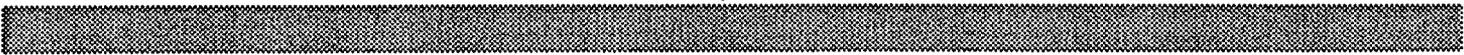




COMMISSIONER'S ASSISTANT HANDBOOK

U.S. NUCLEAR REGULATORY COMMISSION

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Contents

- I. Introduction
- II. Ground Rules
- III. Identifying Candidates for Commissioner's Assistant Positions
- IV. Joining a Commissioner's Staff
- V. Career Development as a Commissioner's Assistant
- VI. Returning to the Career Staff

I. Introduction

The Nuclear Regulatory Commission consists of five Commissioners, appointed by the President with the advice and consent of the Senate, and supported by a technical staff located in Rockville, Maryland and in four Regional Offices. Commissioners normally serve 5-year terms, with one term beginning every July 1. The President designates one of the Commissioners to serve, at the pleasure of the President, as Chairman.

The Chairman and Commissioners are supported by personal staffs which may include scientists, engineers, lawyers and administrative staff. The services of Commissioner's Assistants (CAs) contribute substantially to the effectiveness of the Commissioner. In turn, the experience gained by the CAs during these assignments can be career-enhancing for the individual as well as of significant value to the agency. As of the writing of this handbook, approximately one-half of all those who had previously served as CAs and were still in the agency had progressed to SES positions. This handbook addresses the selection, appointment, career development, and subsequent agency service of Commissioner's Assistants.¹

¹The term "Commissioner's Assistant" is used generically in this handbook to refer to all members of a Commissioner's immediate staff, including administrative, technical, legal, and special assistants.

II. Ground Rules

Service at the Commissioner's Pleasure

A Commissioner is accorded wide latitude in his or her selection of a support staff. Historically, Commissioners have shown considerable variation in their method of selection, the seniority and technical background of their selectees, and whether the selectees were asked to serve a full 5 years or a more limited portion of the Commissioner's term. This variation is as it should be, because it reflects a Commissioner's prerogative to create a staff that will best support his or her individual goals, areas of interest, and mode of operation.

For example, a Commissioner unfamiliar with the day-to-day workings of the NRC might wish to select one or more very senior individuals as CAs--particularly the technical or legal selectee who will serve as the Commissioner's executive assistant. On occasion, past Commissioners have even requested the service of an existing member of the SES as a CA, to provide the level of experience and knowledge of agency precedent that can ease the transition for a new Commissioner, as well as improve efficiency in the review and decision-making process. On the other hand, another Commissioner might want to choose technical assistants with recent direct inspection experience (and thus slightly less senior), but request highly experienced legal and administrative assistants.

Similarly, one Commissioner might select a staff entirely from within the NRC career staff, while another might choose several CAs from outside the agency (e.g., from the industry, a university, a national lab, or another government agency). Some Commissioners prefer the continuity that comes with having all CAs serve the Commissioner's entire term; others choose to reserve one or more of the CA positions for short- or long-term rotations by the career staff.

Because of this variability, a newly selected CA (as well as individuals who aspire to become CAs) should make the effort to become thoroughly familiar with the nuances of serving on a Commissioner's staff, including the concept of Limited Appointment, the availability of selection by merit competition, the personnel policies that govern a CA's return to career staff, and--perhaps most importantly--the individual Commissioner's expectations and desires. This initial understanding will be extremely helpful in gaining an appreciation for the benefits that can come with the CA position, avoiding misconceptions about CA-related personnel

practices, and assisting the individual in planning his or her short-and long-term career path.

The NRC Limited Appointment

Commissioners are accorded wide latitude in the selection of their personal staffs. This is to ensure that they have unfettered opportunity to select individuals in whom they repose their full trust and confidence. Federal personnel laws have long since recognized that this is necessary, and have provided the requisite flexibility in the Federal appointment process. In the competitive service, this flexible authority is called a Schedule C appointment. Individuals appointed under this authority do not have career status or tenure in the civil service. They serve at the pleasure of the official who appointed them. Their Federal employment usually terminates when their services are no longer required by the official who appointed them, or when that official leaves office.

The NRC uses an analagous appointment authority called the NRC Limited Appointment. In many respects it is similar to the Schedule C authority. Individuals appointed under this authority serve at the pleasure of the Commissioner who selects them. Their service with the Commissioner ends when he or she no longer needs their assistance, or when the Commissioner's term ends.

Re-Employment of NRC Career Employees

The NRC Limited Appointment differs in one important aspect from ordinary Schedule C appointments. The technical expertise Commissioners routinely seek to obtain on their immediate staffs is often best found within the NRC career staff. To facilitate the movement of career staff members to the immediate office of a Commissioner, the NRC Limited Appointment preserves the employment tenure of career status members selected for service in a Commissioner's office. While service in that office is "limited" by the pleasure and the term of the appointing Commissioner, the career employee selected for that service retains the right to career employment in the NRC staff following service on the Commissioner's staff.

This right of career re-employment has some limits. In order to maintain the fundamental principles of merit selection and equal opportunity, advantages in the career service must be won through open competition. As a result, the CA only retains the re-employment right to a position equivalent in grade to the grade earned before appointment to the Commissioner's staff, unless the

appointment and any associated promotions were achieved by a process that can be legitimately viewed as competitive and open. This is a vital distinction to be understood by all prospective CAs, because while a Commissioner always retains the right to appoint individuals by whatever method preferred (competitive or non-competitive), a non-competitively achieved appointment to a CA position, if held for a sufficient length of time, could actually result in the CA being behind his or her peers (in terms of career path) when returning to a staff position.²

For more information on this topic, see Section III of this handbook, under the subsection entitled, "Options for Selecting Appointees Competitively."

Saved Pay

It is not uncommon for CAs to be promoted at the time of their appointment, and also during the course of serving on the Commissioner's staff. When these promotions are not acquired through some form of open competition, the grade increases are not maintained upon return to the career staff. Nevertheless, CAs return to the staff with enhanced skills and qualifications, and, due to the inherently skill-building character of service on a Commissioner's staff, return even better equipped than before to make effective contributions to the agency's mission. Historically, these enhanced skills have made former CAs highly competitive, consistently successful as competitive candidates for positions at higher levels than the grades they held before appointment to a Commissioner's staff. The agency has taken the view that, in the interval between return from the Commission and winning competitive advancement, CAs who have served at least one year in that capacity should retain their salary level under regular "saved pay" procedures.

Non-Career Employees

Individuals hired from outside the NRC for positions on the Commissioners' immediate staffs also receive Limited Appointments, and serve at the pleasure of the applicable Commissioner. When their services are no longer required, or when the Commissioner's term ends, their right to employment with the NRC ends. They are free to seek follow-on positions in the agency, but acquire no

²For instance, if a GG-14 career employee is non-competitively appointed and serves 5 years in a CA position (during which time he or she might be promoted by the Commissioner to a GG-15 or even Senior Level (SL) rank), he or she would only be guaranteed an equivalent GG-14 position on returning to the staff, while other GG-14 peers might have advanced to GG-15, SLS, or SES positions during the same period.

right to continued employment. In order to facilitate their transition to other employment within the NRC, the agency can retain them on the payroll for an additional 120 days beyond their formal status as a CA.

