

# ***Unclassified Contractor and Grantee Publications in the NUREG Series***

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## ***Handbook 3.8***

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## Part I

### Introduction

This handbook specifies the procedures that the Nuclear Regulatory Commission (NRC) contractors and grantees need to follow when preparing the following publications for the NRC: (A)

- Final NUREG reports (1)
- International agreement reports (2)
- Books (3)
- Grant publications (4)

The handbook is divided into six major parts and includes a glossary and exhibits. Part II provides general information for staff consideration in preparing **statements of work**. Parts III, IV, V, and VI provide publishing guidelines specific to, respectively, **contractor reports, international agreement reports, books, and grantee publications**. (B)

*Contractor* means a private contractor, consultant, expert, another State or Federal agency working under an interagency agreement, or a Department of Energy (DOE) facility or subcontractor, such as a national laboratory, working under the DOE/NRC Memorandum of Understanding of February 24, 1978, and any subcontractors of these organizations. (C)

This directive and handbook, as well as a copy of “Publishing Documents in the NUREG Series” (NUREG-0650, Revision 1), must be included or referenced in all contracts, interagency and international agreements, and grants for which the publications previously listed are contract deliverables or grant obligations. In addition to the guidelines specific to each type of publication that appear in subsequent parts of this handbook, all statements of work must contain the applicable guidelines outlined in Part II. (D)

## **Part II**

# **Preparing Publication Requirements for Statements of Work for Contracts**

### **Specifying Publication Requirements (A)**

List and describe the type of technical reports required from each project, task, or subtask, as applicable. State when, how many, and to whom the reports should be submitted and the scope of information they should contain. These reports may be unclassified, sensitive unclassified, or classified. For guidelines and requirements covering sensitive unclassified and classified publications, refer to Management Directive (MD) 12.2, "NRC Classified Information Security Program," and MD 12.6, "NRC Sensitive Unclassified Information Security Program." (1)

This directive and handbook pertain to publications that will be issued in the NUREG/CR, NUREG/IA, and NUREG/GR series. (2)

### **Publishing Formal Reports (B)**

NUREG series reports will be printed and distributed by NRC from camera-ready copy submitted by the contractor to the Publications Branch, Mailstop T-6 E7, U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001. The camera-ready copy is to be prepared in accordance with the provisions of this handbook. Recommended guidelines for the organization and format of formal reports are specified in "Publishing Documents in the NUREG Series" (NUREG-0650, Revision 1). (1)

When the report contains sensitive unclassified or classified information, the contractor must comply with MD 12.2. (2)

## **Publishing Formal Reports (B) (continued)**

If a draft is desired before completing a final report, specify in the statement of work (SOW) the due date for delivering the final camera-ready copy after receiving comments from NRC staff or participants (if applicable) on the draft. State that all draft material be submitted to the cognizant NRC contact. (3)

When the contractor is to submit draft material for comment before preparing the final report, state that the contractor will be asked to make changes if there are comments from NRC staff or participants. If agreement on the changes is reached, the NRC contact will authorize the contractor to prepare the final copy and submit it to the NRC contact if it is a letter report or input to a Safety Evaluation Report or an Environmental Statement, or to the Director, Division of Freedom of Information and Publications Services (DFIPS) if it is a camera-ready copy for printing and distribution. This procedure will ensure proper publication, handling, distribution and, among other things, preclude further changes that might nullify the agreement. (4)

If **special caveats** were agreed to between the contractor and the NRC contact, the caveats should accompany the NRC Form 426A (Exhibit 1) for approval when it is sent to the NRC contact. A copy of special caveats should also accompany the camera-ready copy sent to DFIPS. (5)

If **agreement on changes** to a formal technical report to be issued in the NUREG/CR series is not reached, the NRC contact may request the contractor to prepare the camera-ready copy with, in addition to the standard disclaimer required on all contractor formal reports (see Section (F), Part III of this handbook), any caveats deemed necessary to cover NRC objections. These caveats may range from “The views expressed in this report are not necessarily those of the U.S. Nuclear Regulatory Commission” to the addition of a preface setting forth the NRC opinion or footnotes at appropriate locations within the text. (6)

If **NRC objections** cannot be covered in this manner, NRC can refuse to publish the report. In the case of DOE/national laboratory reports, the DOE Operations Office Manager responsible for the laboratory should be informed by the NRC office director or regional administrator of the decision and the reasons therefor. A copy of the decision should be sent to the laboratory director. In the case of another Federal agency, a State, or a private contractor, the person who entered into the contract should similarly be informed by the

## **Publishing Formal Reports (B) (continued)**

NRC contracting officer. The contractor is then free to publish the report without identifying NRC as the funding sponsor of the report and without the NRC disclaimer. Decisions by the office director or designee may be appealed to the appropriate Deputy Executive Director for Operations. (7)

## **Publishing Unclassified Information in the Open Literature and Presenting Papers (C)**

Specify whether the contractor's principal investigator is permitted to publish in the **open literature** instead of submitting a final report and/or to present papers at public or association meetings during the course of the work. If this arrangement is authorized, add the following statement to the SOW: (1)

**The principal investigator may publish the results of this work in the open literature instead of submitting a final report or may present papers at public or association meetings at interim stages of the work.**

If the NRC contact wants to review the paper or journal article before presentation or submission for publication, so state in the SOW, as follows: (2)

**The principal investigator may publish the results of this work in the open literature instead of submitting a final report or may present papers at public or association meetings at interim stages of the work if the article or paper has been reviewed by the NRC contact in draft form and agreement has been reached on the content.**

If agreement is not reached, NRC may also require that the paper include in addition to the standard statement "Work supported by the U.S. Nuclear Regulatory Commission," any caveats deemed necessary to cover NRC objections. If NRC objections cannot be covered in this manner, NRC may refuse to authorize publication in the open literature and/or presentation of papers. (3)

In the latter case, NRC will inform the contractor of the decision, as previously stated. The contractor is then free to publish without identifying NRC as the funding sponsor of the information. Decisions by office directors or designees may be appealed to the appropriate NRC Deputy Executive Director for Operations. (4)

## Publishing Unclassified Information in the Open Literature and Presenting Papers (C) (continued)

If the contractor proposes to publish in the **open literature** or present the information at meetings *in addition* to submitting the required technical reports, approval of the proposed article or presentation should be obtained from NRC. NRC shall approve the material as submitted, approve it subject to NRC-suggested revisions, or disapprove it. In any event, NRC may disapprove or delay presentation of papers on information that is subject to the Commission's approval that has not been ruled upon or that has been disapproved. (5)

If the contractor requests permission to publish in the open literature even though the contract does not explicitly provide for this type of publication, the contract can be modified to provide for such presentations. (6)

When the contractor submits journal articles for publication, each must be accompanied by the following statement: (7)

The submitted manuscript has been authored by a contractor of the U.S. Government under Contract\* No. \_\_\_\_\_. Accordingly, the U.S. Government has a nonexclusive, royalty-free license to publish or reproduce the published form of this contribution, or allow others to do so, for U.S. Government purposes.

All published papers and articles must include the following disclaimer: (8)

This report was prepared as an account of work sponsored by an agency of the United States Government. Neither the United States Government nor any agency thereof, nor any of their employees, makes any warranty, expressed or implied, or assumes any legal liability or responsibility for any third party's use or the results of such use, of any information, apparatus, product, or process disclosed in this report, or represents that its use by such third party would not infringe privately owned rights. The views expressed in this paper are not necessarily those of the U.S. Nuclear Regulatory Commission.

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\*For DOE work orders, the appropriate job code number is applicable.

## Publishing Unclassified Information in the Open Literature and Presenting Papers (C) (continued)

If the contractor is requested by the journal or other publisher to transfer the copyright, the contract author will respond to the journal or other publisher in writing in accord with the sample letter shown as follows: (9)

Dear (Copyright Holder's Name):

We recently received a document for signature assigning copyright and republication rights in the submitted article (title) to (name of publication). This letter is offered in lieu of the document as a means of completing the transfer of ownership. Accordingly, we hereby expressly transfer and assign our rights of ownership in the above-cited work to (name of publisher).

You are advised, however, that the above assignment and any publication or republication of the above-cited work is subject to the following Government rights:

The submitted manuscript has been authored by a contractor of the U.S. Government under Contract No. \_\_\_\_\_. Accordingly, the U.S. Government has a nonexclusive, royalty-free license to publish or reproduce the published form of this contribution, or allow others to do so, for U.S. Government purposes.

Sincerely,

If NRC approves open literature publication and page charges and travel costs are required for the presentation of papers, see MD 3.9, "NRC Staff and Contractor Speeches, Papers, and Journal Articles on Regulatory and Technical Subjects." (10)

## Reports Containing Sensitive Unclassified and Classified Information (D)

Examples of the proper marking of reports designated Official Use Only, Limited Official Use, Proprietary Information, Safeguards Information, and classified (CONFIDENTIAL, SECRET, and TOP SECRET) are specified in MD 12.2.

## **Conference and Workshop Proceedings (E)**

If NRC approves publication of compilations of papers presented at NRC-sponsored or cosponsored meetings, conferences, and symposia, see MD 3.11, "Conferences and Conference Proceedings."

## **Distribution of Reports to Contractors (F)**

Up to 50 copies of printed unclassified NUREG/CR, NUREG/GR, and NUREG/IA reports will be bulk shipped to the contractor by NRC. (The Joint Committee on Printing's *Government Printing and Binding Regulations* permit contractors to receive free of charge up to 50 copies of reports they have produced for NRC.) If fewer than 50 copies are needed, indicate the desired quantity on NRC Form 426A (Exhibit 1). Contractors requesting single copies for specific individuals in organizations other than the contractor's organization who are not included in the distribution requested by the NRC contact may address such a request, with written justification, to the NRC contact. If the additional distribution is approved by the NRC contact, the contractor shall send address labels with the camera-ready copy to the Publications Branch, DFIPS, USNRC, Washington, DC 20555-0001, and that distribution will be made along with the standard distribution.

## **Coordinating Contractor Press or Other Media Releases of Information (G)**

A contractor may request permission to issue a press or other media release on the work being done. That request must be made to the NRC office director or designee, who will consult with the staff of the Office of Public Affairs. The contractor must not issue a press release on nonroutine information without this prior approval. This approval may be obtained by a telephone call to the office director or designee to expedite the request. The contractor may appeal decisions not to authorize the release of information or delays in handling the request to the appropriate Deputy Executive Director for Operations.

## Part III

# Draft and Final NUREG Reports

### Identification Information (A)

#### NUREG Number (1)

Each contractor report published by NRC must be identified by a unique alphanumeric designation controlled and maintained by the Division of Freedom of Information and Publications Services (DFIPS). To obtain an NRC report number, call the Publications Branch, DFIPS, at (301) 415-7008. (a)

The NRC identification numbers will have one of the following forms: (b)

- NUREG/CR-0000
- NUREG/GR-0000
- NUREG/IA-0000

CR indicates **contractor report**, GR indicates **grant report**, and IA indicates **international agreement report**. The contractor report number, if any, will be placed below the NUREG number on the title page and cover. (c)

When a report consists of more than one volume or binding, or is issued in more than one edition, an appropriate volume, number, supplement, part, addendum, or revision designation must appear immediately below the NRC report number and the contractor's report number, if any. (d)

#### Authors' Names (2)

Authors' names must appear on the report cover and title page, unless placing them there is impractical, as for an annual report having many contributors. Editors or compilers with subject-area expertise may also be identified as such on the cover and title page. The authors'

## **Identification Information (A) (continued)**

### **Authors' Names (2) (continued)**

affiliation need not be listed unless it differs from the organization creating the report.

### **Organizational Identification (3)**

The Publications Branch, DFIPS, prepares the covers and title pages for all reports and will list information about the organization that created the report as it is provided.

### **Previous Reports in Series (4)**

If the report being prepared is one in an ongoing series, list all previous reports in the series. Include report numbers and issuance dates. Place this list on the back of the title page. If this list cannot be placed on a single page, place the pages at the end of the front matter rather than on the back of the title page.

### **Report Dates (5)**

The report dates are shown on the title page. These dates include the month and year the report is completed and the month and year it is published.

## **Report Organization and Components (B)**

The organization and components of contractor reports vary, depending on their purpose and scope. Recommended format and organizational guidelines appear in "Publishing Documents in the NUREG Series" (NUREG-0650, Revision 1). (1)

Each draft and final report prepared for NRC must include an abstract of 200 words or less that appears on a separate page preceding the table of contents. The abstract also must appear on the "Bibliographic Data Sheet," NRC Form 335 (Exhibit 2). Instructions for completing NRC Form 335 appear on the back of the form. Guidelines on the special writing requirements for preparing abstracts appear in Section 5.5 of NUREG-0650, Revision 1. (2)

## **Pre-Publication Reviews (C)**

### **Patent Review (1)**

Patent implications must be considered before approval of reports for public release so that disclosure will not adversely affect the patent

## **Pre-Publication Reviews (C) (continued)**

### **Patent Review (1) (continued)**

rights of NRC or the contractor. If the work being reported is contractually managed through another Government agency (e.g., DOE national laboratories), the contractor should request that Government agency to perform the patent review. The result of the review must be reported on NRC Form 426A under item 8 (see Exhibit 1). (a)

If NRC directly administers the contract, or the contractor is unable to obtain a patent clearance from the Government agency administering the contract, the responsible NRC contracting officer must be consulted, and the responsible NRC technical contact shall consider the patent implications. If the report does not require a patent review because the report does not contain any description of novel technical developments that may be of an inventive nature, mark “N/A” on the NRC Form 426A in the space for the Patent Counsel’s signature. If a possibility exists that developments of an inventive nature are disclosed, the contracting officer shall request assistance from the NRC Assistant General Counsel for Administration, Office of the General Counsel, on (301) 415-1553. (b)

### **Security Review (2)**

If a report of sensitive unclassified or classified work is required, the NRC contact must work with the NRC Division of Security to establish the appropriate procedures and inform the contractor of these procedures through the contracting officer. The standards for marking and handling these reports are given in Management Directive (MD) 12.2, “NRC Classified Information Security Program.”

### **Copyright Review (3)**

Copyrighted material must not appear in NRC-sponsored publications without written permission from the copyright holder. See Section 3.4 of NUREG-0650, Revision 1, for information about obtaining copyright permission.

## **Color Printing (D)**

Regulations issued by the Joint Committee on Printing (JCP) restrict the use of color in printed materials to those uses that are of demonstrable value. JCP regulations specify that “demonstrably valuable multicolor printing” includes the following categories: (1)

## **Color Printing (D) (continued)**

- Maps and technical diagrams for which additional color is necessary for clarity. (a)
- Object identification (medical specimens, diseases, plants, flags, uniforms, etc.). (b)
- Safety programs, fire prevention, savings bonds programs, and competitive areas of personnel recruiting. (c)
- Areas wherein clearly identifiable savings in costs can be soundly predicated on multicolor use. (d)
- Printing for programs required by law, whose relative success or failure is in direct ratio to the degree of public response, and for which that response can be logically attributable to the number of colors planned and the manner in which they are proposed to be used. (e)
- Color for promotional or motivational purposes, such as programs concerning public health, safety, and consumer benefits, or to encourage utilization of Government facilities, such as programs for Social Security, Medicare, and certain areas of need for veterans. (f)

The regulations indicate that the following categories do not meet the “demonstrable value” criteria: (2)

- Printed items wherein additional color is used primarily for decorative effect. (a)
- Printed items for which additional color is used primarily in lieu of effective layout and design. (b)
- Printed items for which additional color is used excessively, that is, four colors when two or three will fulfill the need, three colors when two are adequate, two colors when one is adequate. (c)
- Printed items wherein the inclusion of multicolor does not reflect careful, competent advance planning that recognizes the contribution that the use of color is expected to make to the ultimate end-purpose. (d)

## **Color Printing (D) (continued)**

If color printing is anticipated when the statement of work or standard order for DOE work is being prepared, contact the Publications Branch, DFIPS. Prior approval must be granted by the Director of DFIPS. If a requirement for color printing arises as the report is being prepared, submit a written justification for its use to the Director of DFIPS. (3)

## **Microfiche (E)**

NRC contractors and DOE laboratories submitting microfiche with reports must submit a hard copy of each microfiche, include headers on each microfiche as shown in Exhibit 3, and conform to the following NRC specifications.\*

- Microfiche must conform to either the 24/98 format for source documents with 14 columns and 7 rows (reduction ratio of 1 to 24) or the 48/270 format for computer output microfilm with 18 columns and 15 rows (reduction ratio of 1 to 48). (1)
- The microfiche sheet must be standard 105 mm by 148 mm. (2)
- The microfiche must be either a silver-halide master or a black or blue-black diazo placed in acid-free envelopes. (3)
- The microfiche must contain headers as shown in the sample in Exhibit 3. Specifically, the first block of the header must contain the NUREG number (include volume or revision, if applicable), the contractor identification number, and the classification (e.g., unclassified, proprietary). The second block must contain the description of the microfiche and may include the contractor's name. The third block must contain the publication date and the sheet identification. (4)
- The header information must be eye readable on a clear background. (5)
- A foldout page must be microfilmed in sections if the page is too large to be microfilmed in a double frame. No less than 25-mm overlap of original material is acceptable. (6)

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\*With the exception of items (3), (4), and (8), these specifications are consistent with the American National Standards Institute "Standard for Micrographics-Microfiche, ANSI/AIIM MS5-1985." Copies of this standard are available from the American National Standards Institute, ATTN: Sales Department, 11 West 42nd Street, 13th floor, New York, NY 10036 (212) 642-4900, or from the Association for Information and Image Management, ATTN: Publications Section, 1100 Wayne Avenue, Silver Spring, MD 20910 (301) 587-8202.

## **Microfiche (E) (continued)**

- The first frame must be blank (on the first sheet only), and the second frame must contain the National Institute of Standards and Technology's (NIST's) Reference Material resolution target in Microcopy Test Charts (NBS SRM 1010A). (7)
- Jacketed microfiche is unacceptable. (8)

## **Disclaimers (F)**

The following notice will be added by the Publications Branch, DFIPS, before the printing process on the inside front cover: (1)

This report was prepared as an account of work sponsored by an agency of the United States Government. Neither the United States Government nor any agency thereof, nor any of their employees, makes any warranty, expressed or implied, or assumes any legal liability or responsibility for any third party's use, or the results of such use, of any information, apparatus, product, or process disclosed in this report, or represents that its use by such third party would not infringe privately owned rights.

The branch will print the additional statement, "The views expressed in this report are not necessarily those of the U.S. Nuclear Regulatory Commission," below the standard disclaimer, if appropriate. Other qualifying statements may be added, if needed. (2)

## **Availability Information (G)**

### **Reference Material (1)**

Reports or other documents referenced in text, reference sections, bibliographies, and appendixes of unclassified regulatory and technical reports in the NUREG series must be available to the public either in the public domain (as in a public library, at the Government Printing Office (GPO), at the National Technical Information Service (NTIS), or at other reference or sales outlets) or in the NRC Public Document Room (PDR). This means that references should not be made to personal communications and interviews, unpublished information and information with restricted distribution (e.g., proprietary, National Security, and Official Use Only). If the unretrievable information is important and unrestricted, quote it in

## **Availability Information (G) (continued)**

### **Reference Material (1) (continued)**

the text or in footnotes. Provide any credit due to individuals in the text or in an acknowledgment section. Availability may be stated collectively for all entries. (a)

Although proprietary reports may not be included in a list of references, listing or identification of proprietary reports may be included in an appendix or in a separate listing following the reference section titled "Proprietary Sources of Information." (b)

In addition, reference to Institute of Nuclear Power Operations (INPO) documents may **not** be made without prior approval from INPO. Approval to reference INPO documents must be stated on the NRC Form 426A. (c)

Guidelines for developing and presenting reference material are provided in NUREG-0650, Revision 1. (d)

### **Reports (2)**

Most final reports are sold by GPO and NTIS. A statement indicating this availability is added to each report, as appropriate, by the Publications Branch staff before the report is printed. (a)

Draft reports for which comments are requested are typically announced in the *Federal Register* as being available from the NRC. These reports are not sold at GPO or at NTIS. (b)

## **Forms (H)**

### **Bibliographic Data Sheet (NRC Form 335) (1)**

All published NRC reports must include an NRC Form 335 as the final right-hand page of the manuscript. Instructions for completing the NRC Form 335 appear on the back of the form. A completed NRC Form 335 must be submitted to the Technical Publications Section, DFIPS, with the camera-ready copy of the report. Exhibit 2 shows a completed NRC Form 335.

### **Release To Publish Unclassified NRC Contractor, Consultant, or Conference Proceedings Reports (NRC Form 426A) (2)**

The NRC contact must submit a completed NRC Form 426A (see Exhibit 1) with the camera-ready copy of the report to the Technical Publications Section, DFIPS. NRC Form 426A must be signed by the staff member designated by the appropriate office director.

## Printing and Reprinting (I)

The Publications Branch, DFIPS, will review the camera-ready report submitted for printing for its adherence to the standards and requirements set forth in this directive and handbook, as well as any relevant guidelines from NUREG-0650, Revision 1. Unsatisfactory manuscripts will be returned to the NRC contractor for appropriate action. (1)

Submit a memorandum requesting a **reprint** to the Director, DFIPS, or designee, for approval. Include with the request a written justification and the approval of the office director or designee for reprinting. Also provide address labels for recipients not on NRC standard distribution lists. (2)

## Distribution (J)

The Publications Branch, DFIPS, will arrange distribution for all copies of unclassified formal contractor reports in accordance with instructions on NRC Form 426A (Exhibit 1). The Publications Branch will also arrange automatic distribution of these reports to NRC NUDOCS, the NRC PDR, NTIS, GPO, and the GPO Federal Depository Library Program. (1)

Sensitive unclassified and classified reports will be distributed by the NRC sponsoring office on a case-by-case basis. (2)

## **Part IV**

# **International Agreement Reports**

### **Background and Rationale (A)**

NRC has cooperative nuclear safety research programs that involve either or both foreign governments and organizations and U.S. industry. These programs include monetary contributions, information exchange, and comments on program plans and results as authorized in the Energy Reorganization Act of 1974. To this end, international and U.S. industry agreements have been signed that provide for transmitting unclassified technical information from foreign participants to NRC. These procedures apply only to NRC-managed work. (1)

The interests of all NRC international nuclear safety research program participants are served best by formal dissemination of information on these programs or codes developed for or in cooperation with NRC. (2)

### **Identification Information (B)**

#### **Cover and Title Page (1)**

The cover and title page will contain a title, a subtitle (if appropriate), the names of the authors, the performing organization, and the NRC office sponsoring the project. The cover and title page will be prepared by the Publications Branch, Division of Freedom of Information and Publications Services (DFIPS).

