Electric Power Research Institute (EPRI), and the licensee involved, as appropriate, based on the type and significance of the report. Selected reports are summarized in the AEOD publication titled, Power Reactor Events, NUREG/BR-0051, which is published monthly.

Availability Required: The documents and related correspondence are submitted to the NRC Public Document Room through the Document Control System.

References: AEOD Procedure No. 5, Documentation of AEOD Reports. Available from AEOD.