III. Identifying Candidates for Commissioner's Assistant Positions

Historically, the paths to service on the immediate staff of a Commissioner have been through self-nominations, non-competitive recommendations from Office Directors and the EDO (both unsolicited and solicited by the Commissioner), and direct, individual invitations from the Commissioner. The Office of Personnel has also recently devised methods for competitive, merit-based selection of CAs, including the use of a candidate pool.³

Self-Nomination

Many individuals, both from within and outside the agency, take the initiative to offer their services directly to a Commissioner. This occurs most frequently near or at the time a Commissioner takes office. These individuals typically submit resumes either directly to the Commissioner, or to someone they perceive to be a useful intermediary. The Commissioner usually finds it convenient to have these resumes or applications collected in one place for further consideration. A personnel office representative is often chosen for this function.

Direct Nominations by Office Directors and the EDO

Commissioners may request direct nominations from the EDO, Office Directors, and other senior agency officials. Historically, this has been especially common in the case of Technical Assistants. Use of a candidate pool, as described below, is expected to significantly reduce the need for direct nominations of this sort (see the subsection below entitled, "Options for Selecting Appointees Competitively").

Direct, Individual Invitation

Commissioners may also take the initiative to invite individuals directly to serve on their immediate staffs. Note that, if an individual is selected directly without the benefit of an open, competitive process, the right to any associated promotions will be relinquished at the conclusion of the Limited Appointment as a CA, even if the individual selected was an NRC employee.

³To reiterate an earlier point: the method of selection, as well as all other aspects of the CA's service (length of terms, etc.), is entirely at the discretion of the Commissioner. As this chapter points out, however, certain methods of selection may be inherently more beneficial to the selectee, in terms of the advantages associated with subsequent reinstatement in the career staff.

Non-Competitive Selection for Appointment

Individuals identified through the processes described above are selected for appointment solely at the discretion of the Commissioner on the basis of his or her personal confidence in the ability of the individual to meet his or her needs. This is entirely in keeping with the duties and responsibilities of a Commissioner and the role of a CA. While there is some natural element of competition in these processes, they are not equally available to all qualified seekers in the relevant population (e.g., the NRC staff), and therefore are not considered merit-based competitions in the context of the career Federal service. For this reason, CA appointments made using non-competitive selection methods do not confer direct, permanent career advancement.

Options for Selecting Appointees Competitively

Based on the advantages to the individual, a Commissioner may choose to select members of his or her staff using an open, competitive process. One method of doing so is to conduct an open, merit-based competition for a position, using the traditional NRC personnel procedures; however, certain drawbacks are present in using this method. It requires extra time, has more procedural requirements, and places some limitations on selection. Commissioners not familiar with Federal government personnel practices could perceive themselves to be engaged in an unfamiliar, uncertain, and unnecessary process. Not surprisingly, they have historically preferred the non-competitive staffing options described above.

Nevertheless, a competitive process could offer real advantages. The open nature of such a process could help to dispel unfounded beliefs that appointment to the immediate staff of a Commissioner is limited to "insiders" or individuals who have acquired a powerful sponsor. An open competition might also surface candidates of interest to the Commissioners who would have been overlooked in a referral process. Finally, open competition allows permanent retention of associated promotions, and could alleviate the concerns of those who worry that accepting a Limited Appointment on a Commissioner's staff might eventually set them behind their peers on the long-term career path.

For these reasons, the NRC Office of Personnel has devised a special selection process using a Commissioner's Assistant Candidate (CAC) pool. Selection to this pool is conducted by an open, merit-based competition, beginning with a general, NRC-wide posting for multiple positions, including, as with any other

posting, a position description and rating factors. An EDO-appointed panel rates the applications, and "A" candidates are notified of their placement in the CAC pool. This pool of candidates is then made available to Commissioners, and CAS selected from the pool retain the rights associated with open merit-based selection.

For example, one such solicitation would be for a Commissioner's Technical Assistant, posted as a GG-14/15/SL position (i.e., with advancement potential to Senior Level). Similar but separate postings are made for Commissioner's Legal Assistants and Administrative Assistants. The posting, application, and selection process is periodically conducted to attract new applicants (e.g., opened annually for a 2-month application period). However, individuals who have previously been accepted as "A" candidates remain in the pool (unless they request to have their names removed) and need not reapply for each posting.

In addition, a Commissioner may ask that a special ad hoc posting be conducted based on a specific need or area of interest (e.g., a need for expertise in a specialized technical area). This type of request may (but need not) coincide with the specific interests and needs of a new Commissioner taking office. In such cases, certain portions of the application and selection process may be accelerated to meet timing constraints; however, this process will still be considered a competitive selection so long as basic merit selection principles are preserved (i.e., the opportunity for selection is open to all qualified seekers within the selected population, and the selection is made based on merit). Nothing prohibits candidates who are already in the general CAC pool from applying separately in these special cases.

Advantages of Competitive Selection

Experience on a Commissioner's staff is inherently skill-building and therefore career-enhancing. But to obtain it, one must occasionally forego career advancement opportunities elsewhere. For example, a secretary at the grade GG-7 level might accept a non-competitive appointment to a GG-8 secretarial position on a Commissioner's staff, spend several years there, and rise to a GG-12 Administrative Assistant role by the end of the Commissioner's term. At that time, this secretary would be entitled to placement back in the staff at no higher than the GG-7 level. In the meantime, colleagues who remained in the career staff could have had opportunities to achieve permanent GG-8, 9, and 10 positions.

If, on the other hand, an open, merit-based competition were held

for this position (e.g., using the CAC pool approach described above), noting that the position could result in advancement to grade GG-12, then it would be completely consistent with merit principles to allow the successful candidate to retain whatever grade level he or she had achieved up to grade GG-12.⁴ The appointment to the Commissioner's staff would still be limited and non-career. The individual would still serve at the pleasure of the Commissioner. At the end of that service, however, the individual could be placed in an available Grade GG-12 or lower position without further competition.

Similarly, a GG-14 Senior Resident Inspector could be selected non-competitively for a GG-15 CA position and ultimately be promoted to the Senior Level while working for the Commissioner. His or her career re-employment right would be limited to grade GG-14. In the meantime, the individual may have foregone opportunities for competitive advancement to GG-15, Senior Level, or SES positions. An open competition, on the other hand, could permit the individual to re-enter the staff to an available GG-15 position (or to an SL position, depending on the level attained as a CA) without further competition.

The same line of reasoning would apply to any CA position filled through open, merit-based competition. Note that a CA appointment based on open competition does not guarantee that a staff position will be available at the higher grade when the time arrives for re-entering the staff. What it does provide is that, if a position is available for which the individual is otherwise qualified (i.e., a position in an appropriate grade and discipline), the individual can be placed in that position without further competition.

⁴Grade levels used here are only examples. Administrative Assistants have served on Commissioner's staffs at grades ranging from GG-7 to GG-14, based on the individual Commissioner's needs. The actual grade level to which an assistant could be competitively advanced would be based on the specific posting for which he or she competed.

IV. Joining a Commissioner's Staff

A prospective CA has usually already answered some fundamental questions: What is my long-term goal? Do I see myself remaining in the NRC? Do I want to be a supervisor or manager? A senior technical expert? An administrative specialist in a specific field? Most employees answer and re-answer these questions throughout their careers. Ideally, the prospective CA has spelled out the most current answers to these questions in an Individual Development Plan (IDP). The objective is to integrate experience as a CA into this basic plan.

Career planning of this nature should not be done in isolation, but rather in consultation with managers, supervisors, mentors, and other advisors. This consultation is crucial at the time of transition to a CA assignment, in order to develop an expectation of what the future will hold both during and after the assignment. The Commissioner, the prospective CA, and the staff managers who will make personnel decisions during and after the assignment period should have the same set of expectations. The IDP serves as an excellent vehicle to document and communicate these expectations. It should include, for example, such considerations as whether the prospective CA plans to apply for career positions targeted in the IDP if they become vacant during his or her tenure with the Commissioner.