#### **NRC Report Number (2)**

Each report must be identified by an NRC-controlled alphanumeric number as the prime number unique to that report. The centralized document control system for unique identification is maintained by DFIPS. Numbers may be obtained by calling the Publications Branch at (301) 415-7008. (a)

## **Identification Information (B) (continued)**

### **NRC Report Number (2) (continued)**

The NRC identification number will have the form "NUREG/IA-000," where IA indicates "international agreement." The foreign participant's report number, if any, may be inserted below the NUREG number on the cover, if desired. (b)

When a report consists of more than one volume or binding or is issued in more than one edition, include an appropriate volume, number, supplement, part, addendum, or revision designation below the report number and the foreign participant's report number, if any. (c)

### **Previous Reports in Series (3)**

If the report being prepared is one in an ongoing series, list all previous reports in the series. Include report numbers and issuance dates. Place this list on the back of the title page. If this list cannot be placed on a single page, place the pages at the end of the front matter rather than on the back of the title page.

## **Report Organization and Components (C)**

The organization and components of cooperative agreement reports vary somewhat, depending on their purpose and scope. Each of these reports must include an abstract of 200 words or less that appears on a separate page before the table of contents. The abstract must also appear on the "Bibliographic Data Sheet," NRC Form 335 (Exhibit 2). Instructions for completing NRC Form 335 appear on the back of the form (Exhibit 2). Guidance on the special writing requirements for preparing abstracts appears in Section 5.5 of NUREG-0650, Revision 1.

## **Availability Information (D)**

### **References and Bibliographies (1)**

Reports or other documents referenced in text, reference sections, bibliographies, and appendixes of unclassified regulatory and technical reports in the NUREG series must be available to the public either in the public domain (as in a public library, at the Government Printing Office (GPO), at the National Technical Information Service (NTIS), or at other reference or sales outlets) or in the NRC Public Document Room. This means that references should not be made to personal communications, interviews, and unpublished information with restricted distribution (e.g., proprietary, National Security, Official Use Only). If the unretrievable information is important and

## Availability Information (D) (continued)

### References and Bibliographies (1) (continued)

unrestricted, it can be quoted in the text, in footnotes, or in appendixes. If the title of a document containing proprietary information is unclassified, it can also be quoted in the text or in a footnote. If credit is due to individuals, they can be mentioned in the text or in an acknowledgment section. Availability may be stated collectively for all entries. (a)

Although proprietary reports may not be included in a list of references, listing or identification of proprietary reports may be included in an appendix or in a separate listing following the reference section titled "Proprietary Sources of Information." (b)

In addition, reference to Institute of Nuclear Power Operations (INPO) documents may **not** be made without prior approval from INPO. Approval to reference INPO documents must be stated on the NRC Form 426A. (c)

Guidelines for developing and presenting reference material are provided in NUREG-0650, Revision 1. (d)

### Reports (2)

These reports will be made available for sale by GPO and NTIS.

## Disclaimer (E)

The following notice will be added by the Publications Branch, DFIPS, on the inside front cover before printing.

### NOTICE

This report was prepared under an international cooperative agreement for the exchange of technical information. Neither the United States Government nor any agency thereof, nor any of their employees, makes any warranty, expressed or implied, or assumes any legal liability or responsibility for any third party's use, or the results of such use, of any information, apparatus, product, or process disclosed in this report, or represents that its use by such third party would not infringe privately owned rights.

## **Forms (F)**

### **Bibliographic Data Sheet (NRC Form 335) (1)**

Submit a typed NRC Form 335 (Exhibit 2) with the camera-ready copy to the Technical Publications Section, DFIPS, as the final right-hand page.

### **Release to Publish Unclassified NRC Contractor, Consultant, or Conference Proceedings Reports (NRC Form 426A) (2)**

An NRC Form 426A (Exhibit 1) must be completed and signed by the office director or designee and submitted with the camera-ready copy of the report to the Technical Publications Section, DFIPS.

## **Classified or Sensitive Unclassified Information (G)**

The NRC contact should refer to Management Directive 12.2 or call the Division of Security for answers to questions about the status of classified or sensitive unclassified information in NUREG/IA reports.

## **Part V**

### **Books**

#### **General (A)**

These guidelines apply to books written by contractors and grantees that are printed by NRC. See Part VI of this handbook for guidance on publications, including books, by grantees.

#### **Definition (B)**

A book refers to a publication intended as a permanent reference or as a textbook or major critical review of a technical or regulatory topic.

#### **Format (C)**

Books are usually 6 by 9 inches in trim size, but size will be based on requirements such as ease of use and legibility for graphics, foldouts, and the like. The binding (casebound or paperback) will be chosen according to the need for durability. Additional guidance on manuscript preparations can be found in the *U.S. Government Printing Office Style Manual* and the Chicago University's *A Manual of Style*. Refer also to NRC's "Publishing Documents in the NUREG Series" (NUREG-0650, Revision 1). (1)

The contractor shall submit to the NRC project manager the typeset (photocomposed) manuscript suitable for printing. The NRC contact shall submit the manuscript to the Chief, Publications Branch, Division of Freedom of Information and Publications Services, (DFIPS), where it will be reviewed for adherence to the standards set forth and referenced in this directive and handbook. The manuscript will also be reviewed for printing acceptability by the Printing and Mail Services Branch, DFIPS. Unsatisfactory manuscripts will be reported to the NRC contact for appropriate contractual action by the NRC contracting officer or, in the case of Government agency or interagency agreement work, the publications manager of the performing organization. (2)

## **Format (C) (continued)**

DFIPS will approve the design of the cover and title page containing appropriate information concerning—(3)

- Authors' names (a)
- Organizational identification (b)
- Public availability and sales (c)

All books must include a comprehensive subject index of the book's contents, unless the book is made up almost exclusively of graphical or tabular matter. See NUREG-0650, or *The Chicago Manual Style* (13th ed.) for guidelines on creating an index. (4)

## **NRC Document Number (D)**

Each book must be identified by an NRC-controlled alphanumeric code unique to that book. The alphanumeric code will have the form NUREG/CR for books prepared by contractors and NUREG/GR for books prepared by grantees. (1)

When a book consists of more than one volume or binding, or is issued in more than one edition, include an appropriate volume, number, supplement, part, addendum, or revision designation directly below the document number. (2)

Numbers are assigned by the Publications Branch, DFIPS. The number may be obtained before the manuscript is submitted to DFIPS for printing by calling the Publications Branch at (301) 415-7166. The DFIPS staff will arrange to meet with the NRC contact for the project and, when appropriate, the author(s), to discuss the publication production requirements and the schedule for the book. (3)

## **Availability of Reference Materials (E)**

The guidelines for availability of reference material given in Section G of Part III of this handbook also apply to books prepared by contractors and grantees that are published by NRC.

## Reviews (F)

### Peer (1)

Books published by NRC must undergo peer review by experts within and outside NRC. Peer review refers to a critical evaluation of the technical contents of a publication. These reviews may be conducted anonymously by reviewers from the author's own or a related field who are totally independent of the work leading to the manuscript. (a)

Reviewers should be chosen by the NRC office sponsoring the book from the potential audience for the publication and should provide an independent judgment about whether the publication successfully accomplishes the author's aims. Peer reviewers should be chosen for their expertise in the subject matter of the book. They may come from academia, the national laboratories, other Federal agencies, or from other research institutes or consulting firms. They may be identified from the membership rolls of professional societies, American National Standards Institute (ANSI) subcommittees, and the like. Do not choose more than one reviewer from the same organization. (b)

When assessing potential peer reviewers, screen for demonstrated competence and achievement in a specific discipline or research specialty. Assess competence based on the quality of research accomplished, publications in refereed journals, and other significant technical activities, achievements, and honors. Consider the judgment, perspective, and objectivity of reviewers. Consider also the personal integrity of those selected to ensure the confidentiality of information reviewed. Finally, avoid real or perceived conflicts of interest. Do not choose reviewers who are licensees or consultants to licensees, nor reviewers from intervenor groups. Likewise, do not choose reviewers who may profit financially from influencing the information reviewed. (c)

The services of reviewers from outside the agency may be acquired through consultant services contracts. The decision as to whether to reimburse peer reviewers should be made on a case-by-case basis, however. Recognize that reimbursing peer reviewers may give the appearance of a conflict of interest, suggesting to some that because NRC is paying for this service, the agency will seek only reviewers thought to be favorably disposed to the material reviewed. One way to offset this impression is to seek recommendations for peer reviewers from independent organizations, such as the American Physics

## **Reviews (F) (continued)**

### **Peer (1) (continued)**

Society, the American Nuclear Society, the American Society of Mechanical Engineers, or appropriate universities. Reimbursement could then be made to the organization. (d)

### **Copyright (2)**

Copyrighted material must not be reproduced in NRC books without appropriate authority, usually written permission of the copyright holder. See Section 3.4 of NUREG-0650, Revision 1, for information about obtaining copyright permission.

### **Security (3)**

On the basis of the knowledge of the information sources used, the author is responsible for ensuring that the manuscript does not contain classified or other access-controlled information. If uncertainty exists with respect to the security classification of a reference document or manuscript, an authorized classifier or the NRC Division of Security should be contacted for assistance. See also Management Directive 12.2, "NRC Classified Information Security Program."

### **Patent (4)**

The patent review guidelines for draft and final formal reports specified in Section (C)(1) of Part III of this handbook also apply to books prepared by contractors and grantees.

## **Publishing Authorization Form (G)**

A completed NRC Form 426A (Exhibit 1), signed by the office director or designee or by a DOE national laboratory authorized official if the publication is prepared for the Office of Nuclear Regulatory Research, must be submitted to DFIPS with the book manuscript.

## **Disclaimers (H)**

The following standard U.S. Government notice will be added before printing: (1)

## **Disclaimers (H) (continued)**

This document was prepared as an account of work sponsored by an agency of the United States Government. Neither the United States Government nor any agency thereof, nor any of their employees, makes any warranty, expressed or implied, or assumes any legal liability or responsibility for any third party's use, or the results of such use, of any information, apparatus, product, or process disclosed in this document, or represents that its use by such third party would not infringe privately owned rights.

The following additional statement may be printed below the standard disclaimer, if authorized by the NRC office director or designee: (2)

This document was prepared under U.S. Nuclear Regulatory Commission (NRC) Contract No. \_\_\_\_\_ . The opinions, findings, conclusions, and recommendations expressed herein are those of the author(s) and do not necessarily reflect the views of the NRC.

Other qualifying statements may be added, if needed. (3)

## **Printing (I)**

DFIPS will submit book manuscripts to GPO for printing. The printing cycle requires from 6 to 8 weeks.

## **Distribution and Sales (J)**

The DFIPS staff will arrange distribution in accordance with distribution guidance provided by the NRC project manager on NRC Form 426A (Exhibit 1). (1)

Free distribution should be limited to those who contributed materially to the book or to those for whom the book's subject matter bears directly on their work at or for NRC. (2)

DFIPS will arrange to make the book available for sale through GPO. DFIPS also will arrange to have it made available at the NRC PDR and for the GPO Federal Depository Library Program. (3)

## **Part VI**

# **Grant Publications**

### **Background and Rationale (A)**

The Nuclear Regulatory Commission funds grants for educational and nonprofit institutions, State and local governments, and professional societies for the expansion, exchange, and transfer of knowledge and ideas pursuant to the Atomic Energy Act of 1954, as amended, Sections 31.a and 141.b.

### **Publication of Results (B)**

The grant will specify the publication requirements of the award. Grant results may be published by NRC, by the grantee, or in the open literature.

#### **Publication by NRC (1)**

This publication option must be governed by the guidelines specified in Part III of this handbook for reports or in Part V of this handbook for books, as appropriate. See "Identification Information," Section (C) of this part.

#### **Publication by a Grantee (2)**

When the grant specifies that the grantee is to publish the results of his or her work, the grantee must grant to the Government a royalty-free, nonexclusive, irrevocable license to reproduce, translate, publish, use, and dispose of all copyrightable material first produced or composed in the grantee's performance under the grant.

#### **Publication by a Grantee in the Open Literature (3)**

When the grantee submits journal articles for publication, each article must be accompanied by the following statement: (a)

## Publication of Results (B) (continued)

### Publication by a Grantee in the Open Literature (3) (continued)

The submitted manuscript has been authored by a grantee of the U.S. Government under Grant No. \_\_\_\_\_. Accordingly, the U.S. Government has a nonexclusive, royalty-free license to publish or reproduce the published form of this contribution, or allow others to do so, for U.S. Government purposes.

All open literature publications prepared under this grant must contain the following statement: (b)

This paper was prepared with the support of the U.S. Nuclear Regulatory Commission (NRC) under Grant No. \_\_\_\_\_. The opinions, findings, conclusions, and recommendations expressed herein are those of the author(s) and do not necessarily reflect the views of the NRC.

If the grantee is requested by the journal or other publisher to transfer the copyright, the grantee author will respond to the journal or other publisher in writing in accord with the sample letter shown as follows: (c)

Dear (Publisher's Name):

We recently received a document for signature assigning copyright and republication rights in the submitted article (title) to (name of publication). This letter is offered in lieu of the document as a means of completing the transfer of ownership. Accordingly, we hereby expressly transfer and assign our rights of ownership in the above-cited work to (name of publisher).

You are advised, however, that the above assignment and any publication or republication of the above-cited work is subject to the following Government rights:

The submitted manuscript has been authored by a grantee of the U.S. Government under Grant No. \_\_\_\_\_. Accordingly, the U.S. Government has a nonexclusive, royalty-free license to publish or reproduce the published form of this contribution, or allow others to do so, for U.S. Government purposes.

Sincerely,

## **Publication of Results (B) (continued)**

### **Reprints of Open Literature Publications (4)**

When any article resulting from work under the grant is published in a scientific, technical, or professional journal, two reprints of the publication must be sent to the cognizant NRC program officer, clearly labeled with the grant number and other appropriate identifying information.

## **Identification Information (C)**

Each report or book published by NRC that results from a grant must be identified by an alphanumeric number, “NUREG/GR-000,” where “GR” indicates “grant report.” (1)

When the publication consists of more than one volume, number, supplement, part, or binding, or is issued in more than one edition, an appropriate volume, supplement, part, or revision designation must appear below the NUREG/GR number. (2)

Numbers may be obtained from the Publications Branch at (301) 415-7008. (3)

## **Pre-Publication Reviews (D)**

The U.S. Congress characterizes the relationship between a Federal agency and a grant recipient as one in which “the recipient can expect to run the project without agency collaboration, participation, or intervention as long as it is run in accordance with the terms of the instrument.”

## Glossary\*

**Book.** A publication intended as a permanent reference or textbook or as a major critical review of a technical or regulatory topic. It may be *casebound* (hardback) or paperbound.

**Camera-Ready Copy.** Pages ready for printing by the offset printing process. This is a colloquial term used even though the printing process may not involve the so-called copy camera (see also *reproducible masters*).

**Casebound.** Term denoting a book with a hard cover.

**Compose.** To arrange letters, in type or film, for printing. Usually synonymous with *typesetting*.

**Composition.** The process of setting type by hot-metal casting, phototypesetting, or electronic character generating devices (e.g., computers) for the purpose of producing *camera-ready copy*, negatives, a plate, or an image to be used in the production of *printing* or microform.

**Contractor Report.** Record of work done (a report) prepared in accordance with the provisions of a contract or under or pursuant to an interagency agreement.

**Copyright.** A form of protection provided by the laws of the United States (Title 17, U.S. Code), to the authors of “original works of authorship,” including literary, dramatic, musical, artistic, and certain other intellectual works. This protection is available to both published and unpublished works. Generally, copyrighted material may not be reproduced without the permission of the author or the publisher.

**Disseminate.** To announce the publication of reports and make them available for free distribution, sale, or copying.

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\*Words in *italics* in definitions are also defined in the glossary.

## Glossary (continued)

**Distribution.** Reports dispensed to specific organizations and individuals to ensure their participation in the regulatory process and support of research and technological investigations. Such distribution may be accomplished by the use of standard distribution lists established and maintained by the Division of Freedom of Information and Publications Services at the request of the originating office or region.

**Documentation.** Classification and associated markings required for classified or sensitive unclassified documents, the NRC report number unique to the report, title (and subtitle, if any), author or correspondent (if any), organization identification and contract number (or job code number), date, and availability.

**Edition.** All copies of a book printed from the same type. Edition also refers to format, such as *paperback*, *casebound*, or to the text, as revised, expanded, and so on. If extensive revisions have been made to the text and the book is reprinted, the revised version is the new edition.

**Grant.** A legal instrument which defines the relationship between the Government and a recipient for the transfer of money, property, services, or anything of value to the recipient for the accomplishment of a public purpose of support or stimulation authorized by law. A grant presumes a limited amount of involvement by the agency in the performance by the recipient.

**Grant Report.** A record of work done prepared in accordance with the provisions of the *grant*.

**Index.** An alphabetical list of all major topics discussed in a *book*. It cites the page numbers where each topic can be found. The index is the last section of a book.

**International Agreement.** Cooperative nuclear safety research programs that involve either or both foreign governments and organizations and U.S. industry. Such involvement, authorized under 42 U.S.C. 5801, includes monetary contributions, information exchanges, and comments on program plans and results.

**International Agreement Report.** A record of work done prepared in accordance with the provisions of an *international agreement*.

## Glossary (continued)

**Manuscript.** A handwritten, typewritten, or *composed* version of a document, as distinguished from a printed copy.

**NRC Project Manager.** The NRC staff member responsible for the work performed by consultants or contractors and their subcontractors, or for work performed under or pursuant to an interagency agreement.

**Paperback.** A *book* with a flexible paper cover.

**Peer Review.** A critical evaluation of the technical contents of a publication. These reviews are conducted by reviewers from the author's own or a related field who are totally independent of the work leading to the *manuscript*. Reviewers should be chosen from the potential audience for the publication and should provide an independent judgment about whether the publication successfully accomplishes the author's aims.

**Photocomposition.** *Typesetting* performed when photosensitive paper or film is exposed to light in the form of letters and characters. Photocomposition is to be distinguished from hot-metal and typewriter *composition*.

**Printing.** As defined by the Joint Committee on Printing, includes and applies to the process of *composition*, platemaking, presswork, collating, and microform; the equipment used in such processes; or the end product produced by such processes and equipment.

**Proprietary Information.** Trade secrets; privileged or confidential research, development, commercial, or financial information exempt from mandatory disclosure under 10 CFR Part 2 (Sections 2.740 and 2.790) and under 10 CFR Part 9 (Section 9.17); and other information submitted in confidence to the NRC by a foreign source and determined to be unclassified by the NRC.

**Public Domain.** Materials for which a *copyright* never existed, such as U.S. Government publications, or for which a copyright has expired.

**Publicly Available Documents.** Information (reports and references) that is available in the NRC Public Document Room (PDR) for public inspection and copying or available in the *public domain*.

## Glossary (continued)

**Reproducible Masters.** *Camera-ready copy* that includes (1) originals of line drawings (or prints that can be copied); (2) glossy prints of black and white photographs; (3) original *typeset* or printed text, tables, cover, title page, contents, and abstract; or (4) other forms of the materials that a printer can reproduce.

**Trim Size.** The final size of the whole page, margins included.

**Typesetting.** The placement of type on a page (letters, numbers, and other characters) in conformance with specific style and layout instructions.

**Unique Identification.** NRC identification (NUREG number) used on a report and its attachments, revisions, and supplements that is not used on any other publication.