In addition to establishing an IDP, the prospective CA should give serious consideration to forming a mentoring relationship with an official at the division director level or above within the office or region to which he or she plans to return. OP can facilitate this relationship if desired. The mentor would be in a position to provide information and advice on the career development impact of events as they unfold in the program area, and could suggest specific career development activities, such as training courses or rotational assignments, that could enhance the CA's qualifications for future assignments in the office or region.⁵

For all concerned, the plan and set of expectations often flow from one key question: how long will the assignment be? The answer will vary, depending on the Commissioner's needs, the CA's specific duties, the CA's long-term career goals, and the agency's needs.

⁵For very senior individuals selected as CAs, the "mentoring" nature of this relationship (in the sense of career development and career advice) may be unnecessary. However, the CA may still desire to maintain one or more contacts of this sort for periodic updates on staff policy and practice, areas of significant change, and predictions on future staffing requirements (particularly in the career staff office to which he or she plans to subsequently return).

A prospective Technical Assistant should expect to make a commitment of at least 2 - 3 years, and some stay through the Commissioner's entire term. Legal and Administrative Assistants may be even more likely to stay the full term.

These considerations should be discussed by the prospective CA both with his or her current managers and with the Commissioner. The goal, again, is to reach a common set of expectations. Such expectations can provide a sound foundation for a successful tour of duty as a CA and a smooth re-entry to the career staff.

V. Career Development as a Commissioner's Assistant

While the primary purpose of serving as a CA is clearly to assist the Commissioner, an CA assignment offers a unique opportunity to acquire skills and abilities that can make a substantial contribution to the agency and can have a profound influence on career progression. For that reason, explicit attention should be given to the career development aspects of the assignment. Both the individual and the agency have a large stake in the outcome. The individual has a great interest in translating experience as a CA into long-term career advancement. The agency has a great interest in using the skills and abilities acquired in service as a CA as effectively as possible. These interests do not compete; they coincide.

What kind of job training should a CA pursue, either for immediate job performance or for long-term career development? Since a CA is frequently selected because of recognized expertise in the function he or she will perform for the Commissioner, the need for training related to immediate job performance may be limited.⁶ Training for long-term career development, however, is another matter altogether. CAs who were previously on a particular development track, such as the agency Supervisory Development Program or the SES Candidate Development Program, should continue on that track. CAs whose long-term goals are Senior Level technical positions should be on, and stay on, equally substantial individual training programs. Commissioners themselves have consistently recognized the importance of these programs, and have supported their CAs' participation.

Commissioners have also consistently supported rotational assignments, a form of training that is central to preparing for re-entry to the staff. For a senior CA whose assignment is continuing beyond 2 - 3 years, rotational assignments can be extremely valuable.

Rotational assignments to the staff accomplish three important objectives: (1) they revitalize a CA's contacts with the staff; (2) they provide CAs opportunities to develop and exercise skills, particularly supervisory and management skills, that are not called for in the CA role; and (3) they provide CAs opportunities to showcase the relevance and value of developed skills, such as broad perspective policy development and analysis, in the context of

⁶There is a notable exception. A CA brought in from outside the agency should take advantage of several training courses (e.g., NRC and Its Environment) to get up to speed on the inner workings of the NRC.

accomplishing staff assignments. CAs also usually return from such rotational assignments with some "hands on" perspectives that are useful to the Commissioner.

The value of these rotations can hardly be over-emphasized. While a CA may feel as if he or she is in constant contact with the inner workings of the agency, the career staff may view the CA quite differently (i.e., the view from the bottom may be quite different than the view from the top). This difference in perspective is inherent in the nature of the CA's position. Few managers, let alone the working-level staff, are familiar with what CAs actually do. The CA's interactions are frequently spread out over the entire agency; for any particular office, therefore, contact with the CA may be sporadic and, depending on the CA's individual style, may reveal very little about the CA's range of capabilities. By contrast, while on rotation, the direct, daily contact with the staff in the working environment of the particular office selected not only provides opportunity for individual development and sustained self-assessment, it also allows managers in the selected office the opportunity to assess the individual's performance and suitability for later assignments. As a result, these rotations are the most constructive specific steps that exist to prepare a CA to return to, or join for the first time, the career staff.

Finally, while training and rotational assignments are important aspects of career development as a CA, continued communication of expectations should also be emphasized. As when first joining the Commissioner's staff, CAs should periodically review their career development plans with the Commissioner and with senior agency managers (including a mentor) during the course of their assignment, so that all involved continue to have the same long-term expectations.

VI. Returning to the Career Staff

The smooth re-entry of a CA into the career staff is the product of a good foundation laid at the beginning of an assignment, forward-looking activities during the assignment, and careful coordination at the end of the assignment. NRC program managers, together with the CA, will be responsible for identifying the CA's follow-on assignment. These managers, therefore, must know and understand the capabilities and experience of the CA.

The importance of having a comprehensive career development plan at the beginning of the assignment has been pointed out above. As stated, that plan should have been developed in consultation with the agency managers who now will have a role to play in re-entry decisions, and should have identified the expectations for the future shared by the CA and the managers. It should now provide the frame of reference for a specific re-entry strategy. In addition, if a mentor was established early on, and frequent interaction occurred throughout the assignment, the mentor will obviously be of great value in facilitating the return process.

The translation of career plans and expectations into specific placement activities should begin no later than 6 months before the planned return date to the staff. At that time, a number of steps should occur:

First, personnel representatives should meet with the CA to go over the placement ground rules as they relate to her or his individual case. This will vary, depending on the method of selection for appointment in the first place, the positions and grade levels at which the CA has eligibility for competitive and non-competitive placement, the applicability of salary protection rules, and so forth. The personnel representative and the CA should lay out a specific schedule for the succeeding activities, and agree on a mechanism for comparing notes as the process unfolds.

The CA should meet with the EDO and other senior agency officials to discuss re-entry options. These interviews will likely lead to the identification of staff areas and plans for additional meetings.

On a parallel course, personnel representatives will monitor upcoming placement activity for suitable positions. They will discuss with managers staffing needs for which CA experience would be desirable. As specific placement opportunities emerge, they will provide advice and assistance to the CA on the preparation and



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FOREWORD

Since my appointment as Inspector General for the U.S. Nuclear Regulatory Commission (NRC) in July 1996, I have made training a top priority for the Office of the Inspector General (OIG). Recognizing the benefits resulting from proactive education, this office has provided guidance to employees on fraud, waste, and abuse issues and traveled to the regions to address employee concerns and questions.

This third edition of "The IG at the NRC" is an important part of our ongoing efforts to assist employees in avoiding vulnerability to fraud and to optimize agency effectiveness and efficiency.

This pamphlet contains current information about the OIG organization and its policies and procedures. In addition to describing the OIG mission and functions, I have used this opportunity to discuss policy direction and initiatives intended to foster an atmosphere of trust and openness between the OIG and NRC employees.

The OIG is committed to combating fraud and abuse. My goal is for our educational efforts through pamphlets such as this, to increase your understanding of the OIG commitment so that, within our differing roles, we can effect a spirit of cooperation to achieve our shared objective of regulatory excellence.


Hubert T. Bell
Inspector General

CONTENTS

	<i>Page</i>
1	OIG MISSION AND ORGANIZATION 1
1.1	Mission 1
1.2	Oversight 2
1.3	Organization 3
2	OIG INVESTIGATIONS 6
2.1	What Is an OIG Investigation? 6
2.2	What Does the OIG Investigate? ... 6
2.3	How Is an OIG Investigation Initiated? 7
2.4	The Investigative Process 8
2.5	Clearance Letters 9
2.6	OIG Access to Documents 10
2.7	OIG Access to Individuals 11
2.8	Employee Rights and Warnings..... 11
2.9	The Investigative Products 15
3	OIG AUDITS 18
3.1	What Is an OIG Audit? 18
3.2	What Types of Audits are There? ... 18
3.3	What Does the OIG Audit?..... 19
3.4	The Audit Process 20
3.5	Audit Products 23
4	REGULATORY COMMENTARY 24
4.1	What Is a Regulatory Commentary?. 24

	<i>Page</i>
4.2 How Does the OIG Prepare a Regulatory Commentary?.....	24
5 THE SEMIANNUAL REPORT TO CONGRESS.....	26
5.1 What Is the Semiannual Report?....	26
5.2 Semiannual Report Distribution	27
6 FREEDOM OF INFORMATION ACT AND PRIVACY ACT.....	28
6.1 Authority and Exceptions.....	28
6.2 Document Dissemination.....	28
APPENDIX	29

1 OIG MISSION AND ORGANIZATION

1.1 Mission

Statutory Basis

The Nuclear Regulatory Commission's (NRC's) Office of Inspector General (OIG) was established as a statutory entity on April 15, 1989, in accordance with the 1988 amendments to the Inspector General Act of 1978. Under the statute, NRC's Inspector General (IG) singularly reports to and serves under the general supervision of the NRC Chairman, but operates with independent personnel, and contracting and budget authority.

Responsibilities

The statutory language of the IG Act states that the purpose of offices of Inspector General is to provide independent and objective units to conduct and supervise audits and investigations relating to agency programs and operations. Under the statute, the OIG is also directed to provide leadership and coordination and to recommend policies to prevent and detect fraud and abuse in agency programs and operations.

To accomplish these objectives, the OIG establishes policy for audits and investigations relating to all NRC programs and operations and conducts, supervises, and coordinates these audits and investigations. Further, the OIG reviews existing and proposed regulations to evaluate their effect on economy and efficiency in the

agency and on the prevention of fraud and abuse and recommends changes as appropriate.

The IG informs the Chairman and the Congress of fraud or any serious problems with the administration of NRC programs and operations discovered during these audits, investigations, and reviews. The OIG recommends corrective action and reports on progress made in the implementation of actions. The OIG refers criminal cases to the Department of Justice (DOJ) for prosecution and coordinates referral of administrative matters to managers for administrative action by the agency.

1.2 Oversight

PCIE

Established in 1981 by Executive Order 12301, the President's Council on Integrity and Efficiency (PCIE) is an interagency council headed by the Deputy Director for Management of the Office of Management and Budget (OMB) and is charged with promoting integrity and effectiveness in Federal programs. Composed of presidentially appointed and Senate-confirmed IGs, the membership of the PCIE was expanded in 1992 by Executive Order 12805 to include the Executive Council on Integrity and Efficiency (ECIE). PCIE oversight responsibility includes development of policies to support professionalism in Federal OIGs. As part of that oversight, PCIE has also served to receive allegations against IGs and their staffs.

Allegations Against Inspectors General/Senior Staff

Consistent with Executive Order 12993 (March 21, 1996), allegations of wrongdoing received in regard to

the Inspector General, Deputy Inspector General, and senior staff will be referred to the Integrity Committee of the President's Council on Integrity and Efficiency for its review and adjudication.

Allegations made against OIG staff will likewise be referred to the PCIE's Integrity Committee if, among other reasons, the staff member is alleged to have acted with the knowledge of the IG; or the allegation against the staff person is related to an allegation against the IG. In addition, allegations of staff wrongdoing will, on a case-by-case basis, be referred to the Integrity Committee when (1) review of the substance of the allegation cannot be assigned to an agency of the Executive Branch with appropriate jurisdiction over the matter and (2) the IG determines that an objective internal investigation of the allegation, or the appearance thereof, is not feasible.

1.3 Organization

The Inspector General

The IG Act states that the head of each OIG shall be an IG appointed by the President with the advice and consent of the Senate. IGs are selected on the basis of their backgrounds in investigations or auditing or from related backgrounds, such as law or public administration.

To ensure the independence of the office, the IG may be removed only by the President, who must communicate the reasons for a removal to the Congress. The IG is selected without regard for political affiliation.

By statute, the IG oversees and is responsible for—

- audits and investigations;
- reviews of existing and proposed legislation and regulations for their potential to prevent and detect fraud, waste, and abuse;
- establishing and implementing policies to conduct, supervise, and coordinate activities that promote economy and efficiency and that prevent or detect fraud, waste, and abuse; and
- designating an Assistant Inspector General for Investigations and an Assistant Inspector General for Audits.

The Deputy Inspector General

- Oversees the conduct and supervision of audits and investigations relating to agency programs and operations;
- Manages all administrative and planning activities necessary to support the programmatic mission of the OIG.

The Assistant Inspector General for Investigations

- Supervises the performance of investigative activities and inquiries relating to NRC programs and operations; and
- Advises and assists the IG on all investigations and inquiries conducted by the OIG.

The Assistant Inspector General for Audits

- Supervises the performance of auditing activities relating to NRC programs and operations; and

- Advises and assists the IG on all audits and evaluations conducted by the OIG.

Team Leader, Resource Management and Operational Support

- Provides overall management of administrative and operational support for OIG programs, including responsibility for preparing and administering the budget, operating an independent personnel program, and contracting and small purchase matters.
- Prepares the OIG Semiannual Report for Congress.

The Legal Counsel

- Provides independent legal counsel and representation for the IG and OIG;
- Advises and assists the IG on all legal issues and serves as legal advisor to the OIG staff; and
- Coordinates and drafts regulatory commentary.

2 OIG INVESTIGATIONS

2.1 What Is an OIG Investigation?

An OIG investigation is a planned, systematic search for relevant, objective evidence derived from individuals, documents, tangible objects, and data.

In addition to documentation of evidence discovered, an investigation typically includes identifying the basis for the original complaint, the issues involved, and citation of relevant statutes.

2.2 What Does the OIG Investigate?

The jurisdiction of the OIG extends to all matters relating to fraud, waste, and abuse by NRC employees, contractors, and other recipients of funds under or relating to NRC programs and operations. OIG investigations focus on violations of law or misconduct by NRC employees and contractors as well as allegations of irregularities or abuse in NRC programs and operations.

These investigations may involve one or more of the following violations of laws or regulations:

- theft, conversion, misappropriation, embezzlement, or misuse of Government funds or property;
- false claims or statements;
- forgery, falsification, or unauthorized destruction of Government records;

- bribery, extortion, or blackmail or attempted bribery or blackmail of, or by, an NRC employee;
- violation of employee standards of conduct, conflict of interest; and
- mismanagement, fraud, waste of Government funds, or abuse of authority relating to NRC's programs and operations.

2.3 How Is an OIG Investigation Initiated?

The first step in the course of an investigation is receipt of a complaint of wrongdoing or an allegation. Allegations are received primarily from NRC employees and licensees. However, Congress, other agencies, citizens, and public interest groups also refer matters to the OIG for investigation.

A major conduit for complaints is the OIG Hotline. Allegations of suspected wrongdoing are also referred by NRC managers and the audit program.