Volume 3, Part 1 - Publications, Mail, and Information Disclosure  
 Unclassified Contractor and Grantee Publications in the NUREG Series  
 Handbook 3.8 Exhibits

**Exhibit 1**  
**NRC Form 426A, "Release to Publish Unclassified NRC Contractor, Consultant, or Conference Proceedings Reports"**

NRC FORM 426A (3-89) NRCM 1102, 3202		U.S. NUCLEAR REGULATORY COMMISSION		1. REPORT NUMBER (if any) NUREG/CR-5627 BNL-NUREG-52257 Obtain from Technical Publications Section on 492-7353
RELEASE TO PUBLISH UNCLASSIFIED NRC CONTRACTOR, CONSULTANT, OR CONFERENCE PROCEEDINGS REPORTS (Please Type or Print)				3. FIN OR GRANT NUMBER (if not, list DOE contract number) A-3955
2. TITLE AND SUBTITLE (State in full as shown on document) Alternate Modal Combination Methods in Response Spectrum Analysis				
4. AUTHORS (if more than three, name first author followed by "and others") P. Bezler and others				
6. CONTRACTOR Brookhaven National Laboratory Department of Nuclear Energy		MAILING ADDRESS (Number and Street, City, State and ZIP Code) Building 129 Upton, NY 11973		TELEPHONE NUMBER 666-2447
6. TYPE OF DOCUMENT (Check appropriate box)				
<input checked="" type="checkbox"/> A. TECHNICAL REPORT <input checked="" type="checkbox"/> FORMAL <input type="checkbox"/> LETTER REPORT				
B. CONFERENCE PAPER (if so, complete items (1), (2), and (3) below)				
(1) TITLE OF CONFERENCE PAPER: (2) DATE(S) OF CONFERENCE: (3) LOCATION OF CONFERENCE:				
C. OTHER (indicate type of item)				
7. DISTRIBUTION (List NRC distribution codes. Provide mailing labels for special distribution not covered by NRC codes. If NRC staff, provide name and mail stop only. If external, provide complete mailing address.) RA 50 copies: Judy Liu, Technical Information Division, Bldg. 4778, Brookhaven National Laboratory, Upton, NY 11973 10 copies: Nilesh Chokshi, RES, NLYS-217				
8. CERTIFICATION (ANSWER ALL QUESTIONS)				
YES	NO	A. REFERENCE AVAILABILITY - Is all material referenced in this report available to the public either through a public library, the Government Printing Office, the National Technical Information Service, or the NRC Public Document Room? If no, list the specific availability of a referenced document with the reference listing below.		
X		SPECIFIC AVAILABILITY		
	X	B. COPYRIGHTED MATERIAL - Does this report contain copyrighted material? If yes, attach a letter of release from the source that owns the copyright.		
	X	C. COMPUTER CODES - Does this report contain a computer code? If yes, does it comply with the standards in NRC Manual Chapter 0904, "Planning and Control of Automatic Data Processing (ADP) Resources"?		
	X	D. PATENT CLEARANCE - Does this report require patent clearance? If yes, the NRC Patent Counsel must signify clearance by signing below.		
		NRC PATENT COUNSEL (Type or Print Name)	SIGNATURE	DATE
	X	E. INFORMATION REQUESTS - Does this report contain any questionnaires, surveys, or data collection requests?		
	X	F. LICENSING REQUIREMENTS - Does this report impose requirements on licensees?		
9. AUTHORIZATION				
A. DOE LAB AUTHORIZING OFFICIAL (if applicable) (Type or print name) R.A. Bari		SIGNATURE <i>R.A. Bari</i>		DATE 9/25/90
B. NRC RESPONSIBLE STAFF MEMBER (Type or print name) A. Murphy		SIGNATURE <i>A. Murphy</i>	OFF/CIV 442-3360	TELEPHONE NLS217A
			MAIL STOP 10/10/90	DATE

NRC FORM 426A (3-89)

**Volume 3, Part 1 – Publications, Mail, and Information Disclosure  
Unclassified Contractor and Grantee Publications in the NUREG Series  
Handbook 3.8 Exhibits**

**Exhibit 2  
NRC Form 335, "Bibliographic Data Sheet"**

NRC FORM 335 (2/89)		U.S. NUCLEAR REGULATORY COMMISSION  <b>BIBLIOGRAPHIC DATA SHEET</b> <i>(See instructions on the reverse)</i>	1. REPORT NUMBER <i>(Assigned by NRC, Add Vol., Supp., Rev., and Addendum Numbers, if any.)</i>  NUREG/CR-5603 EGG-2607
2. TITLE AND SUBTITLE  Pressure-Dependent Fragilities for Piping Components: Pilot Study on Davis-Besse Nuclear Power Station		3. DATE REPORT PUBLISHED MONTH      YEAR October      1990	
5. AUTHOR(S)  D.A. Wesley, T.R. Kipp, D.K. Nakaki, H. Hadidi-Tamjed		4. FIN OR GRANT NUMBER B5699	
		6. TYPE OF REPORT Technical	
		7. PERIOD COVERED <i>(Inclusive Dates)</i>	
8. PERFORMING ORGANIZATION – NAME AND ADDRESS <i>(If NRC, provide Division, Office or Region, U.S. Nuclear Regulatory Commission, and mailing address; if contractor, provide name and mailing address.)</i> ABB Impeil Corporation 27401 Los Altos, Suite 480 Mission Viejo, CA 92691		Under contract to: Idaho National Engineering Laboratory EG&G Idaho, Inc. Idaho Falls, ID 83415	
9. SPONSORING ORGANIZATION – NAME AND ADDRESS <i>(If NRC, type "Same as above"; if contractor, provide NRC Division, Office or Region, U.S. Nuclear Regulatory Commission, and mailing address.)</i> Division of Safety Issue Resolution Office of Nuclear Regulatory Research U.S. Regulatory Commission Washington, D.C. 20555			
10. SUPPLEMENTARY NOTES			
11. ABSTRACT <i>(200 words or less)</i> The capacities of four, low-pressure fluid systems to withstand pressures and temperatures above the design levels were established for the Davis-Besse Nuclear Power Station. The results will be used in evaluating the probability of plant damage from Interfacing System Loss of Coolant Accidents (ISLOCA) as part of the probabilistic risk assessment of the Davis-Besse nuclear power station undertaken by EG&G Idaho, Inc. Included in this evaluation are the tanks, heat exchangers, filters, pumps, valves, and flanged connections for each system. The probabilities of failure, as a function of internal pressure, are evaluated as well as the variabilities associated with them. Leak rates or leak areas are estimated for the controlling modes of failure. The pressure capacities for the pipes and vessels are evaluated using limit-state analyses for the various failure modes considered. The capacities are dependent on several factors, including the material properties, modeling assumptions, and the postulated failure criteria. The failure modes for gasketed-flange connections, valves, and pumps do not lend themselves to evaluation by conventional structural mechanics techniques and evaluation must rely primarily on the results from ongoing gasket research test programs and available vendor information and test data.			
12. KEY WORDS/DESCRIPTORS <i>(Use words or phrases that will assist researchers in locating the report.)</i> pressure-dependent fragilities piping components Interfacing System Loss of Coolant Accidents (ISLOCA) probabilistic risk assessment Davis-Besse Nuclear Power Station		13. AVAILABILITY STATEMENT Unlimited	
		14. SECURITY CLASSIFICATION <i>(This Page)</i> Unclassified <i>(This Report)</i> Unclassified	
		15. NUMBER OF PAGES	
		16. PRICE	

**Volume 3, Part 1 – Publications, Mail, and Information Disclosure  
Unclassified Contractor and Grantee Publications in the NUREG Series  
Handbook 3.8 Exhibits**

**Exhibit 2 (continued)**

**DO NOT PRINT THESE INSTRUCTIONS AS A PAGE IN THE NUREG REPORT**

**INSTRUCTIONS**

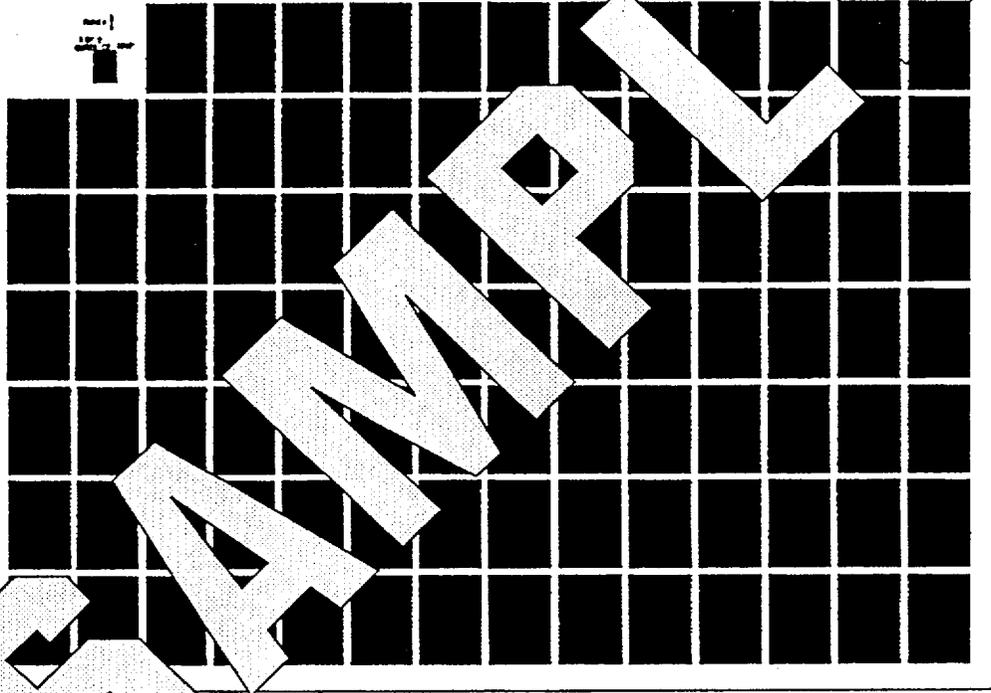
NRC FORM 335, BIBLIOGRAPHIC DATA SHEET, IS BASED ON GUIDELINES FOR FORMAT AND PRODUCTION OF SCIENTIFIC AND TECHNICAL REPORTS, ANSI Z39.18-1987 AVAILABLE FROM AMERICAN NATIONAL STANDARDS INSTITUTE, 1430 BROADWAY, NEW YORK, NY 10018. EACH SEPARATELY BOUND REPORT—FOR EXAMPLE, EACH VOLUME IN A MULTIVOLUME SET—SHALL HAVE ITS UNIQUE BIBLIOGRAPHIC DATA SHEET.

1. **REPORT NUMBER.** Each individually bound report must carry a unique alphanumeric designation (NUREG) assigned by the Regulatory Publications Branch, Division of Freedom of Information and Publications Services, in accordance with American National Standard ANSI Z39.23-1983, Standard Technical Report Number (STRN). Use uppercase letters, Arabic numerals, slashes, and hyphens only, as in the following examples: NUREG-0100, NUREG/CP-0010, NUREG/CR-0100, and NUREG/BR-0010. For reports in a series add Vol., Supp., Rev., and Addendum, when necessary. Add contractor cross-reference identification number (if any) below NUREG-series number, e.g., PNL-XXXX, SANDXX-XXXX, SAI-XXXX.
2. **TITLE AND SUBTITLE.** Title should indicate clearly and briefly the subject (coverage) of the report; including any subtitle to the main title. When a report is prepared in more than one volume, repeat the primary title, add volume number and include subtitle for the specific volume. Use upper and lower case letters, but capitalize computer code names. Do not use acronyms and initialisms in titles; may be added in parenthesis.
3. **DATE REPORT PUBLISHED.** Each report must carry a date indicating month and year published.
4. **FIN OR GRANT NUMBER.** Insert the FIN or grant number under which report was prepared.
5. **AUTHOR(S).** Give name(s) in conventional order (e.g., John R. Doe, J. Robert Doe). List author's affiliation if it is different from the performing organization.
6. **TYPE OF REPORT.** State draft, final, preliminary, topical, technical, regulatory, annual, quarterly, etc.
7. **PERIOD COVERED.** Add inclusive dates.
8. **PERFORMING ORGANIZATION NAME AND MAILING ADDRESS.** Give name, street, city, state, and ZIP code. List no more than two levels of an organizational hierarchy. Display the name of the organization exactly as follows: Division, Office, Organization or Government agency, and address.
9. **SPONSORING ORGANIZATION.** If NRC, type "Same as above"; if contractor, provide NRC Division, Office or Region, U.S. Nuclear Regulatory Commission, and mailing address.
10. **SUPPLEMENTARY NOTES.** Enter information not included elsewhere but useful, such as: Prepared in cooperation with ... Presented at conference of ... To be published ... Docket No. ... When a report is revised, indicate whether the new report supersedes or supplements the older report.
11. **ABSTRACT.** Include a brief (200 words or less) factual summary of the most significant information contained in the report. If the report contains a significant bibliography or literature survey or multiple volumes, mention it here. Abstract is to be prepared by author or project manager.
12. **KEY WORDS/DESCRIPTORS.** Select from the Energy Data Base Subject Thesaurus, DOE/TIC-700R R-5, the proper authorized terms that identify the major concept of the research and are sufficiently specific and precise to be used as index entries for cataloging.
13. **AVAILABILITY STATEMENT.** Denote public releasability, for example "unlimited", or limitation for reasons other than security.
14. **SECURITY CLASSIFICATION.** Enter U.S. Security Classification in accordance with U.S. Security Regulations (i.e., unclassified).
15. **NUMBER OF PAGES.** Leave blank. (Added by NTIS)
16. **PRICE.** Leave blank. (Added by NTIS)

U.S. GOVERNMENT PRINTING OFFICE: 1980 O-944-954

## Exhibit 3

### Microfiche Sheet Sample

NUREG/CR-XXXX CONTRACTOR ID NO. CLASSIFICATION	DESCRIPTION OF MICROFICHE (e.g., Appendix A)	PUBLICATION DATE 01 of 09 (Sheet ID)
		

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Table 15-2--Instructions for Submitting Cost/Price Proposals When Cost or Pricing Data Are Required

This document provides instructions for preparing a contract pricing proposal when cost or pricing data are required.

Note 1. There is a clear distinction between submitting cost or pricing data and merely making available books, records, and other documents without identification. The requirement for submission of cost or pricing data is met when all accurate cost or pricing data reasonably available to the offeror have been submitted, either actually or by specific identification, to the Contracting Officer or an authorized representative. As later information comes into your possession, it should be submitted promptly to the Contracting Officer in a manner that clearly shows how the information relates to the offeror's price proposal. The requirement for submission of cost or pricing data continues up to the time of agreement on price, or an earlier date agreed upon between the parties if applicable.

Note 2. By submitting your proposal, you grant the Contracting Officer or an authorized representative the right to examine records that formed the basis for the pricing proposal. That examination can take place at any time before award. It may include those books, records, documents, and other types of factual information (regardless of form or whether the information is specifically referenced or included in the proposal as the basis for pricing) that will permit an adequate evaluation of the proposed price.

## I. General Instructions

A. You must provide the following information on the first page of your pricing proposal:

- (1) Solicitation, contract, and/or modification number;
- (2) Name and address of offeror;
- (3) Name and telephone number of point of contact;
- (4) Name of contract administration office (if available);

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(5) Type of contract action (that is, new contract, change order, price revision/redetermination, letter contract, unpriced order, or other);

(6) Proposed cost; profit or fee; and total;

(7) Whether you will require the use of Government property in the performance of the contract, and, if so, what property;

(8) Whether your organization is subject to cost accounting standards; whether your organization has submitted a CASB Disclosure Statement, and if it has been determined adequate; whether you have been notified that you are or may be in noncompliance with your Disclosure Statement or CAS, and, if yes, an explanation; whether any aspect of this proposal is inconsistent with your disclosed practices or applicable CAS, and, if so, an explanation; and whether the proposal is consistent with your established estimating and accounting principles and procedures and FAR Part 31, Cost Principles, and, if not, an explanation;

(9) The following statement:

This proposal reflects our estimates and/or actual costs as of this date and conforms with the instructions in FAR 15.403-5(b)(1) and Table 15-2. By submitting this proposal, we grant the Contracting Officer and authorized representative(s) the right to examine, at any time before award, those records, which include books, documents, accounting procedures and practices, and other data, regardless of type and form or whether such supporting information is specifically referenced or included in the proposal as the basis for pricing, that will permit an adequate evaluation of the proposed price.

(10) Date of submission; and

(11) Name, title and signature of authorized representative.

B. In submitting your proposal, you must include an index, appropriately referenced, of all the cost or pricing data and information accompanying or identified in the proposal. In addition, you must annotate any future additions and/or revisions, up to the date of agreement on price, or an earlier date agreed upon by the parties, on a supplemental index.

C. As part of the specific information required, you must submit, with your proposal, cost or pricing data (that is, data that are verifiable and factual and otherwise as defined at FAR 15.401). You must clearly identify on your

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cover sheet that cost or pricing data are included as part of the proposal. In addition, you must submit with your proposal any information reasonably required to explain your estimating process, including--

(a) The judgmental factors applied and the mathematical or other methods used in the estimate, including those used in projecting from known data; and

(b) The nature and amount of any contingencies included in the proposed price.

D. You must show the relationship between contract line item prices and the total contract price. You must attach cost-element

breakdowns for each proposed line item, using the appropriate format prescribed in the "Formats for Submission of Line Item

(2) Date of license agreement.

(3) Patent numbers.

(4) Patent application serial numbers, or other basis on which the royalty is payable.

(5) Brief description (including any part or model numbers of each contract item or component on which the royalty is payable)

(6) Percentage or dollar rate of royalty per unit.

(7) Unit price of contract item.

(8) Number of units.

(9) Total dollar amount of royalties.

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10) If specifically requested by the Contracting Officer, a copy of the current license agreement and identification of applicable

III. Formats for Submission of Line Item Summaries

A. New Contracts (including Letter Contracts).

Column . . . . . Instruction

- (1) Enter appropriate cost elements.
- (2) Enter those necessary and reasonable costs that in your judgement will properly be incurred in efficient contract performance. When any of the costs in this column have already been incurred (e.g., under a letter contract), describe an attached supporting page. When preproduction or startup costs are significant, or specifically requested to do so by the Contracting Officer, provide a full identification and explanation of them.
- (3) Optional, unless required by the Contracting Officer.
- (4) Identify the attachment in which the information supporting the specific cost element may be found.

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15.406-2 Certificate of Current Cost or Pricing Data.

(a) When cost or pricing data are required, the contracting officer shall require the contractor to execute a Certificate of Current Cost or Pricing Data, using the format in this paragraph, and shall include the executed certificate in the contract file.

Certificate of Current Cost or Pricing Data

This is to certify that, to the best of my knowledge and belief, the cost or pricing data (as defined in section 15.401 of the Federal Acquisition Regulation (FAR) and required under FAR subsection 15.403-4) submitted, either actually or by specific identification in writing, to the Contracting Officer or to the Contracting Officer's representative in support of \_\_\_\_\_\* are accurate, complete, and current as of \_\_\_\_\_\*\*. This certification includes the cost or pricing data supporting any advance agreements and forward pricing rate agreements between the offeror and the Government that are part of the proposal.

Firm \_\_\_\_\_

Signature \_\_\_\_\_

Name \_\_\_\_\_

Title \_\_\_\_\_

Date of execution\*\*\* \_\_\_\_\_

\* Identify the proposal, request for price adjustment, or other submission involved, giving the appropriate identifying number (e.g., RFP No.).

\*\*Insert the day, month, and year when price negotiations were concluded and price agreement was reached or, if applicable, an earlier date agreed upon between the parties that is as close as practicable to the date of agreement price.

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\*\*\* Insert the day, month, and year of signing, which should be as close as practicable to the date when the price negotiations were concluded and the contract price was agreed to.

(End of certificate)

## CONTRACTOR SPENDING PLAN - INSTRUCTIONS

The Contractor Spending Plan (CSP) is an important tool for projecting and tracking contract costs and progress of each task under the contract.

### Applicability

The Nuclear Regulatory Commission (NRC) requires that the CSP be completed for cost reimbursement contracts when the award amount is expected to exceed \$100,000 and the period of performance is expected to exceed 6 months. For task order type contracts, a CSP is required when an individual cost reimbursement task order is expected to exceed the above thresholds. When a contract or task order modification increases the contract or task order amount of a cost reimbursement contract or task order to over \$100,000 and the period of performance from the effective date of the modification to the contract or task order expiration exceeds 6 months, a CSP is required for all contract work to be performed after the effective date of the modification.

### Submission

1. A CSP is required:
  - a. as part of the cost proposal for a cost reimbursement contract or individual task order, or modification to a contract or task order which meets the above thresholds;
  - b. as part of the Best and Final Offer (if requested) as a result of negotiations;
2. Updated CSP information is required on a monthly basis or as approved by the CO as part of the "Financial Status Report" (Ref: Section F.3, "Financial Status Report").

### Format

The attached CSP sample format may be duplicated and used by the Contractor, or modified to permit more accurate reporting or to meet other needs of the contractor. For instance, the sample format provides spaces to report projected costs for 12 months, but the contractor may wish to alter the sample format for shorter or longer contract/task order periods. The contractor may also wish to alter the sample format for ease of typing or automated production. So long as complete information is provided on actual and projected costs or accomplishments, changes to the format to improve relevance to the circumstances are encouraged.

It is up to the discretion of the offeror to determine the appropriate level of cost detail to be presented based on the complexity of the effort. This plan reflects only the minimum requirements for submission of cost details which will be considered for completeness, reasonableness, and as a measure of effective management of the effort. The Contracting Officer reserves the right to request additional cost information, if deemed necessary.

CONTRACTOR SPENDING PLAN (CSP)

(to be completed as a part of the Offeror's Cost Proposal for each cost reimbursement contract or individual task order or for any contract or task order modification which exceeds \$100,000 and has a performance period exceeding 6 months)

Solicitation No. \_\_\_\_\_ Performance Period: from \_\_\_/\_\_\_/\_\_\_ to \_\_\_/\_\_\_/\_\_\_  
 Contract No. \_\_\_\_\_

Task Order No. \_\_\_\_\_  
 Modification No. \_\_\_\_\_  
 Offeror/Contractor Name: \_\_\_\_\_

Total Estimated Costs (including fixed fee, if any) of the Proposed Contract/Task Order/Modification (to a contract or task order) at the time of proposal submission.  
 Does not include options.

\$ \_\_\_\_\_

Provide cost details by month for the total contract/task order/or task order modification

Cost Elements	<u>1st Month</u>	<u>2nd Month</u>	<u>3rd Month</u>	<u>4th Month</u>	<u>5th Month</u>	<u>6th Month</u>
Direct Costs	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
Indirect Costs	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
Total Estimated Costs including fixed fee if any	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
Project Completion	_____ %	_____ %	_____ %	_____ %	_____ %	_____ %

Cost Elements	<u>7th Month</u>	<u>8th Month</u>	<u>9th Month</u>	<u>10th Month</u>	<u>11th Month</u>	<u>12th Month</u>
Direct Costs	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
Indirect Costs	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
Total Estimated Costs including fixed fee if any	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____

Project

SMALL BUSINESS AND SMALL DISADVANTAGED  
BUSINESS SUBCONTRACTING PLAN

Date \_\_\_\_\_

CONTRACTOR: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

SOLICITATION OR CONTRACT NUMBER: \_\_\_\_\_

ITEM/SERVICE: \_\_\_\_\_

The following, together with any attachments, is hereby submitted as a Subcontracting Plan to satisfy the applicable requirements of Public Law 95-507 as implemented by OFPP Policy Letter 80-2.