Once an allegation is received, an analysis is conducted to determine whether further action is warranted and, if so, what type of action is needed.

Guidelines used in this analysis are intended to ensure an effective evaluation of available resources and the commitment of those resources weighed against the impact of a successful investigation.

Guidelines for Investigation

The OIG considers the following factors in evaluating a complaint for investigation:

- plausibility that a violation of a statute or regulation under OIG jurisdiction has been committed;
- the presence of indications that the matter may significantly affect public health and safety;
- the effect of the alleged illegal or improper activity on NRC programs;
- whether the matter is of interest to senior NRC managers, one or more Congressional committees, the nuclear industry, or a public interest group;
- the level of the position of individuals against whom the allegations are made (wrongdoing by high-ranking agency officials are more damaging); and
- the deterrent effect knowledge of the investigation may have on others who may consider committing similar illegal or improper acts.

If an OIG investigation is not initiated in response to a complaint that requires additional action, other options available include referral of the complaint to an NRC operating division or referral to another law enforcement agency. In addition, allegations not susceptible to immediate action may be retained for use as the basis for broad programmatic inquiries or audits.

2.4 The Investigative Process

Because the goal of an investigation is to determine the truth or the falsity of matters alleged, the procedures employed in the investigative process focus on obtaining relevant facts so as to address all aspects of an allegation.

An investigative plan outlines the pertinent facts of an allegation and how to best obtain evidence that will either prove or disprove matters essential to the offense alleged.

Investigative activities include examination of documents, for example, files, contracts, vouchers, reports, and memoranda. Investigators also obtain information by interviewing witnesses, technical experts, and the subjects of investigations.

Information obtained is documented in records of interviews, by affidavits sworn under oath and in depositions, that is, with questions and answers given under oath, and transcribed by a court reporter.

After all relevant information is gathered, an investigative report is prepared. When there is evidence of criminal wrongdoing, the report is presented to the DOJ to consider for prosecution in Federal Court. If the evidence presented shows an administrative offense, the report will be sent to NRC managers for action.

2.5 Clearance Letters

The OIG policy regarding clearance letters has changed.

The current policy includes the definition, purpose, and procedure for issuance of a clearance letter.

A "Clearance Letter" is a document provided to an NRC employee in cases where an investigation is initiated in response to an allegation of misconduct by the employee, and the misconduct is not proven.

Specifically, "not proven" is defined as a case in which an investigation is opened, the Department of Justice declines prosecution, and insufficient evidence is found to warrant referral to the agency for management action.

A clearance letter provides closure for the subject employee when OIG's investigation did not corroborate the alleged misconduct, and the case is closed. It is not an indication that immunity has been granted for any future investigation of the allegation. A clearance letter is provided to the employee alleged to have committed the misconduct at the discretion of the IG or the Assistant Inspector General for Investigations (AIGI) and is not a right.

A clearance letter is prepared for the signature of the AIGI and sent to the employee, with a concurrent copy to the Executive Director for Operations. The letter will contain a brief summary of the allegations and a statement to the effect that the allegations were investigated and were not substantiated.

2.6 OIG Access to Documents

Section 6 of the IG Act provides specific authority for the OIG to obtain the following documents from the agency: all records, reports, audits, reviews, recommendations; and other materials that relate to NRC programs and operations.

This section of the statute also authorizes the OIG to issue subpoenas to obtain documents from outside the Federal Government. Access to financial records is

authorized under the provision of the Right to Financial Privacy Act.

2.7 OIG Access to Individuals

Government employees, including NRC personnel, mainly participate in OIG investigations by providing information to investigators in interviews.

The vast majority of employees voluntarily consent to interviews and fully cooperate by supplying information and documents within their control. Employees who do not may be ordered by a supervisor to appear for an interview with an OIG investigator. Employees who disobey such an order are subject to disciplinary action. Of course, false statements made in the course of an investigation would be subject to both criminal and administrative penalties.

2.8 Employee Rights and Warnings

OIG interviews are conducted in compliance with Constitutional rights. Before beginning an interview, OIG investigators identify themselves, present their credentials, and state the nature and purpose of the interview.

When applicable, a statement of the individual's alternatives with regard to remaining silent and obtaining legal counsel or union representation is stated directly and personally at each interview. These statements of rights are referred to as "warnings."

There are four types of warnings, Miranda, Garrity, Kalkines, and Weingarten. Each is identified by the

major Court case on the issue encompassed in the warning statement summarized as follows:

1. **Miranda:** Given when an individual is being interviewed concerning his or her own potentially criminal misconduct and is taken into custody or deprived of freedom in a significant way. This warning advises, under the Fifth and Sixth Amendments to the Constitution, that the individual is entitled to remain silent or otherwise not incriminate himself or herself and to the assistance of an attorney.
2. **Garrity:** Informs Federal employees and contractors who are subjects of investigations, that although they would normally be expected to answer questions regarding their official duties, refusal to answer on the ground that the answers may tend to incriminate them will not subject them to disciplinary action.
3. **Kalkines:** Advises that the possibility of criminal prosecution has been removed, usually by a declination to prosecute by the DOJ, and that the employee is required to answer questions relating to the performance of their official duties or be subject to disciplinary action.
4. **Weingarten:** In accordance with the Civil Service Reform Act of 1979, bargaining unit employees, who reasonably believe they may be subject to disciplinary action are entitled to union representation during OIG interviews.

OIG policy is to allow an interviewed employee, who is the subject of an investigation, to have an attorney present.

Employees who request legal representation or to union representation are allowed a reasonable amount of time to arrange this representation. Legal or other representation is at the expense of the individual employee.

The role of the legal or union representative is to provide counsel or advice, not to answer questions on behalf of the employee. Representatives are not permitted to question the OIG investigator or otherwise dominate or disrupt the interview or the investigation.

Employee Role in OIG Investigations

The success of the OIG mission to combat fraud, waste, and abuse depends on the cooperation of all NRC employees.

Responsible Reporting

Making allegations is a responsibility both in the obligation to report wrongdoing and to guard against inadvertent or abusive allegations.

WHY REPORT WRONGDOING?—Statistics demonstrate that the majority of allegations of wrongdoing reported to the OIG come from NRC employees. There are two clear bases for these statistics. First, NRC employees are in the best position to observe wrongdoing and have the technical expertise to assess wrongful actions. Second, under Federal law and Executive Order, all government employees are required to report violations of law and regulations.

HOW TO REPORT WRONGDOING—You should report any indications of fraud, waste, abuse of authority, mismanagement, or other wrongdoing directly to the OIG or through your supervisor.

Agency managers and supervisors are responsible for ensuring that allegations of wrongdoing they receive are promptly reported to the OIG. Report wrongdoing by—

- contacting the OIG directly by telephone at 301-415-5930
- using the OIG HOTLINE at 1-800-233-3497, or
- by writing to: U.S. Nuclear Regulatory Commission
Office of the Inspector General
Mail Stop T5-D28
Washington, DC 20555.

WHAT TO REPORT—The information you provide to the OIG should be sufficient for an investigator to evaluate or act on it. You should try to provide the following information if possible:

- a brief, accurate statement of facts believed to provide evidence of wrongdoing;
- names, addresses, and office locations of pertinent individuals and organizations;
- dates when the suspected wrongdoing took place or is expected to occur;
- how you became aware of the information;
- memoranda, contracts, invoice numbers, or other related documents; and

- names, addresses, office locations, and telephone numbers of others (including licensees) who may have information about the suspected wrongdoing.

Employees should not engage in any independent inquiry or investigation and should not discuss the matter with the persons suspected of wrongdoing. After the initial report, employees should provide the OIG with any new or additional information pertinent to the allegation.

HOW ARE YOU PROTECTED—You may make an allegation anonymously. The OIG phones do not have the caller identification feature. If you choose to identify yourself, under the IG Act, your name will not be revealed unless the IG determines that the disclosure is unavoidable. Reprisal and retaliation for reporting wrongdoing is prohibited by Federal law and regulations, and no action may be taken against you for having complained or disclosed information to the OIG. However, individuals may be subject to disciplinary or criminal action for knowingly making a false complaint or providing false information.

2.9 The Investigative Products

Investigative Report

The investigative report relates pertinent facts of a case and describes available evidence to concisely address all relevant aspects of any allegation against individuals, including aspects of an allegation not substantiated. Investigative reports do not recommend disciplinary action against individual employees.

Investigative reports are given to officials and managers who have a need to know in order to properly determine whether administrative action is warranted. If an administrative action is deemed appropriate, managers consult with the Office of Human Resources and the Office of the General Counsel before initiating discipline. The agency is expected to advise the OIG within 90 days of receiving the investigative report as to what disciplinary or other action has been taken in response to investigative report findings.

Cover Letter

A cover letter is used with some investigative reports as more than a mere transmittal vehicle. When the OIG observes that an issue identified in the transmitted report is a recurring or systemic problem, or one reported in other OIG products, the cover letter is used to identify the problem to managers in this broader context.

Because OIG investigative reports do not contain recommendations, a cover letter is also used if significant findings indicate that a specific response to systemic problems is needed. The agency is expected to report managerial actions taken in response to the problems identified within 90 days.

Event Inquiry

The Event Inquiry is an investigative product documenting examination of events or agency actions that do not focus specifically on individual misconduct. These reports identify institutional weaknesses that led to or allowed a problem to occur. The agency is

requested to advise the OIG of managerial initiatives taken to cure any institutional weaknesses identified in these reports.

Management Implications Report (MIR)

The Management Implications Report (MIR) was developed at the request of senior NRC officials to provide managers with a "Root-Cause" analysis as to how a particular problem developed. The objective of an MIR is to give managers sufficient information to facilitate correction of the problem and to avoid similar issues in the future.

Investigative Document Distribution

Investigative Reports are sensitive documents. Their distribution is restricted by the Privacy Act and is subject to Freedom of Information Act exemptions. Distribution is limited to those with a "need to know" for official purposes. Reports are sent to the Chairman's office with copies to the other Commissioners. In instances of exceptional congressional or public interest, the OIG may distribute a report to members of Congress.

Event Inquiries are generally released to the public upon request.

MIRs are intended for the use of agency managers but are published for agency use without limitations on distribution.

3 OIG AUDITS

3.1 What is an OIG Audit?

An audit is an independent, systematic assessment of a government organization, program, function, or activity.

3.2 What Types of Audits are There?

FINANCIAL—These audits include financial statement audits, as required by the Chief Financial Officers Act, and any other audits relating to NRC's financial operations. The first type of audit provides reasonable assurance about whether financial statements of an audited entity present fairly the financial position, results of operation, and cash flows in conformity with generally accepted accounting principles. The second type determines whether (1) financial information is presented in accordance with established or stated criteria, (2) the entity has adhered to specific financial compliance requirements, or (3) the entity's internal control structure over financial reporting or safeguarding assets is suitably designed and implemented to achieve objectives.

At NRC, these include audits under the Chief Financial Officers Act as well as audits of internal controls and contracts.

PERFORMANCE—These include both economy and efficiency audits and program audits. Economy and efficiency audits determine (1) whether the entity is acquiring, protecting, and using its resources (such as

personnel, property, and space) economically and efficiently, (2) the causes of any inefficiencies or uneconomical practices, and (3) whether the entity has complied with laws and regulations on matters of economy and efficiency. Program audits determine (1) the extent to which desired results or benefits established by the legislation or other authorizing body are being achieved, (2) the effectiveness of the organization, programs, activities, or functions, and (3) whether the entity has complied with significant laws and regulations applicable to the program.

These audits are conducted on selected NRC administrative and program operations to evaluate the effectiveness and efficiency with which managerial responsibilities are carried out. They focus on whether management controls, practices, processes, and procedures are adequate and effective. Performance audits also include reviews of selected programs and activities to evaluate their overall effectiveness in achieving anticipated results.

3.3 What Does the OIG Audit?

In addition to audits resulting from statutory requirements, for example, the Federal Managers Financial Integrity Act, 31 U.S.C. §3512, the Government Performance and Results Act of 1993, Public Law 103-62, and the Chief Financial Officers Act, 31 U.S.C. §§ 501-506 and 901-903, OIG conducts systematic reviews throughout the organization. These focus on agency priorities and problem areas; as a result certain activities are examined with greater frequency than others.

OIG auditors typically examine—

- potential program vulnerabilities to fraud, waste, and abuse;
- management planning processes;
- cost effectiveness of programs and functions;
- the ability of the agency to protect and safeguard its resources; and
- financial statements and financially related activities, including contracting.

3.4 The Audit Process

Annual Audit Plan

The annual audit plan is a formal document outlining the audit workload and audit resources for the fiscal year. The plan reflects interests of NRC's senior managers, including the Commissioners, and the interests of the nuclear industry, the Congress, and others. The audit plan covers long-range (2–3 years) as well as current-year plans. The long-range section discusses major program areas of the agency that OIG plans to focus on. As these long-term strategies become more defined, they evolve into individual audits included in the section covering planned audits for the coming year. The annual plan is not a static document, but is a dynamic plan that is periodically reevaluated to ensure that OIG responds effectively to the needs of the Congress, the Commission, and the public.

Issue Area Monitors

To enhance oversight and understanding of the NRC's operations, Issue Area Monitors (IAMs), have been

designated to cover the agency's major costs centers.
IAM assignment areas are:

- the Reactor Program,
- Nuclear Materials Program,
- Nuclear Waste Programs,
- Resource Administration (except the Comptroller),
and
- Comptroller Office (including CFO audits), Policy
and Direction Programs, and Special Technical
programs.

Under the IAM program, senior audit staff are responsible for ongoing cognizance over their assigned areas. Paralleling the agency's basic mission areas, the IAM concept establishes "in-house" expertise and enables the OIG to be more fully informed and responsive to its statutory responsibilities.

How an Audit Is Conducted

An audit involves several steps, ranging from notification of the office to be audited to audit followup. The underlying goal of the audit process is to maintain an open channel of communication between the auditors and the managers to ensure that audit findings are accurately and fairly presented in the audit report.

The key elements in the process are defined as follows:

Annual Audit Plan: As described previously, an annual audit plan is developed and distributed to interested

parties. It contains a listing of audits to be initiated during the year and the general objectives of each audit.

Audit Notification: A formal written notice is given to an office manager informing the manager of OIG's intent to begin an audit.

Entrance Conference: Through this discussion, the OIG advises agency officials of the purpose, objectives, and scope of the audit, and the general methodology OIG will follow.

Survey: A survey consists of the exploratory work, conducted before the detailed examination, to gather data for identifying audit objectives; documenting internal control systems, becoming familiar with the activities to be audited, and identifying areas of concern to management.

Review: The OIG comprehensively examines and analyzes selected areas of a program, activity, or function, using an audit program developed specifically to answer the audit objectives.

Exit Conference: The OIG meets with the agency's principal managers to present and discuss the results of the audit. This meeting provides agency managers an opportunity to confirm information, ask questions, and provide any necessary clarifying data.