1. (a) The following percentage goals (expressed in terms of a percentage of total planned subcontracting dollars) are applicable to the contract cited above or to the contract awarded under the solicitation cited.
  - (i) Small Business concerns: \_\_\_\_\_ % of total planned subcontracting dollars under this contract will go to subcontractors who are small business concerns.
  - (ii) Small Disadvantaged Business Concerns: \_\_\_\_\_ % of total planned subcontracting dollars under this contract will go to subcontractors who are small business concerns owned and controlled by socially and economically disadvantaged individuals. This percentage is included in the percentage shown under 1.(a)(i), above, as a subset.
- (b) The following dollar values correspond to the percentage goals shown in (a) above.
  - (i) Total dollars planned to be subcontracted to small business concerns: \$ \_\_\_\_\_.
  - (ii) Total dollars planned to be subcontracted to small disadvantaged business concerns: \$ \_\_\_\_\_. This dollar amount is included in the amount shown under 1.(b)(i), above, as a subset.

- (c) The total estimated dollar value of all planned subcontracting (to all types of business concerns) under this contract is  
\$ \_\_\_\_\_
- (d) The following principal products and/or services will be subcontracted under this contract, and the distribution among small and small disadvantaged business concerns is as follows:
- (Products/services planned to be subcontracted to small business concerns are identified by \* - To small disadvantaged business concerns by \*\*)
- 
- 

(ATTACHMENT MAY BE USED IF ADDITIONAL SPACE IS REQUIRED)

- (e) The following method was used in developing subcontract goals (i.e., Statement explaining how the product and service areas to be subcontracted were established, how the areas to be subcontracted to small and small disadvantaged business concerns were determined, and, how small and small disadvantaged business concerns' capabilities were determined, to include identification of source lists utilized in making those determinations).
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- (f) Indirect and overhead costs (check on below):
- have been  have not been  
included in the goals specified in 1(a) and 1(b)

- (g) If "have been" is checked, explain the method used in determining the proportionate share of indirect and overhead cost to be allocated as subcontracts to small business concerns and small disadvantaged business concerns.
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2. The following individual will administer the subcontracting program:

Name: \_\_\_\_\_

Address & Telephone: \_\_\_\_\_

Title: \_\_\_\_\_

This individual's specific duties, as they relate to the firm's subcontracting program, are as follows:

General overall responsibility for this company's Small Business Program, the development, preparation and execution of individual subcontracting plans, and for monitoring performance relative to contractual subcontracting requirements contained in this plan, including, but not limited to:

- (a) Developing and maintaining bidders' lists of small and small disadvantaged business concerns from all possible sources.
- (b) Ensuring that procurement packages are structured to permit small and small disadvantaged business concerns to participate to the maximum extent possible.
- (c) Assuring inclusion of small and SDB concerns in all solicitations for products or services which they are capable of providing.
- (d) Reviewing solicitations to remove statements, clauses, etc., which may tend to restrict or prohibit SB and SDB participation.
- (e) Ensuring periodic rotation of potential subcontractors on bidders' lists.
- (f) Ensuring that the bid proposal review board documents its reasons for not selecting low bids submitted by small and small disadvantaged business concerns.
- (g) Ensuring the establishment and maintenance of records of solicitations and subcontract award activity.
- (h) Attending or arranging for attendance of company counsellors at Business Opportunity Workshops, Minority Business Enterprise Seminars, Trade Fairs, etc.
- (i) Conducting or arranging for conduct of motivational training for purchasing personnel pursuant to the intent of P.L. 95-507.
- (j) Monitoring attainment of proposed goals.

- (k) Preparing and submitting periodic subcontracting reports required.
- (l) Coordinating contractor's activities during the conduct of compliance reviews by Federal agencies.
- (m) Coordinating the conduct of contractor's activities involving its small and small disadvantaged business subcontracting program.
- (n) Additions to (or deletions from) the duties specified above are as follows:

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3. The following efforts will be taken to assure that small and small disadvantaged business concerns will have an equitable opportunity to compete for subcontracts:
- (a) Outreach efforts will be made as follows:
    - (i) Contacts with minority and small business trade associations
    - (ii) Contacts with business development organizations
    - (iii) Attendance at small and minority business procurement conferences and trade fairs
    - (iv) Sources will be requested from SBA's PASS system.
  - (b) The following internal efforts will be made to guide and encourage buyers:
    - (i) Workshops, seminars and training programs will be conducted
    - (ii) Activities will be monitored to evaluate compliance with this subcontracting plan.
  - (c) Small and small disadvantaged business concerns source lists, guides and other data identifying small and small disadvantaged business concerns will be maintained and utilized by buyers in soliciting contracts.

(d) Additions to (or deletions from) the above listed efforts are as follows:

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4. The bidder (contractor) agrees that the clause entitled "Utilization of Small Business Concerns and Small Business Concerns Owned and Controlled by Socially and Economically Disadvantaged Individuals" will be included in all subcontracts which offer further subcontracting opportunities, and all subcontractors except small business concerns who receive subcontracts in excess of \$500,000 will be required to adopt and comply with a subcontracting plan similar to this one. Such plans will be reviewed by comparing them with the provisions of Public Law 95-507, and assuring that all minimum requirements of an acceptable subcontracting plan have been satisfied. The acceptability of percentage goals shall be determined on a case-by-case basis depending on the supplies/services involved, the availability of potential small and small disadvantaged subcontractors, and prior experience. Once approved and implemented, plans will be monitored through the submission of periodic reports, and/or, as time and availability of funds permit, periodic visits to subcontractors' facilities to review applicable records and subcontracting program progress.
5. The bidder (contractor) agrees to submit such periodic reports and cooperate in any studies or surveys as may be required by the contracting agency or the Small Business Administration in order to determine the extent of compliance by the bidder with the subcontracting plan and with the clause entitled "Utilization of Small Business Concerns and Small Business Concerns Owned and Controlled by Socially and Economically Disadvantaged Individuals" contained in the contract.
6. The bidder (contractor) agrees that he will maintain at least the following types of records to document compliance with this subcontracting plan:
  - (a) Small and small disadvantaged business concerns source lists, guides and other data identifying SB/SDBC vendors.
  - (b) Organizations contacted for small and small disadvantaged business sources.





UNITED STATES  
NUCLEAR REGULATORY COMMISSION  
WASHINGTON, D.C. 20555-0001

TO: WHOM IT MAY CONCERN

SUBJECT: PAST PERFORMANCE SURVEY IN RESPONSE TO NRC  
SOLICITATION NO. RS-NMS-00-003 ENTITLED "TECHNICAL  
ASSISTANCE FOR THE SUPPORT OF NRC REGULATIONS"

The U.S. Nuclear Regulatory Commission (NRC) is currently conducting proposal evaluations for a contract to provide the NRC with technical assistance in support of NRC regulations. You have been identified by \_\_\_\_\_ (the offeror) as a reference and we are asking for your assistance and cooperation in helping us evaluate the offeror's past performance history, which one of the most significant part of the evaluation.

Our primary source of information for this part of the evaluation will come from the references that the offeror has provided us. The NRC evaluation panel must ensure that the offeror has both relevant and successful past performance in performing work of a comparable nature and complexity to the NRC's requirement.

Accordingly, we ask that you complete and return directly to this office, via FAX, the enclosed past performance survey no later than **3:30 p.m., February 28, 2000**. Our FAX number is (301) 415-8157. Should you have any questions or require additional information, please contact me on (301) 415-6737.

Sincerely,

A handwritten signature in cursive script, appearing to read "Carolyn A. Cooper".

Carolyn A. Cooper, Contract Specialist  
Division of Contracts and Property Mgmt  
Office of Administration  
U.S. Nuclear Regulatory Commission

Enclosures:  
Performance Questionnaire  
Rating Guidelines  
Contractor Performance Report Instructions

## CONTRACTOR PERFORMANCE REPORT

1. Contractor Name and Address:	2. Contractor Number:  3. Contractor Value (Base Plus Options):  Contract Award Date:  Contract Completion Date:
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5. Type of contract: (Check all that apply) --  FP  FPI  FP-EPA  Award Fee  
 CPFF - Completion  CPFF - Term  CPIF  CPAF  ID/IQ  BOA  
 Requirements  Labor Hour  T&M  SBSA 8(a)  SBIR  Sealed Bid  
 Negotiated  Competitive  Non-Competitive

6. Description of Requirement:

7. Ratings. Summarize contractor performance and circle in the column on the right the number which corresponds to the performance rating for each rating category. Please see page three for explanation of rating scale.

Quality	Comments	0 1 2 3 4 +
Cost Control	Comments	0 1 2 3 4 +
Timeliness of Performance	Comments	0 1 2 3 4+
Business Relations	Comments	0 1 2 3 4 +

Customer Satisfaction (End Users)	Comments	0 1 2 3 4 +
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Mean Score (Add the ratings above and divide by the number of areas rated)

8. Key Personnel

Project Manager Name \_\_\_\_\_ Employment Dates \_\_\_\_\_  
Comments/Rating \_\_\_\_\_

Name \_\_\_\_\_ Employment Dates \_\_\_\_\_  
Comments/Rating \_\_\_\_\_

Name \_\_\_\_\_ Employment Dates \_\_\_\_\_  
Comments/Ratings \_\_\_\_\_

Name \_\_\_\_\_ Employment Dates \_\_\_\_\_  
Comments/Ratings \_\_\_\_\_

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9. Would you select this firm again? Please explain.

10. Project Manager Name:	Signature
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## Rating Guidelines

Summarize contractor performance in each of the rating areas. Assign each area a rating of 0 (Unsatisfactory), 1 (Poor), 2 (Fair), 3 (Good), 4 (Excellent), or + (Exceptional). Use the following instructions as guidance in making these evaluations. Ensure that this assessment is consistent with any other Agency assessments made (i.e., for payment of fee purposes).

<u>Quality of Product/Service</u>	<u>Cost Control</u>	<u>Timeliness of Performance</u>	<u>Business Relations</u>
<ul style="list-style-type: none"> <li>-Compliance with contract requirements</li> <li>-Accuracy of reports</li> <li>-Appropriateness of personnel</li> <li>-Technical excellence</li> </ul>	<ul style="list-style-type: none"> <li>-Within budget (over/under target costs)</li> <li>-Current, accurate, and complete billings</li> <li>-Relationship of negotiated costs to actuals</li> <li>-Cost efficiencies</li> <li>-Change orders issue</li> </ul>	<ul style="list-style-type: none"> <li>-Met interim milestones</li> <li>-Reliable</li> <li>-Responsive to technical direction</li> <li>-Completed on time, including wrap-up and contract administration</li> <li>-No liquidated damages assessed</li> </ul>	<ul style="list-style-type: none"> <li>-Effective management</li> <li>-Businesslike correspondence</li> <li>-Responsive to contract requirements</li> <li>-Prompt notification of problems</li> <li>-Reasonable/cooperative</li> <li>-Flexible</li> <li>-Pro-active</li> <li>-Effective contractor-recommended solutions</li> <li>-Effective small/small disadvantaged business subcontracting program</li> </ul>
<p>0. Unsatisfactory</p> <p>Nonconformances are compromising the achievement of contract requirements, despite use of Agency resources</p>	<p>Cost issues are compromising performances of contract requirements</p>	<p>Delays are compromising the achievement of contract requirements, despite use of Agency resources</p>	<p>Response to inquiries, technical/service/ administrative issues is not effective and responsive</p>
<p>1. Poor</p> <p>Nonconformances require major Agency resources to ensure achievement of contract requirements</p>	<p>Cost issues require major Agency resources to ensure achievement of contract requirements</p>	<p>Delays require major Agency resources to ensure achievement of contract requirements</p>	<p>Response to inquiries, technical/service/ administrative issues is marginally effective and responsive</p>
<p>2. Fair</p> <p>Nonconformances require minor Agency resources to ensure achievement of contract requirements</p>	<p>Cost issues require minor Agency resources to ensure achievement of contract requirements</p>	<p>Delays require minor Agency resources to ensure achievement of contract requirements</p>	<p>Response to inquiries, technical/service/ administrative issues is somewhat effective and responsive</p>
<p>3. Good</p> <p>Nonconformances do not impact achievement of contract requirements</p>	<p>Cost issues do not impact achievement of contract requirements</p>	<p>Delays do not impact achievement of contract requirements</p>	<p>Response to inquiries, technical/service/ administrative issues is usually effective and responsive</p>
<p>4. Excellent</p> <p>There are no quality problems</p>	<p>There are no cost issues</p>	<p>There are no delays</p>	<p>Response to inquiries, technical/service/ administrative issues is effective and responsive</p>

Use a "+" when the contractor has demonstrated an exceptional performance level in any of the above four categories that justifies adding a point to the score. It is expected that this rating will be used in those rare circumstances when contractor performance already exceeds the performance levels described as "Excellent".

## CONTRACTOR PERFORMANCE REPORT INSTRUCTIONS

Block 1: Contractor Name and Address. Identify the specific division being evaluated if there is more than one.

Block 2: Contract number of contract being evaluated.

Block 3: Contract value shall include base plus options. If funding was increased or decreased during the evaluation period, the value in this block should reflect the change.

Block 4: Contract award date and anticipated contract completion date.

Block 5: Type of Contract: Check all that apply.

Block 6: Provide a brief description of the work being done under the contract and identify the key performance indicators. This description will allow agencies calling for reference checks to compare statements of work.

Block 7: Circle rating in far right column and provide brief narrative for each of the categories rated. Indicate the contract requirements that were exceeded or were not met by the contractor and by how much. Also calculate the mean score of the ratings.

Block 8: List the names and employment dates of the contractor's key personnel. This will provide a record of how long these managers worked on the contract. If there were many changes in these managers a second page may be necessary. On the comment/rating line briefly describe the manager's performance.

Block 9: If given a choice, please explain why you would or why you would not select the contractor for this contract again.

Block 10: The program office person most familiar with the contractor's performance should sign this block. The rating is a combined program office, contracting officer decision. The contracting officer's signature in block 15, signifies concurrence with this rating and the final rating, if a revised rating is necessary.

Blocks 11-12: The contractor may provide comments but must sign block 12 to indicate review of the rating.

# ACH VENDOR/MISCELLANEOUS PAYMENT ENROLLMENT FORM

This form is used for Automated Clearing House (ACH) payments with an addendum record that contains payment-related information processed through the Vendor Express Program. Recipients of these payments should bring this information to the attention of their financial institution when presenting this form for completion.

## PRIVACY ACT STATEMENT

The following information is provided to comply with the Privacy Act of 1974 (P.L. 93-579). All information collected on this form is required under the provisions of 31 U.S.C. 3322 and 31 CFR 210. This information will be used by the Treasury Department to transmit payment data, by electronic means, to vendor's financial institution. Failure to provide the requested information may delay or prevent the receipt of payments through the Automated Clearing House Payment System.

## AGENCY INFORMATION

FEDERAL PROGRAM AGENCY

U.S. NUCLEAR REGULATORY COMMISSION

AGENCY IDENTIFIER

NRC

AGENCY LOCATION CODE (ALC):

31000001

ACH FORMAT:

 CCD+ CTX CTP

ADDRESS

DIVISION OF ACCOUNTING AND FINANCE, MAIL STOP T-9 H4

WASHINGTON, DC 20555-0001

CONTACT PERSON NAME

FINANCIAL OPERATIONS SECTION

TELEPHONE NUMBER

( 301 ) 415 - 7520

## PAYEE/COMPANY INFORMATION

NAME

SSN NO. OR TAXPAYER ID NO.

ADDRESS

CONTACT PERSON NAME:

TELEPHONE NUMBER:

( )

## FINANCIAL INSTITUTION INFORMATION

NAME

ADDRESS

ACH COORDINATOR NAME:

TELEPHONE NUMBER:

( )

NINE-DIGIT ROUTING TRANSIT NUMBER:

DEPOSITOR ACCOUNT TITLE:

DEPOSITOR ACCOUNT NUMBER:

LOCK BOX NUMBER:

ACH FORMAT:

 CHECKING SAVINGS LOCK BOX

SIGNATURE AND TITLE OF AUTHORIZED OFFICIAL:

TELEPHONE NUMBER:

( )

## **Instructions for Completing SF 3881 Form**

1. Agency Information Section -- Federal agency prints or types the name and address of the Federal Program agency originating the vendor/miscellaneous payment, agency identifier, agency location code, contact person name and telephone number of the agency. Also, the appropriate box for ACH format is checked.
2. Payee/Company Information Section -- Payee prints or types the name of the payee/company and address that will receive ACH vendor/miscellaneous payments, social security or taxpayer ID number, and contact person name and telephone number of the payee/company. Payee also verifies depositor account number, account title, and type of account entered by your financial institution in the Financial Institution Information Section.
3. Financial Institution Information Section -- Financial institution prints or types the name and address of the payee/company's financial institution who will receive the ACH payment, ACH coordinator name and telephone number, nine-digit routing transit number, depositor (payee/company) account title and account number. Also, the box for type of account is checked, and the signature, title, and telephone number of the appropriate financial institution official are included.

## **Burden Estimate Statement**

The estimated average burden associated with this collection of Information is 15 minutes per respondent or record keeper, depending on individual circumstances. Comments concerning the accuracy of this burden estimate and suggestions for reducing this burden should be directed to the Financial Management Service, Facilities Management Division, Property and Supply Branch, Room B-101, 3700 East-West Highway, Hyattsville, MD 20782, and the Office of Management and Budget, Paperwork Reduction Project (1510-0056), Washington, DC 20503.

# ELECTRONIC FUNDS TRANSFER

## ADDENDA SAMPLES

Remember...ACH addenda records can be up to 94 characters long. The first 3 positions are "705". The next 80 position are available to provide information about the payment. The last 11 positions are reserved for the special addendum sequence number (4 positions) and the entry detail sequence number (7 positions). Below are sample addenda records that you will receive:

### Sample 1 LATE INVOICE PAYMENT with Prompt Pay Interest Penalty Notice

**705RMT\*IV\*01234\*\*\*\*\*Includes Interest of \$25.00 at 12% for 6 days\00019876543**

where,      \*RMT\* is ANSI Segment Identifier Code for Remittance Advice  
               \*\*\* separates the data elements; multiple \*\*\* indicate intermediate data elements not used in the segment  
               \*IV\* is ANSI Reference Number Qualifier Code for Seller's Invoice Number  
               \*01234\* (Reference Number) represents the seller invoice number  
               \*Includes Interest of ...\* (Description) clarifies the related data elements and their content  
               ^\* terminates the segment

### Sample 2 UTILITY PAYMENT

**705RMT\*CR\*9999.999999\00019876544**

where,      \*CR\* is ANSI Reference Number Qualifier Code for Customer Reference Number  
               \*9999.999999\* represents the customer reference number

### Sample 3 CONTRACT PAYMENT

**705RMT\*CT\*7890987\00019876545**

where,      \*CT\* is ANSI Reference Number Qualifier Code for Contract Number  
               \*7890987\* represents the contract number

### Sample 4 LOCKBOX PAYMENT

**705RMT\*IV\*12345\REF\*LB\*269\00019876546**

where,      \*12345\* represents the invoice number  
               \*REF\* is ANSI Segment Identifier Code for Reference Numbers  
               \*LB\* is ANSI Reference Number Qualifier Code for Lockbox  
               \*269\* represents the lockbox number

### Sample 5 INVOICE PAYMENT (DATED)

**705RMT\*IV\*43265\DTM\*003\*891227\00019876547**

where,      \*43265\* represents the invoice number  
               \*DTM\* is ANSI Segment Identifier Code for Date/Time Reference  
               \*003\* is ANSI Date/Time Qualifier Code for Invoice  
               \*891227\* (Date) represents the invoice date, formatted \*YYMMDD\*

**Nuclear Regulatory Commission (NRC)****NUCLEAR REGULATORY COMMISSION****10 CFR Ch. I****Unified Agenda of Federal Regulatory and Deregulatory Actions**

AGENCY: Nuclear Regulatory Commission.

ACTION: Semiannual regulatory agenda.

**SUMMARY:** The Nuclear Regulatory Commission (NRC) is publishing its semiannual regulatory agenda in accordance with Public Law 96-354 "The Regulatory Flexibility Act" and Executive Order 12866 "Regulatory Planning and Review." The agenda is a compilation of all rules on which the NRC has recently completed action or has proposed or is considering action. This issuance updates any action occurring on rules since publication of the last semiannual agenda on April 26, 1999 (64 FR 22380).

**ADDRESSES:** Comments on any rule in the agenda may be sent to the Secretary of the Commission, U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001, Attention: Rulemakings and Adjudications Staff. Comments may also be hand delivered to the One White Flint North Building, 11555 Rockville Pike, Rockville, Maryland, between 7:30 a.m. and 4:15 p.m., Federal workdays. Comments received on rules for which the comment period has closed will be considered if it is practical to do so, but assurance of consideration cannot be given except as to comments received on or before the closure dates specified in the agenda.

The agenda and any comments received on any rule listed in the agenda are available for public inspection and copying for a fee at the Nuclear

Regulatory Commission's Public Document Room, 2120 L Street NW. (Lower Level), Washington, DC 20555-0001. Single copies of the NRC agenda can be purchased from the Superintendent of Documents, U.S. Government Printing Office, Post Office Box 37082, Washington, DC 20013-7082. Customers may call (202) 512-2249.

**FOR FURTHER INFORMATION CONTACT:** For further information concerning NRC rulemaking procedures or the status of any rule listed in this agenda, contact David L. Meyer, Chief, Rules and Directives Branch, Division of Administrative Services, Office of Administration, U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001, telephone (301) 415-7162, e-mail dlm1@nrc.gov. Persons outside the Washington, DC, metropolitan area may call, toll-free: (800) 368-5642. For further information on the substantive content of any rule listed in the agenda, contact the individual listed under the heading "Agency Contact" for that rule.

**SUPPLEMENTARY INFORMATION:** The information contained in this semiannual publication is updated to reflect any action which has occurred on rules since publication of the last NRC semiannual agenda on April 26, 1999 (64 FR 22380). Within each group, the rules are ordered according to the Regulation Identifier Number (RIN).