Draft Report: The OIG gives the official draft document to the agency to obtain its written comments on the audit findings and recommendations; the agency normally has 30 days to respond to the draft.

Final Audit Report: The OIG sends the agency the final report that contains the agency's official written response to the draft.

Audit Followup and Closure: This process ensures that agency managers act on the OIG recommendations.

3.5 Audit Products

Audit Report

An audit report is the documentation of the objectives, survey, review, recommendations, and findings resulting from the objective assessment of a program, function, or activity.

Audits have a well-delineated process that allows for agency review of draft audit reports and required responses to recommendations. Along with this review and response is a formal audit follow-up and reporting of audit results in the OIG's "Semiannual Report" to the Congress.

Special Evaluation Report

A special evaluation report documents the results of short-term, limited assessments. An evaluation is a mechanism the OIG uses to provide an initial, quick response to a question or issue and to work collaboratively with agency managers to determine whether an in-depth independent audit should be planned.

Audit Report Distribution

OIG issues its final audit reports and special evaluations to the Commission and to the Congress. These final reports are available to the public.

4 REGULATORY COMMENTARY

4.1 What Is a Regulatory Commentary?

Regulatory Commentary is the review of existing and proposed legislation, regulations, and policies so as to assist the agency in preventing and detecting fraud, waste, and abuse in programs and operations.

Regulatory Commentaries document OIG's objective analysis of vulnerabilities created within agency programs and operations by proposed or existing statutes, regulations, or policies. Commentaries cite the IG Act as authority for the review, state the specific law, regulation or policy examined, the pertinent background information considered, and identify OIG concerns, observations, and objections.

4.2 How Does the OIG Prepare a Regulatory Commentary?

OIG reviews proposed legislation, regulations, directives, and policy initiatives that affect NRC's programs and offices. Significant concerns are documented in a regulatory commentary and given to the agency for consideration. The statutory intent of the regulatory commentary is to prospectively identify and assist in preventing problems, therefore, formal replies are not always requested by the OIG. However, significant observations regarding action or inaction by the agency are reported in the OIG Semiannual Report to Congress.

Regulatory Commentary Distribution

Regulatory Commentaries are normally sent to the agency without limitations on distribution or release to the public.

5 THE SEMIANNUAL REPORT TO CONGRESS

5.1 What is the Semiannual Report?

In accordance with requirements of the IG Act, the semiannual report is a document prepared by each IG that summarizes the activities of that OIG during the six-month periods ending March 31 and September 30. The report is submitted to the head of the agency, the Chairman in the case of the NRC, no later than April 30 and October 31 of each year. The agency may comment on the report, but may not change it. Within 30 days of receipt, the Chairman submits agency remarks together with the IG's report to Congress.

Reporting Requirements for the Semiannual Report

The reporting requirements for the IG's Semiannual Report are contained in Section 5 of the IG Act. Additional guidance on the content of the report has been provided by the President's Council on Integrity and Efficiency and the OMB. Items normally included in the report are as follows:

1. Description of significant problems, abuses, and deficiencies relating to the administration of the NRC's programs and operation.
2. Audit recommendations for corrective action.
3. Significant audit recommendations described in previous reports for which the agency has not completed corrective action.

4. Matters referred to prosecutive authorities and the results of those prosecutions.
5. Selected Regulatory Commentary summaries and agency response.
6. Statistical tables demonstrating the dollar results of the OIG's internal program audits and contract audits performed during the reporting period.

The report may also include special feature articles concerning relevant topics.

5.2 Semiannual Report Distribution

The Semiannual Report is widely distributed throughout government and to the public.

6 FREEDOM OF INFORMATION ACT AND PRIVACY ACT

6.1 Authority and Exceptions

The Office of the Inspector General at the NRC exercises independent authority to release or withhold documents requested under the Freedom of Information Act, 5 U.S.C. § 552b and Privacy Act, 5 U.S.C. § 552a.

These statutes provide the OIG with denial authority under exemptions that protect criminal investigative and privacy interests.

The AIGI acts as the initial denial authority for OIG documents, and the only administrative appeal is to the IG.

6.2 Documentation Dissemination

Unlike the agency, OIG documents are not placed in the PDR.

APPENDIX

Excerpts from the
INSPECTOR GENERAL ACT OF 1978
(Public Law 95-452, October 12, 1978)

As amended by the
INSPECTOR GENERAL ACT AMENDMENTS OF 1988
(Public Law 100-504, October 18, 1988)

**§ 2. Purpose and establishment of Offices of Inspector General;
departments and agencies involved**

In order to create independent and objectives units—

(1) to conduct and supervise audits and investigations relating to the programs and operations of the establishments listed in section 11(2);

(2) to provide leadership and coordination and recommend policies for activities designed (A) to promote economy, efficiency, and effectiveness in the administration of, and (B) to prevent and detect fraud and abuse in, such programs and operations; and

(3) to provide a means for keeping the head of the establishment and the Congress fully and currently informed about problems and deficiencies relating to the administration of such programs and operations and the necessity for and progress of corrective action;

there is hereby established in each of such establishments an office of Inspector General.

§ 3. Appointment of Inspector General; supervision; removal; political activities; appointment of Assistant Inspector General for Auditing and Assistant Inspector General for Investigations

(a) There shall be at the head of each Office an Inspector General who shall be appointed by the President, by and with the

advice and consent of the Senate, without regard to political affiliation and solely on the basis of integrity and demonstrated ability in accounting, auditing, financial analysis, law, management analysis, public administration, or investigations. Each Inspector General shall report to and be under the general supervision of the head of the establishment involved or, to the extent such authority is delegated, the officer next in rank below such head, but shall not report to, or be subject to supervision by, any other officer of such establishment. Neither the head of the establishment nor the officer next in rank below such head shall prevent or prohibit the Inspector General from initiating, carrying out, or completing any audit or investigation, or from issuing any subpoena during the course of any audit or investigation.

(b) An Inspector General may be removed from office by the President. The President shall communicate the reasons for any such removal to both Houses of Congress.

(c) For the purposes of section 7324 of Title 5, United States Code, no Inspector General shall be considered to be an employee who determines policies to be pursued by the United States in the nationwide administration of Federal laws.

(d) Each Inspector General shall, in accordance with applicable laws and regulations governing the civil service—

(1) appoint an Assistant Inspector General for Auditing who shall have the responsibility for supervising the performance of auditing activities relating to programs and operations of the establishment, and

(2) appoint an Assistant Inspector General for Investigations who shall have the responsibility for supervising the performance of investigative activities relating to such programs and operations.

§ 4. Duties and responsibilities; report of criminal violations to Attorney General

(a) It shall be the duty and responsibility of each Inspector General, with respect to the establishment within which his Office is established—

(1) to provide policy direction for and to conduct, supervise, and coordinate audits and investigations relating to the programs and operations of such establishment;

(2) to review existing and proposed legislation and regulations relating to programs and operations of such establishment and to make recommendations in the semiannual reports required by section 5(a) concerning the impact of such legislation or regulations on the economy and efficiency in the administration of programs and operations administered or financed by such establishment or the prevention and detection of fraud and abuse in such programs and operations;

(3) to recommend policies for, and to conduct, supervise, or coordinate other activities carried out or financed by such establishment for the purpose of promoting economy and efficiency in the administration of, or preventing and detecting fraud and abuse in, its programs and operations;

(4) to recommend policies for, and to conduct, supervise, or coordinate relationships between such establishment and other Federal agencies, State and local governmental agencies, and nongovernmental entities with respect to (A) all matters relating to the promotion of economy and efficiency in the administration of, or the prevention and detection of fraud and abuse in, programs and operations administered or financed by such establishment, or (B) the identification and prosecution of participants in such fraud or abuse; and

(5) to keep the head of such establishment and the Congress fully and currently informed, by means of the reports required by section 5 and otherwise, concerning fraud and other serious problems, abuses, and deficiencies relating to the administration of programs and operations administered or financed by such establishment, to recommend corrective action concerning such problems, abuses, and deficiencies, and to report on the progress made in implementing such corrective action.