The information in this agenda has been updated through September 2, 1999. The date for the next scheduled action under the heading "Timetable" is the date the rule is scheduled to be published in the **Federal Register**. The date is considered tentative and is not binding on the Commission or its staff. The agenda is intended to provide the public early notice and opportunity to participate in the NRC rulemaking

process. However, the NRC may consider or act on any rulemaking even though it is not included in the agenda.

**Rulemakings Approved by the Executive Director for Operations (EDO)**

The EDO initiated a procedure for review of the regulations being prepared by staff offices that report to him to ensure that staff resources are allocated most effectively to achieve NRC's regulatory priorities. This procedure requires EDO approval before staff resources may be expended on the development of any new rulemaking. Furthermore, all existing rules must receive EDO approval prior to the commitment of additional resources.

The NRC agenda lists rulemaking actions. Of these, two rulemaking items are considered to be priority or major as defined in section 3(f) of Executive Order 12866. Five rules potentially will have a "significant economic impact on a substantial number of small entities" as defined in the Regulatory Flexibility Act.

For this edition of NRC's regulatory agenda, the most important significant regulatory actions are included in The Regulatory Plan, which appears in part II of this issue of the **Federal Register**. The Regulatory Plan entries are listed in the table of contents below and are denoted by a bracketed bold reference, which directs the reader to the appropriate sequence number in part II.

Dated at Rockville, Maryland, this 2nd day of September 1999.

For the Nuclear Regulatory Commission.

David L. Meyer,  
Chief, Rules and Directives Branch, Division of Administrative Services, Office of Administration.

**Proposed Rule Stage**

Sequence Number	Title	Regulation Identification Number
4563	Availability of Official Records .....	3150-AC07
4564	Domestic Licensing of Special Nuclear Material — Revision .....	3150-AF22
4565	Requirements for Certain Generally Licensed Industrial Devices Containing Byproduct Material .....	3150-AG03
4566	Clarifications and Addition of Flexibility .....	3150-AG15
4567	List of Approved Spent Fuel Storage Casks: Addition of the Transnuclear Cask .....	3150-AG18
4568	List of Approved Spent Fuel Storage Casks: Revision, NUHOMS 24-P and NUHOMS 52-B .....	3150-AG19
4569	Fire Protection; Elimination of Requirement for Non-Combustible Penetration Seal Material and Other Minor Changes .....	3150-AG22
4570	Lessons Learned from Design Certification .....	3150-AG24

NRC

## Proposed Rule Stage (Continued)

Sequence Number	Title	Regulation Identification Number
4571	Protection Against Discrete Radioactive Particles .....	3150-AG25
4572	ECCS Evaluations Models ( <b>Reg Plan Seq No. 164</b> ) .....	3150-AG26
4573	Amend the Certificates of Compliance No. 72-1007 for the VSC-24 Dry Spent Fuel Storage Cask .....	3150-AG29
4574	List of Approved Spent Fuel Storage Casks: Addition of the Transnuclear Dry Shielded Canister (TN-68) .....	3150-AG30
4575	List of Approved Spent Fuel Storage Casks: Addition of the Holtec Dry Shielded Canister - HISTORM .....	3150-AG31
4576	List of Approved Spent Fuel Storage Casks: Addition of the NAC - UMS Cask .....	3150-AG32
4577	Storage of Greater Than Class C Waste .....	3150-AG33
4578	List of Approved Spent Fuel Storage Casks: Addition of the TN West Amendment 2 (TNW) Spent Fuel Storage Cask System .....	3150-AG34
4579	List of Approved Spent Fuel Storage Casks: Addition of the Transtor Storage Cask .....	3150-AG35
4580	Revision of Certificates of Compliance for the VSC-24 Dry Spent Fuel Storage Cask, Amendment 2 .....	3150-AG36
4581	Addition of Certificates for the NAC International (NAC) Multi-Purpose Canister (MPC) Cask System (NAC-MPC System) .....	3150-AG37

References in boldface appear in the Regulatory Plan in Part II of this issue of the **Federal Register**.

## Final Rule Stage

Sequence Number	Title	Regulation Identification Number
4582	Industry Codes and Standards; Amended Requirements .....	3150-AE26
4583	Fitness for Duty .....	3150-AF12
4584	Submittal Procedures for Documents .....	3150-AF61
4585	Medical Uses of Byproduct Material .....	3150-AF74
4586	Modification to Event Reporting Requirements for Power Reactors .....	3150-AF98
4587	Disposal of High-Level Radioactive Waste in a Proposed Geologic Repository at Yucca Mountain, Nevada .....	3150-AG04
4588	Use of Potassium Iodide (KI) by the General Public After a Severe Accident at a Nuclear Power Plant .....	3150-AG11
4589	Revised Source Term Use at Operating Reactors .....	3150-AG12
4590	Application for Specific Licenses .....	3150-AG13
4591	Energy Compensation Sources for Well Logging .....	3150-AG14
4592	Design Certification for AP600 .....	3150-AG23

## Long-Term Actions

Sequence Number	Title	Regulation Identification Number
4593	Addition of Radon-222 and Technetium-99 Values to Table S-3 and Revisions Resulting From Consideration of Higher-Burnup Fuel .....	3150-AA31
4594	Criteria for an Extraordinary Nuclear Occurrence .....	3150-AB01
4595	Disposal by Release Into Sanitary Sewerage .....	3150-AE90
4596	Financial Protection Requirements for Permanently Shutdown Nuclear Power Reactors .....	3150-AF79
4597	Emergency Planning Requirements for Permanently Shutdown Nuclear Power Plant Sites and Non-Power Reactors .....	3150-AF92
4598	Geological and Seismological Characteristics of Spent Fuel Storage Systems .....	3150-AG16
4599	Allow Use of Personnel Dosimeters That Are Processed Using a New Dosimeter Readout Technology .....	3150-AG21

## Completed Actions

Sequence Number	Title	Regulation Identification Number
4600	Standardized Plant Designs, Early Review of Site Suitability Issues; Clarifying Amendments .....	3150-AE25
4601	Nuclear Regulatory Commission Acquisition Regulation .....	3150-AF52
4602	Initial Operator License Examination Requirements .....	3150-AF62
4603	Audit Frequency for Emergency Planning and Security .....	3150-AF63

## NRC

## Completed Actions (Continued)

Sequence Number	Title	Regulation Identification Number
4604	Miscellaneous Changes to Licensing Requirements for the Independent Storage of Spent Nuclear Fuel and High-Level Radioactive Waste .....	
4605	Respiratory Protection and Controls To Restrict Internal Exposure .....	3150-AF80
4606	Certification Renewal Amendment Process .....	3150-AF81
4607	Expand Applicability To Include Additional Parties .....	3150-AF85
4608	Changes, Tests, and Experiments .....	3150-AF93
4609	Requirements for Monitoring the Effectiveness of Maintenance at Nuclear Power Plants .....	3150-AF94
4610	Codes and Standards; IEEE National Consensus Standard .....	3150-AF95
4611	Conformance to National Policies for Access to and Protection of Classified Information .....	3150-AF96
4612	Elimination of Reporting Requirement and 30-Day Hold of Independent Spent Fuel Storage or Monitored Retrievable Storage Installations in Loading Spent Fuel After Preoperational Testing .....	3150-AF97
4613	Environmental Impacts of High-Level Waste Transportation .....	3150-AG02
4614	Requirements for the Possession of Industrial Devices Containing Byproduct Material .....	3150-AG05
4615	Availability of Public Records at NRC Public Document Rooms .....	3150-AG06
4616	Revision of Fee Schedules; 100 Percent Fee Recovery, FY 1999 .....	3150-AG07
4617	List of Approved Spent Fuel Storage Casks: Addition of the HOLTEC Cask .....	3150-AG08
4618	Informal Hearing Procedures for Adjudications in Materials and Operator Licensing Proceedings; Clarification of Participants .....	3150-AG17
4619	Informal Hearing Procedures for Adjudications in Materials and Operator Licensing Proceedings: Minor Amendments .....	3150-AG27
		3150-AG28

## Nuclear Regulatory Commission (NRC)

## Proposed Rule Stage

## 4563. AVAILABILITY OF OFFICIAL RECORDS

**Priority:** Substantive, Nonsignificant

**Legal Authority:** 42 USC 2201; 42 USC 5841

**CFR Citation:** 10 CFR 2

**Legal Deadline:** None

**Abstract:** The proposed amendment would conform the NRC's regulations pertaining to the availability of official records to existing case law and Agency practice. The amendment would reaffirm that 10 CFR 2.790(c) provides submitters of information a qualified right to have their information returned upon request. This amendment would inform the public of three additional circumstances where information would not be returned to the applicant, i.e., information which has been made available to an advisory committee or was received at an advisory committee meeting, information discussed at an open Commission meeting under the Government in Sunshine Act and information that is subject to a pending Freedom of Information Act request, as well as other administrative matters.

The proposed amendment would also address the NRC's procedures for

handling copyrighted information, including reproduction and distribution according to normal Agency practice. The NRC, in receiving submittals and making its normal distributions, routinely photocopies submittals, makes microfiche of the submittals, and ensures that these fiche are distributed to the Public Document Room, Local Public Document Rooms, all appropriate internal offices, and made available to the National Technical Information Service. This broad distribution and reproduction is made to increase public understanding of the peaceful uses of atomic energy. The proposed rule would not prevent submitters from applying 10 CFR 2.790(b)(1) procedures to information that contains trade secrets or privileged or confidential commercial or financial information (proprietary information), and it is recognized that some information in those categories may be copyrighted. Proprietary information status exempts this material from public disclosure and is not to be confused with handling pursuant to copyright designation. A revised proposed rule will be issued for public comment.

**Timetable:**

Action	Date	FR Cite
NPRM	12/23/92	57 FR 61013
NPRM Comment Period End	03/08/93	
NPRM (Revision)	12/00/99	

**Regulatory Flexibility Analysis Required:** No

**Government Levels Affected:** None

**Agency Contact:** Catherine M. Holzle, Nuclear Regulatory Commission, Office of the General Counsel, Washington, DC 20555-0001

Phone: 301 415-1560

Email: cmh@nrc.gov

RIN: 3150-AC07

## 4564. DOMESTIC LICENSING OF SPECIAL NUCLEAR MATERIAL — REVISION

**Priority:** Substantive, Nonsignificant

**Legal Authority:** 42 USC 2201; 42 USC 2231; 42 USC 2241; 42 USC 2282

**CFR Citation:** 10 CFR 70

**Legal Deadline:** None

**Abstract:** The proposed rule would amend the Commission's regulations to provide a risk-informed performance-

## Proposed Rule Stage

NRC

based regulation for certain licensees authorized to possess a critical mass of special nuclear material. Concurrent with this amendment, companion support guidance documents are being developed for issuance. The proposed rule would require affected licensees to conduct an integrated safety analysis to identify potential accidents at the facility and the items relied on for safety. While the NRC believes that fuel facilities operate with an adequate degree of safety, the safety bases for licensing and inspection may have significant uncertainties. Performance of an ISA would narrow these uncertainties and provide increased confidence in the margin of safety at fuel cycle facilities.

**Timetable:**

Action	Date	FR Cite
NPRM	07/30/99	64 FR 41338
NPRM Comment Period End	10/13/99	
Final Action	08/00/00	

**Regulatory Flexibility Analysis Required:** Yes**Small Entities Affected:** Businesses**Government Levels Affected:** None

**Agency Contact:** Andrew Persinko, Nuclear Regulatory Commission, Office of Nuclear Material Safety and Safeguards, Washington, DC 20555-0001

Phone: 301 415-6522

Email: axp1@nrc.gov

RIN: 3150-AF22

**4565. REQUIREMENTS FOR CERTAIN GENERALLY LICENSED INDUSTRIAL DEVICES CONTAINING BYPRODUCT MATERIAL****Priority:** Substantive, Nonsignificant**Legal Authority:** 42 USC 2201; 42 USC 5841**CFR Citation:** 10 CFR 30; 10 CFR 31; 10 CFR 32; 10 CFR 170; 10 CFR 171**Legal Deadline:** None

**Abstract:** The proposed rule would amend the Commission's regulations for certain industrial devices containing byproduct material to include more specific provisions for a registration and accounting program including associated fees and modification of the quarterly transfer reporting requirements for manufacturers and initial distributors of these industrial devices. The rule would also consider

other recommendations made by an NRC Agreement State Working Group in NUREG-1551, such as additional labeling requirements. The proposed rule is intended to ensure that general licensees are aware of and understand the requirements for the possession of devices containing byproduct material and allow NRC to account for devices which have been distributed for use under the general license. Better awareness on the part of general licensees of their responsibilities would help to ensure that the general licensees comply with the requirements for proper handling and disposal of generally licensed devices and should help reduce the potential for incidents that could result in unnecessary radiation exposure to the public as well as contamination of property.

**Timetable:**

Action	Date	FR Cite
NPRM	07/26/99	64 FR 40295
NPRM Comment Period End	10/12/99	
Final Action	07/00/00	

**Regulatory Flexibility Analysis Required:** Undetermined**Government Levels Affected:** Undetermined

**Agency Contact:** Catherine R. Mattsen, Nuclear Regulatory Commission, Office of Nuclear Material Safety and Safeguards, Washington, DC 20555-0001

Phone: 301 415-6264

Email: crm@nrc.gov

RIN: 3150-AG03

**4566. CLARIFICATIONS AND ADDITION OF FLEXIBILITY****Priority:** Substantive, Nonsignificant

**Reinventing Government:** This rulemaking is part of the Reinventing Government effort. It will revise text in the CFR to reduce burden or duplication, or streamline requirements.

**Legal Authority:** 42 USC 2201; 42 USC 5841**CFR Citation:** 10 CFR 72**Legal Deadline:** None

**Abstract:** The proposed rule would amend the Commission's regulations to clarify the applicability of part 72 for general and site-specific licensees and would allow general licensees to clearly determine which part 72 requirements

are applicable to their activities. Consequently, the staff has received several inquiries from prospective applicants requesting an interpretation of certain provisions of part 72. Clarification of which regulations are applicable to site-specific and general licensees would reduce the uncertainty for potential licensees, and lessen the need for legal interpretation by NRC legal staff. The proposed rulemaking would also allow applicants for site-specific licenses to use cask designs previously approved under part 72, subpart K, without having to submit a separate safety analysis for the cask design. Under the current regulations, the adequacy of the design of these previously approved storage casks could be at issue, particularly during the hearing process, in each site-specific license application. This rulemaking precludes the staff having to expend considerable resources in repeatedly re-examining and defending technical issues already resolved during the public rulemaking process. This process requests public comments which are addressed in the final rulemaking. The rulemaking also allows the initiation of storage cask construction provided that certain conditions are met. The staff has allowed this construction, via exemption, before a Certificate of Compliance is issued if the construction is performed under an NRC approved quality assurance program and the applicant bears all risk associated with early construction.

**Timetable:**

Action	Date	FR Cite
NPRM	11/03/99	64 FR 59677
NPRM Comment Period End	01/18/00	
Final Action	05/00/00	

**Regulatory Flexibility Analysis Required:** Undetermined**Government Levels Affected:** Undetermined

**Agency Contact:** Anthony J. DiPalo, Nuclear Regulatory Commission, Office of Nuclear Material Safety and Safeguards, Washington, DC 20555-0001

Phone: 301 415-6191

Email: ajd@nrc.gov

RIN: 3150-AG15

NRC

Proposed Rule Stage

**4567. LIST OF APPROVED SPENT FUEL STORAGE CASKS: ADDITION OF THE TRANSNUCLEAR CASK****Priority:** Substantive, Nonsignificant**Legal Authority:** 42 USC 2201; 42 USC 5841**CFR Citation:** 10 CFR 72**Legal Deadline:** None

**Abstract:** The proposed rule would amend the Commission's regulations to add the Transnuclear TN-32 cask system to the List of Approved Spent Fuel Storage Casks. This proposed rule would allow the holders of power reactor operating licenses to store spent fuel in the TN-32 cask system under a general license.

**Timetable:**

Action	Date	FR Cite
NPRM	08/23/99	64 FR 45923
NPRM Comment Period End	11/08/99	
Final Action	03/00/00	

**Regulatory Flexibility Analysis Required:** No**Small Entities Affected:** No**Government Levels Affected:** None

**Agency Contact:** Stanley P. Turel, Nuclear Regulatory Commission, Office of Nuclear Reactor Regulation, Washington, DC 20555-0001  
Phone: 301 415-6324  
Email: spt@nrc.gov

**RIN:** 3150-AG18**4568. LIST OF APPROVED SPENT FUEL STORAGE CASKS: REVISION, NUHOMS 24-P AND NUHOMS 52-B****Priority:** Substantive, Nonsignificant**Legal Authority:** 42 USC 2201; 42 USC 5841**CFR Citation:** 10 CFR 72**Legal Deadline:** None

**Abstract:** The proposed rule would amend the Commission's regulations containing the list of approved spent fuel storage cask designs to add an amended version of certificate of compliance number (CoC No.) 1004 to this list. The amended revision reflects a change of ownership of this certificate from VECTRA Technologies, Inc. to Transnuclear West, Inc. as well as an amendment to the certificate. This rulemaking would also implement a Director's Decision, in response to a petition filed by the Toledo Coalition

for Safe Energy, et al., regarding the cask design, approved by CoC No. 1004 in which the Director determined that a rulemaking should be conducted to require a fabrication inspection of dry shielded canister shell welds.

**Timetable:**

Action	Date	FR Cite
NPRM	07/29/99	64 FR 41050
NPRM Comment Period End	10/12/99	
Final Action	02/00/00	

**Regulatory Flexibility Analysis Required:** No**Small Entities Affected:** No**Government Levels Affected:** None

**Agency Contact:** Stanley P. Turel, Nuclear Regulatory Commission, Office of Nuclear Reactor Regulation, Washington, DC 20555-0001  
Phone: 301 415-6324  
Email: spt@nrc.gov

**RIN:** 3150-AG19**4569. FIRE PROTECTION; ELIMINATION OF REQUIREMENT FOR NON-COMBUSTIBLE PENETRATION SEAL MATERIAL AND OTHER MINOR CHANGES****Priority:** Substantive, Nonsignificant

**Reinventing Government:** This rulemaking is part of the Reinventing Government effort. It will revise text in the CFR to reduce burden or duplication, or streamline requirements.

**Legal Authority:** 42 USC 2201; 42 USC 5841**CFR Citation:** 10 CFR 50**Legal Deadline:** None

**Abstract:** The proposed rule would amend the Commission's regulations to eliminate the requirement for non-combustible penetration seal material. Based on a detailed review, as documented in section 7 of NUREG-1552, supp. 1, the NRC staff found that section III-M of appendix R applied only to 15 nuclear power plants. For 14 of these plants, the requirements of section III-M had been resolved by the licensees or were no longer applicable. In SECY-96-146, the staff recommended the deletion of the non-combustibility criterion for penetration seal material from section III-M of appendix R. The Commission approved the staff's recommendation in a June 30, 1998, SRM. Additional minor changes

involve the deletion of schedule requirements and a footnote that are no longer applicable.

**Timetable:**

Action	Date	FR Cite
NPRM	08/18/99	64 FR 44860
NPRM Comment Period End	11/01/99	
Final Action	06/00/00	

**Regulatory Flexibility Analysis Required:** No**Government Levels Affected:** None

**Agency Contact:** Daniele Oudinot, Nuclear Regulatory Commission, Office of Nuclear Reactor Regulation, Washington, DC 20555-0001  
Phone: 301 415-3731  
Email: dho@nrc.gov

**RIN:** 3150-AG22**4570. LESSONS LEARNED FROM DESIGN CERTIFICATION****Priority:** Substantive, Nonsignificant**Legal Authority:** 42 USC 2201; 42 USC 5841**CFR Citation:** 10 CFR 52**Legal Deadline:** None

**Abstract:** The proposed rule would amend the regulatory infrastructure to prepare for future applicants and involve changes to licensing procedures. The proposed rule entitled, "Standardized Plant Designs, Early Review of Sites Suitability Issues; Clarifying Amendments," (RIN 3150-AE25) will be subsumed into this rulemaking.

**Timetable:**

Action	Date	FR Cite
NPRM	11/00/99	
Final Action	07/00/00	

**Regulatory Flexibility Analysis Required:** No**Government Levels Affected:** None

**Agency Contact:** Jerry N. Wilson, Nuclear Regulatory Commission, Office of Nuclear Reactor Regulation, Washington, DC 20555-0001  
Phone: 301 415-3145  
Email: jnw@nrc.gov

**RIN:** 3150-AG24

NRC

Proposed Rule Stage

**4571. PROTECTION AGAINST DISCRETE RADIOACTIVE PARTICLES****Priority:** Substantive, Nonsignificant**Reinventing Government:** This rulemaking is part of the Reinventing Government effort. It will revise text in the CFR to reduce burden or duplication, or streamline requirements.**Legal Authority:** 42 USC 2201; 42 USC 5841**CFR Citation:** 10 CFR 20**Legal Deadline:** None

**Abstract:** The proposed rule would amend the Commission's regulations to establish a 300 Rad dose constraint, a 500 Rad capping limit, and calculational procedures for dealing with the "hot particle" issue (small particles found in nuclear reactors and some material facilities that, because of their high activity and small size, provide high localized doses to the skin). The skin dose limits in the revised part 20 have been shown by research results to be inapplicable to hot particles on or very near the skin. Furthermore, there are significant differences in the applicable dose limit recommendations of the International Commission on Radiological Protection (ICRP) and National Council on Radiation Protection and Measurements (NCRP). Brookhaven National Laboratory has provided the technical basis for the rulemaking by conducting hot particle exposures on live swine skin to establish the threshold dose(s) for ulceration.

**Timetable:**

Action	Date	FR Cite
NPRM	11/00/99	
Final Action	07/00/00	

**Regulatory Flexibility Analysis Required:** No**Government Levels Affected:** None

**Agency Contact:** Alan K. Rocklein, Nuclear Regulatory Commission, Office of Nuclear Reactor Regulation, Washington, DC 20555  
Phone: 301 415-3883  
Email: akr@nrc.gov

**RIN:** 3150-AG25**4572. ECCS EVALUATIONS MODELS**

**Regulatory Plan:** This entry is Seq. No. 164 in Part II of this issue of the Federal Register.

**RIN:** 3150-AG26**4573. • AMEND THE CERTIFICATES OF COMPLIANCE NO. 72-1007 FOR THE VSC-24 DRY SPENT FUEL STORAGE CASK****Priority:** Substantive, Nonsignificant**Reinventing Government:** This rulemaking is part of the Reinventing Government effort. It will revise text in the CFR to reduce burden or duplication, or streamline requirements.**Legal Authority:** 42 USC 2201; 42 USC 5841**CFR Citation:** 10 CFR 72**Legal Deadline:** None

**Abstract:** The proposed rule would amend the Commission's regulations to revise the Pacific Sierra Nuclear Associates (PSNA) VSC-24 cask system listing within the List of Approved Spent Fuel Storage Casks in 10 CFR 72.214 so that holders of operating power reactor licenses can use this cask under a general license. Otherwise, holders of power reactor operating licenses would have to obtain a specific license to use these casks. The modified cask would store spent fuel with control components. The currently approved VSC-24 cask cannot store spent fuel with control components.

**Timetable:**

Action	Date	FR Cite
NPRM	11/00/99	
Final Action	02/00/00	

**Regulatory Flexibility Analysis Required:** No**Small Entities Affected:** No**Government Levels Affected:** None

**Agency Contact:** Stanley P. Turel, Nuclear Regulatory Commission, Office of Nuclear Reactor Regulation, Washington, DC 20555-0001  
Phone: 301 415-6324  
Email: spt@nrc.gov

**RIN:** 3150-AG29**4574. • LIST OF APPROVED SPENT FUEL STORAGE CASKS: ADDITION OF THE TRANSNUCLEAR DRY SHIELDED CANISTER (TN-68)****Priority:** Substantive, Nonsignificant

**Reinventing Government:** This rulemaking is part of the Reinventing Government effort. It will revise text in the CFR to reduce burden or duplication, or streamline requirements.

**Legal Authority:** 42 USC 2201; 42 USC 5841**CFR Citation:** 10 CFR 72**Legal Deadline:** None

**Abstract:** The proposed rule would amend the Commission's regulations to add the Transnuclear TN-68 cask system to the List of Approved Spent Fuel Storage Casks. This amendment would allow the holders of power reactor operating licenses to store spent fuel in the TN-68 cask system under a general license. The staff evaluated the Transnuclear Safety Analysis Report (SAR) submittal and is preparing a preliminary Safety Evaluation Report (SER) on the Transnuclear SAR and the Transnuclear TN-68 cask systems. The NRC is proposing to approve the Transnuclear TN-68 cask system, for storage of spent fuel under the conditions specified in the proposed certificate of compliance. This cask, when used in accordance with the conditions specified in the certificate of compliance and NRC regulations, would meet the requirements of part 72; thus, adequate protection of the public health and safety would be ensured.

**Timetable:**

Action	Date	FR Cite
NPRM	08/23/99	64 FR 45920
NPRM Comment Period End	11/08/99	
Final Action	03/00/00	

**Regulatory Flexibility Analysis Required:** No**Small Entities Affected:** No**Government Levels Affected:** None

**Agency Contact:** Stanley P. Turel, Nuclear Regulatory Commission, Office of Nuclear Reactor Regulation, Washington, DC 20555-0001  
Phone: 301 415-6324  
Email: spt@nrc.gov

**RIN:** 3150-AG30**4575. • LIST OF APPROVED SPENT FUEL STORAGE CASKS: ADDITION OF THE HOLTEC DRY SHIELDED CANISTER - HISTORM****Priority:** Substantive, Nonsignificant

**Reinventing Government:** This rulemaking is part of the Reinventing Government effort. It will revise text in the CFR to reduce burden or duplication, or streamline requirements.

NRC

Proposed Rule Stage

**Legal Authority:** 42 USC 2201; 42 USC 5841

**CFR Citation:** 10 CFR 72

**Legal Deadline:** None

**Abstract:** The proposed rule would amend the Commission's regulations to add the Holtec International (HISTORM) cask to the list of approved spent fuel storage casks. This amendment would allow the holders of power reactor operating licenses to store spent fuel in the HISTORM cask system under a general license. The staff evaluated the Holtec International Safety Analysis Report (SAR) submittals and is preparing a preliminary Safety Evaluation Report (SER) on the Holtec International SAR and the Holtec International HISTORM cask systems. The NRC is proposing to approve the Holtec International HISTORM cask system, for storage of spent fuel under the conditions specified in the proposed certificate of compliance. This cask, when used in accordance with the conditions specified in the certificate of compliance and NRC regulations, would meet the requirements of part 72, thus, adequate protection of the public health and safety would be ensured.

**Timetable:**

Action	Date	FR Cite
NPRM	09/22/99	64 FR 51271
NPRM Comment Period End	12/06/99	
Final Action	05/00/00	

**Regulatory Flexibility Analysis Required:** No

**Small Entities Affected:** No

**Government Levels Affected:** None

**Agency Contact:** Stanley P. Turel, Nuclear Regulatory Commission, Office of Nuclear Reactor Regulation, Washington, DC 20555-0001  
Phone: 301 415-6324  
Email: spt@nrc.gov

**RIN:** 3150-AG31

**4576. • LIST OF APPROVED SPENT FUEL STORAGE CASKS: ADDITION OF THE NAC - UMS CASK**

**Priority:** Substantive, Nonsignificant

**Reinventing Government:** This rulemaking is part of the Reinventing Government effort. It will revise text in the CFR to reduce burden or

duplication, or streamline requirements.

**Legal Authority:** 42 USC 2201; 42 USC 5841

**CFR Citation:** 10 CFR 72

**Legal Deadline:** None

**Abstract:** The proposed rule would amend the Commission's regulations to add the NAC-UMS cask system to the List of Approved Spent Fuel Storage Casks. This amendment would allow the holders of power reactor operating licenses to store spent fuel in the NAC-UMS cask system under a general license. The staff evaluated the NAC-UMS Safety Analysis Report (SAR) submittal and is preparing a preliminary Safety Evaluation Report (SER) on the NAC-UMS SAR and the NAC-UMS cask systems. The NRC is proposing to approve the NAC-UMS cask system, for storage of spent fuel under the conditions specified in the proposed certificate of compliance. This cask, when used in accordance with the conditions specified in the certificate of compliance and NRC regulations, would meet the requirements of part 72; thus, adequate protection of the public health and safety would be ensured.

**Timetable:**

Action	Date	FR Cite
NPRM	01/00/00	
Final Action	07/00/00	

**Regulatory Flexibility Analysis Required:** No

**Small Entities Affected:** No

**Government Levels Affected:** None

**Agency Contact:** Stanley P. Turel, Nuclear Regulatory Commission, Office of Nuclear Reactor Regulation, Washington, DC 20555-0001  
Phone: 301 415-6324  
Email: spt@nrc.gov

**RIN:** 3150-AG32

**4577. • STORAGE OF GREATER THAN CLASS C WASTE**

**Priority:** Substantive, Nonsignificant

**Reinventing Government:** This rulemaking is part of the Reinventing Government effort. It will revise text in the CFR to reduce burden or duplication, or streamline requirements.

**Legal Authority:** 42 USC 2201; 42 USC 5841

**CFR Citation:** 10 CFR 72

**Legal Deadline:** None

**Abstract:** The proposed rule would amend the Commission's regulations to expand the scope of part 72 to include storage of Greater than Class C (GTCC) waste, that is, waste that exceeds the concentration limits of radionuclides established for Class C waste in 10 CFR 61.55(a)(2)(iv). It is anticipated that the decommissioning activities at nuclear power plants will generate relatively small volumes of GTCC waste. However, because there are currently no disposal options for GTCC waste, utilities must store these wastes under their part 50 licenses pending development of a disposal facility. The Department of Energy has the responsibility for developing a national strategy for disposal of GTCC waste. Based on current plans, this disposal capability will not likely be available for many years. This rule would allow independent spent fuel storage installations to store GTCC waste similar to storage of spent fuel and facilitate the likely eventual transfer to a permanent geologic repository. This proposed rule will respond to a petition for rulemaking submitted by the Portland General Electric Company (PRM-72-2).

**Timetable:**

Action	Date	FR Cite
NPRM	03/00/00	
Final Action	03/00/01	

**Regulatory Flexibility Analysis Required:** No

**Small Entities Affected:** No

**Government Levels Affected:** None

**Agency Contact:** Mark Haisfield, Nuclear Regulatory Commission, Office of Nuclear Material Safety and Safeguards, Washington, DC 20555-0001

Phone: 301 415-6196

Email: mfh@nrc.gov

**RIN:** 3150-AG33

**4578. • LIST OF APPROVED SPENT FUEL STORAGE CASKS: ADDITION OF THE TN WEST AMENDMENT 2 (TNW) SPENT FUEL STORAGE CASK SYSTEM**

**Priority:** Substantive, Nonsignificant

**Reinventing Government:** This rulemaking is part of the Reinventing Government effort. It will revise text in

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the CFR to reduce burden or duplication, or streamline requirements.

**Legal Authority:** 42 USC 2201; 42 USC 5841

**CFR Citation:** 10 CFR 72

**Legal Deadline:** None

**Abstract:** The proposed rule would amend the Commission's regulations to add the TN West Amendment 2 (TNW) Spent Fuel Storage Cask System to the List of Approved Spent Fuel Storage Casks in 10 CFR 72.214 so that holders of operating power reactor licenses can use this cask under a general license. Otherwise, holders of power reactor operating licenses would have to obtain a specific license to use these casks.

**Timetable:**

Action	Date	FR Cite
NPRM	11/00/99	
Final Action	03/00/00	

**Regulatory Flexibility Analysis Required:** No

**Small Entities Affected:** No

**Government Levels Affected:** None

**Agency Contact:** Stanley P. Turel, Nuclear Regulatory Commission, Office of Nuclear Reactor Regulation, Washington, DC 20555-0001  
Phone: 301 415-6324  
Email: spt@nrc.gov

**RIN:** 3150-AG34

#### 4579. • LIST OF APPROVED SPENT FUEL STORAGE CASKS: ADDITION OF THE TRANSTOR STORAGE CASK

**Priority:** Substantive, Nonsignificant

**Reinventing Government:** This rulemaking is part of the Reinventing Government effort. It will revise text in the CFR to reduce burden or duplication, or streamline requirements.

**Legal Authority:** 42 USC 2201; 42 USC 5841

**CFR Citation:** 10 CFR 72

**Legal Deadline:** None

**Abstract:** The proposed rule would amend the Commission's regulations to add the Transtor-Storage cask system to the list of approved spent fuel storage casks. This rulemaking would allow the holders of power reactor operating licenses to store spent fuel in the Transtor-Storage cask system under a general license. The NRC staff

evaluated the Transtor-Storage Safety Analysis Report (SAR) submittals and is preparing a preliminary Safety Evaluation Report (SER) on the Transtor-Storage SAR and the Transtor-Storage cask systems. The NRC is proposing to approve the Transtor-Storage cask system for storage of spent fuel under the conditions specified in the proposed certificate of compliance. This cask, when used in accordance with the conditions specified in the certificate of compliance and NRC regulations, will meet the requirements of part 72; thus, adequate protection of the public health and safety will be ensured.

**Timetable:**

Action	Date	FR Cite
NPRM	01/00/00	
Final Action	07/00/00	

**Regulatory Flexibility Analysis Required:** No

**Small Entities Affected:** No

**Government Levels Affected:** None

**Agency Contact:** Stanley P. Turel, Nuclear Regulatory Commission, Office of Nuclear Reactor Regulation, Washington, DC 20555-0001  
Phone: 301 415-6324  
Email: spt@nrc.gov

**RIN:** 3150-AG35

#### 4580. • REVISION OF CERTIFICATES OF COMPLIANCE FOR THE VSC-24 DRY SPENT FUEL STORAGE CASK, AMENDMENT 2

**Priority:** Substantive, Nonsignificant

**Reinventing Government:** This rulemaking is part of the Reinventing Government effort. It will revise text in the CFR to reduce burden or duplication, or streamline requirements.

**Legal Authority:** 42 USC 2201; 42 USC 5841

**CFR Citation:** 10 CFR 72

**Legal Deadline:** None

**Abstract:** The final rule amends the Commission's regulations to revise the Pacific Sierra Nuclear Associates (PSNA) VSC-24, amendment 2 cask system listing so that holders of operating power reactor licenses can use the cask under a general license. Otherwise, holders of power reactor operating licenses would have to obtain a specific license to use these casks.

The modified cask will store spent fuel with control components. The currently approved VSC-24 cask cannot store spent fuel with control components.

**Timetable:**

Action	Date	FR Cite
NPRM	11/00/99	
Final Action	05/00/00	

**Regulatory Flexibility Analysis Required:** No

**Small Entities Affected:** No

**Government Levels Affected:** None

**Agency Contact:** Stanley P. Turel, Nuclear Regulatory Commission, Office of Nuclear Reactor Regulation, Washington, DC 20555-0001  
Phone: 301 415-6324  
Email: spt@nrc.gov

**RIN:** 3150-AG36

#### 4581. • ADDITION OF CERTIFICATES FOR THE NAC INTERNATIONAL (NAC) MULTI-PURPOSE CANISTER (MPC) CASK SYSTEM (NAC-MPC SYSTEM)

**Priority:** Substantive, Nonsignificant

**Reinventing Government:** This rulemaking is part of the Reinventing Government effort. It will revise text in the CFR to reduce burden or duplication, or streamline requirements.

**Legal Authority:** 42 USC 2201; 42 USC 5801

**CFR Citation:** 10 CFR 72

**Legal Deadline:** None

**Abstract:** The proposed rule would amend the Commission's regulations to add the NAC International (NAC) Multi-Purpose Canister cask system (NAC-MPC system) to the List of Approved Spent Fuel Storage Casks in 10 CFR 72.214 so that holders of operating power reactor licenses can use this cask under a general license. Otherwise, holders of power reactor operating licenses would have to obtain a specific license to use these casks.

**Timetable:**

Action	Date	FR Cite
NPRM	08/23/99	64 FR 45918
NPRM Comment Period End	11/08/99	
Final Action	02/00/00	

**Regulatory Flexibility Analysis Required:** No

**Small Entities Affected:** No

**Government Levels Affected:** None

**Agency Contact:** Stanley P. Turel,  
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of Nuclear Reactor Regulation,  
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Email: spt@nrc.gov  
RIN: 3150-AG37

**Nuclear Regulatory Commission (NRC)**

**4582. INDUSTRY CODES AND STANDARDS; AMENDED REQUIREMENTS**

**Priority:** Substantive, Nonsignificant  
**Reinventing Government:** This rulemaking is part of the Reinventing Government effort. It will revise text in the CFR to reduce burden or duplication, or streamline requirements.

**Legal Authority:** 42 USC 2201; 42 USC 5841

**CFR Citation:** 10 CFR 50

**Legal Deadline:** None

**Abstract:** The final rule amends the Commission's regulations that incorporate by reference section III of the ASME Boiler and Pressure Vessel Code (ASME BPV Code) for construction of Class 1, 2, and 3 components in nuclear power plants, and use of section XI of the ASME BPV Code for inservice inspection (ISI) and inservice testing (IST) of those components. The rulemaking includes expedited implementation of section XI appendix VIII, Performance Demonstration for Ultrasonic Examination Systems. In addition, the rule incorporates by reference the ASME Operation and Maintenance (OM) Code to replace the section XI requirements for IST. The latter action is made necessary by the ASME Code changes that transferred all responsibility for IST from section XI to the ASME Operation and Maintenance Committee.

**Timetable:**

Action	Date	FR Cite
NPRM	12/03/97	62 FR 63892
NPRM Comment Period End	03/03/98	
NPRM Comment Period Extended to	04/03/98	63 FR 3673
Final Action	09/22/99	64 FR 51370
Final Action Effective	11/22/99	

**Regulatory Flexibility Analysis Required:** No

**Government Levels Affected:** None

**Agency Contact:** Thomas Scarbrough,  
Nuclear Regulatory Commission, Office

of Nuclear Reactor Regulation,  
Washington, DC 20555-0001  
Phone: 301-415-2794  
Email: tgs@nrc.gov

RIN: 3150-AE26

**4583. FITNESS FOR DUTY**

**Priority:** Substantive, Nonsignificant  
**Reinventing Government:** This rulemaking is part of the Reinventing Government effort. It will revise text in the CFR to reduce burden or duplication, or streamline requirements.

**Legal Authority:** 42 USC 2201; 42 USC 5841

**CFR Citation:** 10 CFR 26

**Legal Deadline:** None

**Abstract:** The proposed rule would amend the Commission's regulations that establish fitness-for-duty requirements. The proposed rule would change the frequency at which licensees are required to audit their fitness-for-duty programs from annually to biennially. This proposed rule would also address the petition for rulemaking submitted by Virginia Electric and Power Company (VEPCO) (PRM-26-1), and address the Regulatory Review Group items on audit frequency and annual submittal of data.

**Timetable:**

Action	Date	FR Cite
NPRM	05/09/96	61 FR 21105
NPRM Comment Period End	08/07/96	
Final Action	12/00/99	

**Regulatory Flexibility Analysis Required:** No

**Government Levels Affected:** None

**Agency Contact:** Garmon West Jr.,  
Nuclear Regulatory Commission, Office  
of Nuclear Reactor Regulation,  
Washington, DC 20555-0001  
Phone: 301-415-1044  
Email: rpr@nrc.gov

RIN: 3150-AF12

**4584. SUBMITTAL PROCEDURES FOR DOCUMENTS**

**Priority:** Substantive, Nonsignificant  
**Reinventing Government:** This rulemaking is part of the Reinventing Government effort. It will revise text in the CFR to reduce burden or duplication, or streamline requirements.

**Legal Authority:** 42 USC 2201; 42 USC 5841

**CFR Citation:** 10 CFR 19; 10 CFR 61; 10 CFR 62; 10 CFR 72; 10 CFR 73; 10 CFR 71; 10 CFR 70; 10 CFR 74; 10 CFR 140; 10 CFR 75; 10 CFR 150; 10 CFR 36; 10 CFR 39; 10 CFR 40; 10 CFR 50; 10 CFR 51; 10 CFR 52; 10 CFR 55; 10 CFR 60; 10 CFR 20; 10 CFR 30; 10 CFR 31; 10 CFR 32; 10 CFR 34; 10 CFR 35

**Legal Deadline:** None

**Abstract:** The final rule would permit voluntary electronic submission of documents and provide procedures for submitting documents electronically. In addition, the Agency-wide Documents Access and Management System (ADAMS) is scheduled to become operational in FY 2000. Amending the regulations to permit electronic submission will facilitate the electronic capture of externally generated documents into ADAMS. The rulemaking would address and improve the document control and records management issues which are of concern to the NRC, its applicants, licensees, and members of the public by improving the process of communication, dissemination, and storage of records. In addition, the rulemaking would incorporate minor corrections to the current regulations regarding the submission of documents to the NRC, e.g., organizational, name, and phone number changes. This rulemaking is consistent with existing legislative and regulatory initiatives, such as the Paperwork Reduction Elimination Act of 1998, to reduce the information collection burden on the public and to make information more readily accessible to the public.

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**Timetable:**

Action	Date	FR Cite
Final Action	03/00/00	

**Regulatory Flexibility Analysis Required:** Yes

**Small Entities Affected:** Businesses, Governmental Jurisdictions, Organizations

**Government Levels Affected:** Undetermined

**Agency Contact:** Michael D. Collins, Nuclear Regulatory Commission, Office of the Chief Information Officer, Washington, DC 20555-0001  
Phone: 301 415-2488  
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**RIN:** 3150-AF61

**4585. MEDICAL USES OF BYPRODUCT MATERIAL**

**Priority:** Other Significant

**Reinventing Government:** This rulemaking is part of the Reinventing Government effort. It will revise text in the CFR to reduce burden or duplication, or streamline requirements.

**Legal Authority:** 42 USC 2111; 42 USC 2201; 42 USC 2232; 42 USC 2233; 42 USC 5841

**CFR Citation:** 10 CFR 35

**Legal Deadline:** None

**Abstract:** The proposed rule would amend the Commission's regulations to reflect a more risk-based approach to the regulation of the medical uses of byproduct material. Performance-oriented requirements would allow licensees the flexibility to develop procedures appropriate to their uses of byproduct material. The revision would address training and experience requirements for authorized users, RSOs, and physicists. This rulemaking would include development of associated guidance.

**Timetable:**

Action	Date	FR Cite
ANPRM	08/06/97	62 FR 42219
ANPRM Comment Period End	03/01/98	
NPRM	08/13/98	63 FR 43516
NPRM Comment Period End	12/16/98	63 FR 64829
Final Action	06/00/00	

**Regulatory Flexibility Analysis Required:** No

**Government Levels Affected:** None

**Agency Contact:** Cathy Haney, Nuclear Regulatory Commission, Office of Nuclear Material Safety and Safeguards, Washington, DC 20555-0001

Phone: 301 415-6825

Email: cxh@nrc.gov

**RIN:** 3150-AF74

**4586. MODIFICATION TO EVENT REPORTING REQUIREMENTS FOR POWER REACTORS**

**Priority:** Substantive, Nonsignificant

**Reinventing Government:** This rulemaking is part of the Reinventing Government effort. It will revise text in the CFR to reduce burden or duplication, or streamline requirements.

**Legal Authority:** 42 USC 2201; 42 USC 5841

**CFR Citation:** 10 CFR 050

**Legal Deadline:** None

**Abstract:** The advance notice of proposed rulemaking (ANPRM) was published to request public comment on the Commission's event reporting requirements for nuclear power reactors contained in sections 50.72 and 50.73. The rulemaking would reduce or eliminate the reporting burden associated with events of little or no risk or safety significance, and better align the rules with the NRC's current needs, including revising reporting requirements based on importance to risk and extending the required reporting times consistent with the need for prompt NRC action.

**Timetable:**

Action	Date	FR Cite
ANPRM	07/23/98	63 FR 39522
ANPRM Comment Period End	09/21/98	
NPRM	07/06/99	64 FR 36291
NPRM Comment Period End	09/20/99	
Final Action	04/00/00	

**Regulatory Flexibility Analysis Required:** No

**Government Levels Affected:** None

**Agency Contact:** Dennis P. Allison, Nuclear Regulatory Commission, Office of Nuclear Reactor Regulation, Washington, DC 20555-0001

Phone: 301 415-6835

Email: dpa@nrc.gov

**RIN:** 3150-AF98

**4587. DISPOSAL OF HIGH-LEVEL RADIOACTIVE WASTE IN A PROPOSED GEOLOGIC REPOSITORY AT YUCCA MOUNTAIN, NEVADA**

**Priority:** Substantive, Nonsignificant

**Legal Authority:** 42 USC 2201; 42 USC 5841

**CFR Citation:** 10 CFR 063

**Legal Deadline:** Other, Statutory, Energy Policy Act of 1992, Energy Policy Act of 1992.

**Abstract:** The proposed rule would establish regulations as directed by statute (Energy Policy Act of 1992) for the disposal of high-level waste at Yucca Mountain. The proposed rule would state that the more generic requirements in the existing part 60 do not apply and cannot be the subject of litigation in any NRC licensing proceeding for Yucca Mountain.

**Timetable:**

Action	Date	FR Cite
NPRM	02/22/99	64 FR 8640
NPRM Comment Period End	06/30/99	64 FR 24092
Final Action	01/00/00	

**Regulatory Flexibility Analysis Required:** No

**Government Levels Affected:** None

**Agency Contact:** Tim McCartin, Nuclear Regulatory Commission, Office of Nuclear Material Safety and Safeguards, Washington, DC 20555-0001

Phone: 301 415-6681

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**RIN:** 3150-AG04

**4588. USE OF POTASSIUM IODIDE (KI) BY THE GENERAL PUBLIC AFTER A SEVERE ACCIDENT AT A NUCLEAR POWER PLANT**

**Priority:** Substantive, Nonsignificant

**Legal Authority:** 42 USC 2201; 42 USC 5841

**CFR Citation:** 10 CFR 050

**Legal Deadline:** None

**Abstract:** The proposed rule would amend the Commission's regulations to require that consideration be given to include potassium iodide (KI) in conjunction with sheltering and evacuation as a protective measure for the general public. The proposed rule would address two petitions for rulemaking submitted by Peter Crane (PRM-50-63 and PRM-50-63A).

**Timetable:**

Action	Date	FR Cite
NPRM	06/14/99	64 FR 31737
NPRM Comment Period End	09/14/99	
Final Action	12/00/99	

**Regulatory Flexibility Analysis Required:** No

**Small Entities Affected:** No

**Government Levels Affected:** None

**Agency Contact:** Michael T. Jamgochian, Nuclear Regulatory Commission, Office of Nuclear Reactor Regulation, Washington, DC 20555-0001

Phone: 301 415-3224

Email: mtj1@nrc.gov

RIN: 3150-AG11

**4589. REVISED SOURCE TERM USE AT OPERATING REACTORS**

**Priority:** Substantive, Nonsignificant

**Reinventing Government:** This rulemaking is part of the Reinventing Government effort. It will revise text in the CFR to reduce burden or duplication, or streamline requirements.

**Legal Authority:** 42 USC 2201; 42 USC 5841

**CFR Citation:** 10 CFR 021; 10 CFR 050

**Legal Deadline:** None

**Abstract:** The proposed rule would amend the Commission's regulations to allow holders of operating licenses for nuclear power plants to voluntarily replace the traditional source term used in design basis accident analyses with a revised source term. This revised source term was developed from the results of a major research effort to obtain a better understanding of fission-product transport and release mechanisms in light-water reactors under severe accident conditions. This action would allow interested licensees to pursue cost beneficial licensing actions to reduce regulatory burden without compromising the margin of safety of the facility. The Commission is also proposing to amend its regulations to revise certain sections to conform with the final rule published on December 11, 1996 (61 FR 65157).

**Timetable:**

Action	Date	FR Cite
NPRM	03/11/99	64 FR 12117

Action	Date	FR Cite
NPRM Comment Period End	05/25/99	
Final Action	01/00/00	

**Regulatory Flexibility Analysis Required:** No

**Small Entities Affected:** No

**Government Levels Affected:** None

**Agency Contact:** Stephen LaVie, Nuclear Regulatory Commission, Office of Nuclear Reactor Regulation, Washington, DC 20555-0001

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RIN: 3150-AG12

**4590. APPLICATION FOR SPECIFIC LICENSES**

**Priority:** Info./Admin./Other

**Reinventing Government:** This rulemaking is part of the Reinventing Government effort. It will revise text in the CFR to reduce burden or duplication, or streamline requirements.

**Legal Authority:** 42 USC 2111; 42 USC 2112; 42 USC 2201; 42 USC 2232; 42 USC 2233; 42 USC 2234; 42 USC 2236; 42 USC 2237; 42 USC 2282; 42 USC 5841; 42 USC 5842; 42 USC 5846; 42 USC 5851

**CFR Citation:** 10 CFR 030

**Legal Deadline:** None

**Abstract:** The direct final rule will amend the Commission's regulations to include specific information on an application for a specific license to use byproduct material in the form of a sealed source or in a device that contains the sealed source. The information that licensees are required to provide is the identity of the source or device, by manufacturer and model number, as registered with the Commission under section 32.210, or with an Agreement State. The proposed revision to section 30.32(g) will eliminate the prescriptive requirements associated with supplying specific information about the source or device and instead will require the licensee to commit to using only sealed sources or devices that are registered with the NRC under section 32.210, or with an Agreement State.

**Timetable:**

Action	Date	FR Cite
Final Action	02/00/00	

**Regulatory Flexibility Analysis Required:** No

**Small Entities Affected:** No

**Government Levels Affected:** None

**Agency Contact:** Jayne M. McCausland, Nuclear Regulatory Commission, Office of Nuclear Material Safety and Safeguards, Washington, DC 20555-0001

Phone: 301 415-6219

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RIN: 3150-AG13

**4591. ENERGY COMPENSATION SOURCES FOR WELL LOGGING**

**Priority:** Substantive, Nonsignificant

**Reinventing Government:** This rulemaking is part of the Reinventing Government effort. It will revise text in the CFR to reduce burden or duplication, or streamline requirements.

**Legal Authority:** 42 USC 2201; 42 USC 5841

**CFR Citation:** 10 CFR 039

**Legal Deadline:** None

**Abstract:** The proposed rule would amend the Commission's regulations to allow small energy compensation sources (ECS) used for well logging to be treated differently than the traditional larger well logging sources. Since part 39 was written, the industry has developed new technology that allows logging operations to be done concurrently with drilling. Even newer technology separates the ECS and the logging tool from the larger logging source to allow easier retrieval of the logging source in the event the drill stem becomes unretrievable. This technology requires an additional small source (less than 0.0001 Curie) versus the normal 3 to 20 Curie well logging sources. Many requirements in part 39 are not appropriate or necessary for protecting public health and safety and the environment for ECSs. However, because part 39 did not envision these small sources, the requirements were not written to allow variations in the requirements based on the source. The rulemaking would modify the regulations in part 39 to define an ECS and provide appropriate regulations for their use in well logging. The change would reduce regulatory burden with minimal impact to public health and safety. In addition, there are other

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sections that would be changed to improve, clarify, and update part 39.

**Timetable:**

Action	Date	FR Cite
NPRM	04/19/99	64 FR 19089
NPRM Comment	07/05/99	
Period End		
Final Action	04/00/00	

**Regulatory Flexibility Analysis Required:** No

**Small Entities Affected:** No

**Government Levels Affected:** None

**Agency Contact:** Mark Haisfield, Nuclear Regulatory Commission, Office of Nuclear Material Safety and Safeguards, Washington, DC 20555-0001  
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Email: mfh@nrc.gov

RIN: 3150-AG14

**4592. DESIGN CERTIFICATION FOR AP600**

**Priority:** Substantive, Nonsignificant

**Legal Authority:** 42 USC 2201; 42 USC 5841

**CFR Citation:** 10 CFR 52

**Legal Deadline:** None

**Abstract:** The proposed rule would amend the Commission's regulations to provide certification of the Westinghouse AP600 standard plant design. Design certification regulations are initiated by an applicant for design certification pursuant to subpart B of part 52. A major purpose of part 52 is to achieve early resolution of safety

issues and provide a more stable and predictable licensing process.

**Timetable:**

Action	Date	FR Cite
NPRM	05/20/99	64 FR 27625
NPRM Comment	08/03/99	
Period End		
Final Action	12/00/99	

**Regulatory Flexibility Analysis Required:** No

**Government Levels Affected:** None

**Agency Contact:** Jerry N. Wilson, Nuclear Regulatory Commission, Office of Nuclear Reactor Regulation, Washington, DC 20555-0001  
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RIN: 3150-AG23

## Nuclear Regulatory Commission (NRC)

## Long-Term Actions

**4593. ADDITION OF RADON-222 AND TECHNETIUM-99 VALUES TO TABLE S-3 AND REVISIONS RESULTING FROM CONSIDERATION OF HIGHER-BURNUP FUEL**

**Priority:** Substantive, Nonsignificant

**CFR Citation:** 10 CFR 51

**Timetable:**

Action	Date	FR Cite
NPRM	03/04/81	46 FR 15154
NPRM Comment	05/04/81	
Period End		
Second NPRM	To Be Determined	

**Regulatory Flexibility Analysis Required:** No

**Government Levels Affected:** None

**Agency Contact:** Sandra D. Frattali  
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Email: sdf@nrc.gov

RIN: 3150-AA31

**Regulatory Flexibility Analysis Required:** No

**Government Levels Affected:** None

**Agency Contact:** Harry S. Tovmassian  
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RIN: 3150-AB01

**4595. DISPOSAL BY RELEASE INTO SANITARY SEWERAGE**

**Priority:** Substantive, Nonsignificant

**CFR Citation:** 10 CFR 20

**Timetable:**

Action	Date	FR Cite
ANPRM	02/25/94	59 FR 9146
ANPRM Comment	05/26/94	
Period End		
NPRM	To Be Determined	

**Regulatory Flexibility Analysis Required:** No

**Government Levels Affected:** None

**Agency Contact:** Anthony M. Huffert  
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RIN: 3150-AE90

**4594. CRITERIA FOR AN EXTRAORDINARY NUCLEAR OCCURRENCE**

**Priority:** Substantive, Nonsignificant

**CFR Citation:** 10 CFR 140

**Timetable:**

Action	Date	FR Cite
NPRM	04/09/85	50 FR 13978
NPRM Comment	09/06/85	
Period End		
Final Action	To Be Determined	

**4596. FINANCIAL PROTECTION REQUIREMENTS FOR PERMANENTLY SHUTDOWN NUCLEAR POWER REACTORS**

**Priority:** Substantive, Nonsignificant

**CFR Citation:** 10 CFR 50; 10 CFR 140

**Timetable:**

Action	Date	FR Cite
NPRM	10/30/97	62 FR 58690
NPRM Comment	01/13/98	
Period End		
NPRM (Revision)	09/23/98	63 FR 50815
Final Action	To Be Determined	

**Regulatory Flexibility Analysis Required:** No

**Government Levels Affected:** None

**Agency Contact:** Richard F. Dudley  
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RIN: 3150-AF79

**4597. EMERGENCY PLANNING REQUIREMENTS FOR PERMANENTLY SHUTDOWN NUCLEAR POWER PLANT SITES AND NON-POWER REACTORS**

**Priority:** Substantive, Nonsignificant

**CFR Citation:** 10 CFR 50

**Timetable:**

Action	Date	FR Cite
NPRM	To Be Determined	

**Regulatory Flexibility Analysis Required:** No  
**Government Levels Affected:** None  
**Agency Contact:** Richard F. Dudley  
 Phone: 301 415-1116  
 Email: rfd@nrc.gov  
**RIN:** 3150-AF92

**Regulatory Flexibility Analysis Required:** Undetermined  
**Government Levels Affected:** Undetermined  
**Agency Contact:** Markley L. Au  
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**RIN:** 3150-AG16

**Timetable:**

Action	Date	FR Cite
NPRM	To Be Determined	

**4598. GEOLOGICAL AND SEISMOLOGICAL CHARACTERISTICS OF SPENT FUEL STORAGE SYSTEMS**  
**Priority:** Substantive, Nonsignificant  
**CFR Citation:** 10 CFR 072

**4599. ALLOW USE OF PERSONNEL DOSIMETERS THAT ARE PROCESSED USING A NEW DOSIMETER READOUT TECHNOLOGY**

**Regulatory Flexibility Analysis Required:** Undetermined  
**Government Levels Affected:** None  
**Agency Contact:** Donald O. Nellis  
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 Email: don@nrc.gov  
**RIN:** 3150-AG21

**Timetable:**

Action	Date	FR Cite
NPRM	To Be Determined	

**Priority:** Substantive, Nonsignificant  
**CFR Citation:** 10 CFR 020; 10 CFR 034; 10 CFR 036; 10 CFR 039.

**Nuclear Regulatory Commission (NRC)**

**Completed Actions**

**4600. STANDARDIZED PLANT DESIGNS, EARLY REVIEW OF SITE SUITABILITY ISSUES; CLARIFYING AMENDMENTS**

of Nuclear Reactor Regulation, Washington, DC 20555-0001  
 Phone: 301 415-3145  
 Email: jnw@nrc.gov  
**RIN:** 3150-AE25

FASA, FARA, and ITMRA is to streamline procurement processes within the Federal Government. Implementing instructions are needed for some of these processes. In addition, the NRC's PRL requires the NRC to streamline and simplify procedures in the NRCAR wherever possible.

**Priority:** Substantive, Nonsignificant  
**Reinventing Government:** This rulemaking is part of the Reinventing Government effort. It will revise text in the CFR to reduce burden or duplication, or streamline requirements.

**4601. NUCLEAR REGULATORY COMMISSION ACQUISITION REGULATION**  
**Priority:** Substantive, Nonsignificant  
**Reinventing Government:** This rulemaking is part of the Reinventing Government effort. It will revise text in the CFR to reduce burden or duplication, or streamline requirements.

**Timetable:**

Action	Date	FR Cite
NPRM	12/08/98	63 FR 67726
NPRM Comment Period End	02/22/99	
Final Action	09/10/99	64 FR 49322
Final Action Effective	10/12/99	

**Legal Authority:** 42 USC 2201; 42 USC 5841

**Legal Authority:** 41 USC 251 note; 42 USC 251 note; 40 USC 1401 note

**CFR Citation:** 10 CFR 50; 10 CFR 52; 10 CFR 140

**CFR Citation:** 48 CFR 20

**Legal Deadline:** None

**Legal Deadline:** None

**Abstract:** The proposed rule would have amended the Commission's regulations by deleting Appendices M, N, O, and Q from 10 CFR part 50. This proposed rule has been subsumed by the proposed rule, "Lessons Learned from Design Certification," (RIN 3150-AG24), and has been incorporated into that rule.

**Abstract:** The final rule amends the Nuclear Regulatory Commission Acquisition Regulation (NRCAR) for the procurement of goods and services within the NRC to satisfy the particular needs of the agency. The final rule incorporates streamlining and simplification methods identified under the NRC's Procurement Reinvention Laboratory (PRL) and legislated under the Federal Acquisition Streamlining Act of 1994 (FASA), the Federal Acquisition Reform Act of 1996 (FARA), and the Information Technology Management Reform Act (ITMRA) of 1996. The intent of the

**Regulatory Flexibility Analysis Required:** Yes

**Small Entities Affected:** Businesses

**Government Levels Affected:** Undetermined

**Procurement:** This is a procurement-related action for which there is no statutory requirement. There is no paperwork burden associated with this action.

**Timetable:**

Action	Date	FR Cite
Merged With RIN 3150-AG24	06/30/99	

**Agency Contact:** Mary Lynn Scott, Nuclear Regulatory Commission, Office of Administration, Washington, DC 20555-0001  
 Phone: 301 415-6179  
 Email: mls2@nrc.gov

**Regulatory Flexibility Analysis Required:** No  
**Government Levels Affected:** None  
**Agency Contact:** Jerry N. Wilson, Nuclear Regulatory Commission, Office

**RIN:** 3150-AF52

**NRC**

**Completed Actions**

**4602. INITIAL OPERATOR LICENSE EXAMINATION REQUIREMENTS**

**Priority:** Substantive, Nonsignificant

**Reinventing Government:** This rulemaking is part of the Reinventing Government effort. It will revise text in the CFR to reduce burden or duplication, or streamline requirements.

**Legal Authority:** 42 USC 2201; 42 USC 5841

**CFR Citation:** 10 CFR 55

**Legal Deadline:** None

**Abstract:** The final rule amends the Commission's regulations to require power reactor facility licensees to prepare the written examinations and operating tests, and to proctor and grade the written examinations, that the NRC uses to license operators and senior operators at those facilities. The final rule also requires the NRC to review and approve each examination and test before it is given and preserve the NRC's authority to prepare the examinations and tests, as necessary, to maintain examination quality and staff proficiency.

**Timetable:**

Action	Date	FR Cite
Final Action	04/23/99	64 FR 19868
Final Action Effective	10/20/99	

**Regulatory Flexibility Analysis Required:** No

**Government Levels Affected:** None

**Agency Contact:** Siegfried Guenther, Nuclear Regulatory Commission, Office of Nuclear Reactor Regulation, Washington, DC 20555-0001  
Phone: 301 415-1056  
Email: [sxg@nrc.gov](mailto:sxg@nrc.gov)

**RIN:** 3150-AF62

**4603. AUDIT FREQUENCY FOR EMERGENCY PLANNING AND SECURITY**

**Priority:** Substantive, Nonsignificant

**Reinventing Government:** This rulemaking is part of the Reinventing Government effort. It will revise text in the CFR to reduce burden or duplication, or streamline requirements.

**Legal Authority:** 42 USC 2201; 42 USC 5841

**CFR Citation:** 10 CFR 50

**Legal Deadline:** None

**Abstract:** The final rule amends the Commission's regulations by changing the frequency with which licensees conduct independent reviews, and audits of their safeguard contingency plans, security programs and emergency preparedness programs. The final rule requires that licensees conduct program reviews and audits at least every 24 months. The rule also clarifies the necessity for more frequent, focused audits to be based on an assessment by the licensee against performance indicators or a significant change in personnel, procedures, equipment, or facilities. The rule promotes performance-based, rather than compliance-based, review and audit activities. Also, the rule clarifies that programs must be reviewed and audited following a significant change in personnel, procedures, or equipment as soon as reasonably practicable, but no later than 12 months after the changes. These audits ensure that changes have not adversely affected the operation of the particular program element or function in question. This final rule also addresses PRM-50-59 and PRM-50-60 submitted by Virginia Electric and Power Company.

**Timetable:**

Action	Date	FR Cite
Final Action	03/29/99	64 FR 14814
Final Action Effective	04/28/99	

**Regulatory Flexibility Analysis Required:** No

**Government Levels Affected:** None

**Agency Contact:** Dr. Sandra D. Frattali, Nuclear Regulatory Commission, Office of Nuclear Reactor Regulation, Washington, DC 20555-0001  
Phone: 301 415-3703  
Email: [sdf@nrc.gov](mailto:sdf@nrc.gov)

**RIN:** 3150-AF63

**4604. MISCELLANEOUS CHANGES TO LICENSING REQUIREMENTS FOR THE INDEPENDENT STORAGE OF SPENT NUCLEAR FUEL AND HIGH-LEVEL RADIOACTIVE WASTE**

**Priority:** Substantive, Nonsignificant

**Reinventing Government:** This rulemaking is part of the Reinventing Government effort. It will revise text in the CFR to reduce burden or duplication, or streamline requirements.

**Legal Authority:** 42 USC 2201; 42 USC 5841

**CFR Citation:** 10 CFR 72

**Legal Deadline:** None

**Abstract:** The final rule amends the Commission's regulations to correct a number of inconsistencies and clarify the applicability of several sections of part 72. The final rule differentiates the requirements for the storage of spent fuel under wet and dry conditions, clarifies requirements for the content and submission of various reports and specifies that quality assurance records must be maintained as permanent records when identified with activities and items important to safety. This action is necessary to facilitate NRC inspections to verify compliance with reporting requirements to ensure the protection of public health and safety and the environment.

**Timetable:**

Action	Date	FR Cite
Final Action	06/22/99	64 FR 33178
Final Action Effective	08/23/99	

**Regulatory Flexibility Analysis Required:** No

**Government Levels Affected:** None

**Agency Contact:** Markley L. Au, Nuclear Regulatory Commission, Office of Nuclear Material Safety and Safeguards, Washington, DC 20555-0001

Phone: 301 415-6181

Email: [mla@nrc.gov](mailto:mla@nrc.gov)

**RIN:** 3150-AF80

**4605. RESPIRATORY PROTECTION AND CONTROLS TO RESTRICT INTERNAL EXPOSURE**

**Priority:** Substantive, Nonsignificant

**Reinventing Government:** This rulemaking is part of the Reinventing Government effort. It will revise text in the CFR to reduce burden or duplication, or streamline requirements.

**Legal Authority:** 42 USC 2073; 42 USC 2093; 42 USC 2095; 42 USC 2111; 42 USC 2133; 42 USC 2134; 42 USC 2201; 42 USC 2232; 42 USC 2236

**CFR Citation:** 10 CFR 20

**Legal Deadline:** None

**Abstract:** The final rule amends the Commission's regulations to incorporate into part 20 an industry standard developed by the American National Standards Institute (ANSI) standard Z88.2-1992, "American

National Standard Practice for Respiratory Protection."

**Timetable:**

Action	Date	FR Cite
NPRM	07/17/98	63 FR 38511
NPRM Comment Period End	09/30/98	
Final Action	10/07/99	64 FR 54543
Final Action Effective	02/04/00	

**Regulatory Flexibility Analysis Required:** No

**Government Levels Affected:** None

**Agency Contact:** Alan K. Roecklein, Nuclear Regulatory Commission, Office of Nuclear Reactor Regulation, Washington, DC 20555-0001  
Phone: 301 415-3883  
Email: akr@nrc.gov  
**RIN:** 3150-AF81

#### 4606. CERTIFICATION RENEWAL AMENDMENT PROCESS

**Priority:** Substantive, Nonsignificant

**Legal Authority:** 42 USC 2201; 42 USC 2297b-11; 42 USC 2297f; 42 USC 5841; 42 USC 5842; 42 USC 5845; 42 USC 5846; 42 USC 2243(a); 42 USC 5851; 42 USC 2243(f); 42 USC 2152

**CFR Citation:** 10 CFR 76

**Legal Deadline:** None

**Abstract:** The final rule amends the Commission's regulations that apply to gaseous diffusion plants. This final rule modifies the process for certificate renewals, establishes a process for certificate amendment comparable to the process currently used to amend a fuel cycle license, revises the appeal process for amendments, eliminates the significant designation for amendments, simplifies the criteria for persons who are eligible to file a petition for review of an amendment action, removes references to the initial application because the initial certificates have been issued, and lengthens the time periods associated with filing a petition for review.

**Timetable:**

Action	Date	FR Cite
Final Action	08/17/99	64 FR 44645
Final Action Effective	09/16/99	

**Regulatory Flexibility Analysis Required:** No

**Government Levels Affected:** None

**Agency Contact:** John Telford, Office of Nuclear Material Safety and

Safeguards, Nuclear Regulatory Commission, Washington, DC 20555-0001

Phone: 301 415-6229

Email: jlt@nrc.gov

**RIN:** 3150-AF85

#### 4607. EXPAND APPLICABILITY TO INCLUDE ADDITIONAL PARTIES

**Priority:** Substantive, Nonsignificant

**Legal Authority:** 42 USC 2201; 42 USC 5841

**CFR Citation:** 10 CFR 72

**Legal Deadline:** None

**Abstract:** The final rulemaking corrects a weakness in section 72.11 by expanding its scope to include holders of and applicants for certificates of compliance; fabricators, designers, and vendors of casks; their employees; and the employees of their contractors, subcontractors, and consultants. The correction clarifies that they may be subject to enforcement action for submitting to the NRC information that is not complete and accurate in all material respects. Because of these limited specific requirements in part 72 for parties other than licensees, the Commission has been unable to issue notices of violation to other parties involved in ISFSI safety-related functions. The staff believes there may be safety consequences resulting from this weakness. The ability to issue notices of violation to these parties would improve the effectiveness of the NRC's inspection and enforcement programs in assuring compliance with the Commission's regulations.

**Timetable:**

Action	Date	FR Cite
NPRM	07/23/98	63 FR 39526
NPRM Comment Period End	10/06/98	
Final Action	10/15/99	64 FR 56114
Final Action Effective	12/14/99	

**Regulatory Flexibility Analysis Required:** Yes

**Small Entities Affected:** Businesses, Governmental Jurisdictions, Organizations

**Government Levels Affected:** None

**Agency Contact:** Anthony J. DiPalo, Nuclear Regulatory Commission, Office of Nuclear Material Safety and Safeguards, Washington, DC 20555-0001  
Phone: 301 415-6191

Email: ajd@nrc.gov

**RIN:** 3150-AF93

#### 4608. CHANGES, TESTS, AND EXPERIMENTS

**Priority:** Substantive, Nonsignificant

**Legal Authority:** 42 USC 2201; 42 USC 5841

**CFR Citation:** 10 CFR 50

**Legal Deadline:** None

**Abstract:** The final rule amends the Commission's regulations concerning authority of licensees for production or utilization facilities to make changes to their facilities or procedures, without prior NRC approval. The rule clarifies the criteria that determine when prior approval is needed.

**Timetable:**

Action	Date	FR Cite
NPRM	10/21/98	63 FR 56098
NPRM Comment Period End	12/21/98	
Final Action	10/04/99	64 FR 53582
Final Action Effective	02/01/00	

**Regulatory Flexibility Analysis Required:** No

**Government Levels Affected:** None

**Agency Contact:** Eileen McKenna, Nuclear Regulatory Commission, Office of Nuclear Reactor Regulation, Washington, DC 20555-0001  
Phone: 301 415-2189  
Email: emm@nrc.gov

**RIN:** 3150-AF94

#### 4609. REQUIREMENTS FOR MONITORING THE EFFECTIVENESS OF MAINTENANCE AT NUCLEAR POWER PLANTS

**Priority:** Substantive, Nonsignificant

**Legal Authority:** 42 USC 2201; 42 USC 5841

**CFR Citation:** 10 CFR 50

**Legal Deadline:** None

**Abstract:** The final rule amends the Commission's regulations to require that safety assessments be taken into account before performing maintenance activities.

**Timetable:**

Action	Date	FR Cite
NPRM	09/30/98	63 FR 52201
NPRM Comment Period End	12/14/98	
Final Action	07/19/99	64 FR 38551

## NRC

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**Regulatory Flexibility Analysis****Required:** No**Government Levels Affected:** None**Additional Information:** Final action effective 120 days after reissuance of revision 3 to Regulatory Guide 1.160.**Agency Contact:** Richard Correia, Nuclear Regulatory Commission, Office of Nuclear Reactor Regulation, Washington, DC 20555-0001

Phone: 301 415-1009

Email: rpc@nrc.gov

RIN: 3150-AF95

**4610. CODES AND STANDARDS; IEEE NATIONAL CONSENSUS STANDARD****Priority:** Substantive, Nonsignificant**Legal Authority:** 42 USC 2201; 42 USC 5841**CFR Citation:** 10 CFR 50**Legal Deadline:** None**Abstract:** The final rule amends the Commission's regulations to incorporate by reference IEEE Std. 603-1991, "Criteria for Safety Systems for Nuclear Power Generating Stations," a national consensus standard for power, instrumentation, and control portions of safety systems in nuclear power plants. This action is necessary to endorse the latest version of this national consensus standard in NRC's regulations.**Timetable:**

Action	Date	FR Cite
Final Action	04/13/99	64 FR 17944
Final Action Effective	05/13/99	

**Regulatory Flexibility Analysis****Required:** No**Government Levels Affected:** None**Agency Contact:** Satish K. Aggarwal, Nuclear Regulatory Commission, Office of Nuclear Reactor Regulation, Washington, DC 20555-0001

Phone: 301 415-6005

Email: ska@nrc.gov

RIN: 3150-AF96

**4611. CONFORMANCE TO NATIONAL POLICIES FOR ACCESS TO AND PROTECTION OF CLASSIFIED INFORMATION****Priority:** Substantive, Nonsignificant**Legal Authority:** 42 USC 2165; 42 USC 220; 42 USC 2273; 42 USC 5841; EO 12829; EO 12958; EO 10865**CFR Citation:** 10 CFR 02; 10 CFR 10; 10 CFR 11; 10 CFR 25; 10 CFR 95**Legal Deadline:** None**Abstract:** The final rule amends the Commission's regulations by conforming NRC regulations to national requirements for the protection of and access to classified National Security Information and Restricted Data, including revised personnel security due process procedures; a new requirement for a facility clearance for those licensees or others who require access to classified information at a facility other than their own; additional information on the scope and reporting requirements for the Foreign Ownership, Control or Influence (FOCI) program; a requirement for a foreign visitor control program; a change to the period between reinvestigations for "L" and "R" access authorizations from five years to ten years; a change to the fee schedules due to a change in the investigative requirements for "Q", "L", "U", and "R" access authorizations; changes to the security classification markings to conform to Executive Order 12958; and greater specificity as to when particular reports are required. Additionally, the term "classified matter protection plans" has been added to part 2.790 for the purpose of clarity. Also, the final rule includes administrative matters such as modified definitions to reflect a change in responsibility for certain decisions from the Executive Director for Operations to the Deputy Executive Director for Management Services and revisions to a number of definitions in all four parts to reflect a change in the name of the Division of Security to the Division of Facilities and Security.**Timetable:**

Action	Date	FR Cite
Final Action	04/01/99	64 FR 15636
Final Action Effective	05/03/99	

**Regulatory Flexibility Analysis****Required:** No**Government Levels Affected:** None**Agency Contact:** James J. Dunleavy, Nuclear Regulatory Commission, Office of Administration, Washington, DC 20555-0001

Phone: 301 415-7404

Email: jjd1@nrc.gov

RIN: 3150-AF97

**4612. ELIMINATION OF REPORTING REQUIREMENT AND 30-DAY HOLD OF INDEPENDENT SPENT FUEL STORAGE OR MONITORED RETRIEVABLE STORAGE INSTALLATIONS IN LOADING SPENT FUEL AFTER PREOPERATIONAL TESTING****Priority:** Substantive, Nonsignificant**Legal Authority:** 42 USC 2201; 42 USC 5841**CFR Citation:** 10 CFR 072**Legal Deadline:** None**Abstract:** The final rule amends the Commission's regulations by shortening or eliminating the 30-day delay for the loading of spent reactor fuel into an Independent Spent Fuel Storage Installation following completion of preoperational testing.**Timetable:**

Action	Date	FR Cite
Final Action	04/12/99	64 FR 17510
Final Action Effective	05/12/99	

**Regulatory Flexibility Analysis****Required:** No**Government Levels Affected:** None**Agency Contact:** Gordon Gundersen, Nuclear Regulatory Commission, Office of Nuclear Material Safety and Safeguards, Washington, DC 20555-0001

Phone: 301 415-6195

Email: geg1@nrc.gov

RIN: 3150-AG02

**4613. ENVIRONMENTAL IMPACTS OF HIGH-LEVEL WASTE TRANSPORTATION****Priority:** Substantive, Nonsignificant**Reinventing Government:** This rulemaking is part of the Reinventing Government effort. It will revise text in the CFR to reduce burden or duplication, or streamline requirements.**Legal Authority:** 42 USC 2201; 42 USC 5841**CFR Citation:** 10 CFR 051**Legal Deadline:** None**Abstract:** The final rule amends the Commission's regulations to reflect the generic and cumulative environmental impacts of transportation of high-level waste (HLW) in the vicinity of a HLW repository. This rulemaking addresses the environmental impacts of the use

of higher burn-up fuel. Further, the impact of plant-associated traffic on local highway service levels during the renewal term is changed from Category 1 to Category 2 as it should have been designated in the initial license renewal rulemaking, based on the analysis described in NUREG-1437, "Generic Environmental Impact Statement for License Renewal of Nuclear Plants" (May 1996).

**Timetable:**

Action	Date	FR Cite
NPRM	02/26/99	64 FR 9884
NPRM Comment Period End	04/27/99	
Final Action	09/03/99	64 FR 48496
Final Action Effective	10/04/99	

**Regulatory Flexibility Analysis Required:** No

**Government Levels Affected:** None

**Agency Contact:** Donald P. Cleary, Nuclear Regulatory Commission, Office of Nuclear Reactor Regulation, Washington, DC 20555-0001  
Phone: 301 415-3903  
Email: dpc@nrc.gov

**RIN:** 3150-AG05

**4614. REQUIREMENTS FOR THE POSSESSION OF INDUSTRIAL DEVICES CONTAINING BYPRODUCT MATERIAL**

**Priority:** Substantive, Nonsignificant

**Reinventing Government:** This rulemaking is part of the Reinventing Government effort. It will revise text in the CFR to reduce burden or duplication, or streamline requirements.

**Legal Authority:** 42 USC 2201; 42 USC 5841

**CFR Citation:** 10 CFR 031

**Legal Deadline:** None

**Abstract:** The final rule amends the Commission's regulations for the possession of industrial devices containing byproduct material to include a clear and explicit requirement that device users provide information in a timely manner in response to requests made by the NRC.

**Timetable:**

Action	Date	FR Cite
Final Action	08/04/99	64 FR 42269
Final Action Effective	10/04/99	

**Regulatory Flexibility Analysis Required:** No

**Government Levels Affected:** None

**Agency Contact:** Catherine R. Mattsen, Nuclear Regulatory Commission, Office of Nuclear Material Safety and Safeguards, Washington, DC 20555-0001

Phone: 301 415-6264

Email: crm@nrc.gov

**RIN:** 3150-AG06

**4615. AVAILABILITY OF PUBLIC RECORDS AT NRC PUBLIC DOCUMENT ROOMS**

**Priority:** Substantive, Nonsignificant

**Reinventing Government:** This rulemaking is part of the Reinventing Government effort. It will revise text in the CFR to reduce burden or duplication, or streamline requirements.

**Legal Authority:** 42 USC 2201; 42 USC 5841

**CFR Citation:** 10 CFR 001; 10 CFR 002; 10 CFR 007; 10 CFR 009; 10 CFR 050; 10 CFR 052; 10 CFR 060; 10 CFR 062; 10 CFR 072; 10 CFR 075; 10 CFR 076; 10 CFR 100; 10 CFR 110

**Legal Deadline:** None

**Abstract:** The final rule revises references to the NRC Public Document Room (PDR) and Local Public Document Rooms (LPDRs) in the Commission's regulations. The rule announces the NRC's establishment of an all electronic recordkeeping system under the Agencywide Documents Access and Management System (ADAMS), and the discontinuance of placement of paper records and microfiche in the PDR and the LPDRs. The rule reflects the Commission's decision to discontinue funding of the NRC LPDR program, and the substitution of the NRC Website as the primary location for public access to NRC publicly available documents once ADAMS becomes operational.

The PDR in Washington, DC still keeps pre-ADAMS paper and microfiche records onsite and available to the public for reviewing, and copying for a fee. The PDR has computer terminals available for the public to access new documents on the NRC Website. The public may obtain copies of records by printing them from the NRC Internet Website or by ordering them from the PDR. Copies of records may be ordered from the PDR directly from the NRC Website, or by using current ordering

methods: in-person at the PDR, mail, e-mail, fax or by calling the PDR Reference Services on the toll-free 800 telephone number. Bibliographic descriptions of documents currently identified in the PDR's Bibliographic Retrieval System and in the Nuclear Documents System will be posted on the NRC Website, allowing the public to also order copies of pre-ADAMS paper and microfiche records.

**Timetable:**

Action	Date	FR Cite
NPRM	05/07/99	64 FR 24531
NPRM Comment Period End	06/21/99	
Final Action	09/09/99	64 FR 48942
Final Action Effective	10/12/99	

**Regulatory Flexibility Analysis Required:** No

**Government Levels Affected:** None

**Agency Contact:** Russell A. Powell, Nuclear Regulatory Commission, Office of the Chief Information Officer, Washington, DC 20555-0001  
Phone: 301 415-6527  
Email: rap1@nrc.gov

**RIN:** 3150-AG07

**4616. REVISION OF FEE SCHEDULES; 100 PERCENT FEE RECOVERY, FY 1999**

**Priority:** Economically Significant. Major under 5 USC 801.

**Reinventing Government:** This rulemaking is part of the Reinventing Government effort. It will revise text in the CFR to reduce burden or duplication, or streamline requirements.

**Legal Authority:** 42 USC 2201; 42 USC 5841

**CFR Citation:** 10 CFR 170; 10 CFR 171

**Legal Deadline:** Other, Statutory, September 30, 1999, Collection of Fees.

**Abstract:** The rulemaking amends the licensing, inspection, and annual fees charged to NRC licensees and applicants for an NRC license. The amendments are necessary to recover approximately 100 percent of the NRC budget authority for fiscal year 1999 less the amounts appropriated from the Nuclear Waste Fund and the General Fund. The Omnibus Budget Reconciliation Act of 1990, as amended, requires that the NRC accomplish the 100 percent recovery through the assessment of fees. The

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dollar amount to be recovered for FY 1999 is approximately \$449.6 million. The Act requires that the fees for FY 1999 must be collected by September 30, 1999.

**Timetable:**

Action	Date	FR Cite
NPRM	04/01/99	64 FR 15876
NPRM Comment Period End	05/03/99	
Final Action	06/10/99	64 FR 31447
Final Action Effective	08/09/99	

**Regulatory Flexibility Analysis****Required:** Yes

**Small Entities Affected:** Businesses, Governmental Jurisdictions, Organizations

**Government Levels Affected:** State, Local

**Agency Contact:** Glenda C. Jackson, Nuclear Regulatory Commission, Office of the Chief Financial Officer, Washington, DC 20555-0001  
Phone: 301 415-6057  
Email: gcj@nrc.gov

RIN: 3150-AG08

**4617. LIST OF APPROVED SPENT FUEL STORAGE CASKS: ADDITION OF THE HOLTEC CASK****Priority:** Substantive, Nonsignificant**Legal Authority:** 42 USC 2201; 42 USC 5841**CFR Citation:** 10 CFR 072**Legal Deadline:** None

**Abstract:** The final rule amends the Commission's regulations to add the HOLTEC International Hi-Star 100 cask system (Hi-Star) to the List of Approved Spent Fuel Storage Casks. This rulemaking allows the holders of power reactor operating licenses to store spent fuel in the Hi-Star cask system under a general license.

**Timetable:**

Action	Date	FR Cite
NPRM	01/11/99	64 FR 1542
NPRM Comment Period End	03/29/99	
Final Action	09/03/99	64 FR 48259
Final Action Effective	10/04/99	

**Regulatory Flexibility Analysis****Required:** No**Small Entities Affected:** No**Government Levels Affected:** None

**Agency Contact:** Stanley P. Turel, Nuclear Regulatory Commission, Office of Nuclear Reactor Regulation, Washington, DC 20555-0001  
Phone: 301 415-6324  
Email: spt@nrc.gov

RIN: 3150-AG17

**4618. INFORMAL HEARING PROCEDURES FOR ADJUDICATIONS IN MATERIALS AND OPERATOR LICENSING PROCEEDINGS; CLARIFICATION OF PARTICIPANTS****Priority:** Substantive, Nonsignificant**Legal Authority:** 42 USC 2201; 42 USC 5841**CFR Citation:** 10 CFR 2**Legal Deadline:** None

**Abstract:** The final rule amends the Commission's regulations governing participation in adjudicatory proceedings conducted under its Rules of Practice to clarify that federally-recognized Indian tribal governments are entitled to participate in these proceedings on the same basis as other governmental units.

**Timetable:**

Action	Date	FR Cite
Final Action	06/01/99	64 FR 29212
Final Action Effective	08/02/99	

**Regulatory Flexibility Analysis****Required:** No**Government Levels Affected:** None

**Agency Contact:** Charles E. Mullins, Nuclear Regulatory Commission, Office of the General Counsel, Washington, DC 20555-0001  
Phone: 301 415-1606  
Email: cem@nrc.gov

RIN: 3150-AG27

**4619. INFORMAL HEARING PROCEDURES FOR ADJUDICATIONS IN MATERIALS AND OPERATOR LICENSING PROCEEDINGS: MINOR AMENDMENTS****Priority:** Substantive, Nonsignificant**Legal Authority:** 42 USC 2201; 42 USC 5841**CFR Citation:** 10 CFR 2**Legal Deadline:** None

**Abstract:** The final rule amends the Commission's regulations governing the filing and service of pleadings in "informal" materials and operator licensing proceedings conducted under its Rules of Practice. This action is necessary to correct a cross-reference error in the provision concerning the method of filing documents and to change the method of service of pleadings on the NRC staff.

**Timetable:**

Action	Date	FR Cite
Final Action	06/01/99	64 FR 29213
Final Action Effective	06/01/99	

**Regulatory Flexibility Analysis****Required:** No**Government Levels Affected:** None

**Agency Contact:** Charles E. Mullins, Nuclear Regulatory Commission, Office of the General Counsel, Washington, DC 20555-0001  
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Email: cem@nrc.gov

RIN: 3150-AG28

[FR Doc. 99-23657 Filed 11-19-99; 8:45 am]

BILLING CODE 7590-01-F

## REFERENCES

The following references are relevant to this RFP, and are available in the NRC Public Document Room.

- Reference 1: NUREG/BR-0058 Regulatory Analysis Guidelines of the United States Nuclear Regulatory Commission
- Reference 2: Eric S. Beckjord, Director, RES to Office Directors, "Revision of Procedures Relating to Regulatory Impact Analyses," October 28, 1987.
- Reference 3: William C. Parler, General Counsel to the Commissioners, "Draft Final Backfit Rule," April 18, 1988.
- Reference 4: NUREG/BR-0053, Regulations Handbook, November 1987.
- Reference 5: NUREG/CR-3568, Handbook of Value-Impact Assessment, December 1983.
- Reference 6: NUREG/CR-3971, A Handbook for Cost Estimating , October 1984.
- Reference 7: NUREG/CR-4627, Rev. 1, Generic Cost Estimates, Feb. 1989.
- Reference 8: NUREG/CR-4568, Quick Cost Handbook , April 1986.
- Reference 9: NUREG/CR-4012, Vol. 2, Replacement Energy Costs For Nuclear Electricity-Generating Units in the United States : 1987-1991, January 1987.
- Reference 10: NUREG/CR-5138, Validation of Generic Cost Estimates for Construction-Related Activities at Nuclear Power Plants , May 1988.
- Reference 11: NUREG/CR-4921, Engineering and Quality Assurance Cost Factors Associated with Nuclear Plant Modification , April 1987.

Reference 12: NUREG/CR-4764, Energy Economic Data Base (EEDB) Program ,  
December 1986.

Reference 13: NUREG/CR-5160, Guidelines for the Use of the EEDB at the  
Sub-Component and Subsystem Level , May 1988.

Reference 14: NUREG/CR-4555, Revision 1, Generic Cost Estimates for the  
Disposal of Radioactive Wastes , September 1988.

Reference 15: NUREG/CR-4546, Labor Productivity Adjustment Factors, March 1986

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