(b)(1) In carrying out the responsibilities specified in subsection (a)(1), each Inspector General shall—

(A) comply with standards established by the Comptroller General of the United States for audits of Federal establishments, organizations, programs, activities, and functions;

(B) establish guidelines for determining when it shall be appropriate to use non-Federal auditors; and

(C) take appropriate steps to assure that any work performed by non-Federal auditors complies with the standards established by the Comptroller General as described in paragraph (1).

(2) For purposes of determining compliance with paragraph (1)(A) with respect to whether internal quality controls are in place and operating and whether established audit standards, policies, and procedures are being followed by Offices of Inspector General of establishments defined under section 11(2), Offices of Inspector General of designated Federal entities defined under section 8F(a)(2), and any audit office established within a Federal entity defined under section 8F(a)(1), reviews shall be performed exclusively by an audit entity in the Federal Government, including the General Accounting Office or the Office of Inspector General of each establishment defined under section 11(2), or the Office of Inspector General of each designated Federal entity defined under section 8F(a)(2).

(c) In carrying out the duties and responsibilities established under this Act, each Inspector General shall give particular regard to the activities of the Comptroller General of the United States with a view toward avoiding duplication and insuring effective coordination and cooperation.

(d) In carrying out the duties and responsibilities established under this Act, each Inspector General shall report expeditiously to the Attorney General whenever the Inspector

General has reasonable grounds to believe there has been a violation of Federal criminal law.

(As amended Pub.L. 100-504, Title I § 109, Oct. 18, 1988, 102 Stat. 2529)

§ 5 Semiannual reports; transmittal to Congress; availability to public; immediate report on serious or flagrant problems; disclosure of information; definitions.

(a) Each Inspector General shall, not later than April 30 and October 31 of each year, prepare semiannual reports summarizing the activities of the Office during the immediately preceding six-month periods ending March 31 and September 30. Such reports shall include, but need not be limited to—

(1) a description of significant problems, abuses, and deficiencies relating to the administration of programs and operations of such establishment disclosed by such activities during the reporting period;

(2) a description of the recommendations for corrective action made by the Office during the reporting period with respect to significant problems, abuses, or deficiencies identified pursuant to paragraph (1);

(3) an identification of each significant recommendation described in previous semiannual reports on which corrective action has not been completed;

(4) a summary of matters referred to prosecutive authorities and the prosecutions and convictions which have resulted;

(5) a summary of each report made to the head of the establishment under section 6(b)(2) during the reporting period;

(6) a listing, subdivided according to subject matter, of each audit report issued by the Office during the reporting period and for each audit report, where applicable, the total

dollar value of questioned costs (including a separate category for the dollar value of unsupported costs) and the dollar value of recommendations that funds be put to better use;

(7) a summary of each particularly significant report;

(8) statistical tables showing the total number of audit reports and the total dollar value of questioned costs (including a separate category for the dollar value of unsupported costs), for audit reports—

(A) for which no management decision had been made by the commencement of the reporting period;

(B) which were issued during the reporting period;

(C) for which a management decision was made during the reporting period, including—

(i) the dollar value of disallowed costs;
and

(ii) the dollar value of costs not disallowed; and

(D) for which no management decision has been made by the end of the reporting period;

(9) statistical tables showing the total number of audit reports and the dollar value of recommendations that funds be put to better use by management, for audit reports—

(A) for which no management decision had been made by the commencement of the reporting period;

(B) which were issued during the reporting period;

(C) for which a management decision was made during the reporting period, including—

(i) the dollar value of recommendations that were agreed to by management; and

(ii) the dollar value of recommendations that were not agreed to by management; and

(D) for which no management decision has been made by the end of the reporting period;

(10) a summary of each audit report issued before the commencement of the reporting period for which no management decision has been made by the end of the reporting period (including the date and title of each such report), an explanation of the reasons such management decision has not been made, and a statement concerning the desired timetable for achieving a management decision on each such report;

(11) a description and explanation of the reasons for any significant revised management decision made during the reporting period; and

(12) information concerning any significant management decision with which the Inspector General is in disagreement.

(b) Semiannual reports of each Inspector General shall be furnished to the head of the establishment involved not later than April 30 and October 31 of each year and shall be transmitted by such head to the appropriate committees or subcommittees of the Congress within thirty days after receipt of the report, together with a report by the head of the establishment containing—

(1) any comments such head determines appropriate;

(2) statistical tables showing the total number of audit reports and the dollar value of disallowed costs, for audit reports—

(A) for which final action had not been taken by the commencement of the reporting period;

(B) on which management decisions were made during the reporting period;

(C) for which final action was taken during the reporting period, including—

(i) the dollar value of disallowed costs that were recovered by management through collection, offset, property in lieu of cash, or otherwise; and

(ii) the dollar value of disallowed costs that were written off by management; and

(D) for which no final action has been taken by the end of the reporting period;

(3) statistical tables showing the total number of audit reports and the dollar value of recommendations that funds be put to better use by management agreed to in a management decision, for audit reports—

(A) for which final action had not been taken by the commencement of the reporting period;

(B) on which management decisions were made during the reporting period;

(C) for which final action was taken during the reporting period, including—

(i) the dollar value of recommendations that were actually completed; and

(ii) the dollar value of recommendations that management has

subsequently concluded should not or could not be implemented or completed; and

(D) for which no final action has been taken by the end of the reporting period; and

(4) a statement with respect to audit reports on which management decisions have been made but final action has not been taken, other than audit reports on which a management decision was made within the preceding year, containing—

(A) a list of such audit reports and the date each such report was issued;

(B) the dollar value of disallowed costs for each report;

(C) the dollar value of recommendations that funds be put to better use agreed to by management for each report; and

(D) an explanation of the reasons final action has not been taken with respect to each such audit report, except that such statement may exclude such audit reports that are under formal administrative or judicial appeal or upon which management of an establishment has agreed to pursue a legislative solution, but shall identify the number of reports in each category so excluded.

(c) Within 60 days of the transmission of the semiannual reports of each Inspector General to the Congress, the head of each establishment shall make copies of such report available to the public upon request and at a reasonable cost. Within 60 days after the transmission of the semiannual reports of each establishment head to the Congress, the head of each establishment shall make copies of such report available to the public upon request and at a reasonable cost.

(d) Each Inspector General shall report immediately to the head of the establishment involved whenever the Inspector

General becomes aware of particularly serious or flagrant problems, abuses, or deficiencies relating to the administration of programs and operations of such establishment. The head of the establishment shall transmit any such report to the appropriate committees or subcommittees of Congress within seven calendar days, together with a report by the head of the establishment containing any comments such head deems appropriate.

(e)(1) Nothing in this section shall be construed to authorize the public disclosure of information which is—

(A) specifically prohibited from disclosure by any other provision of law;

(B) specifically required by Executive order to be protected from disclosure in the interest of national defense of national security or in the conduct of foreign affairs; or

(C) a part of an ongoing criminal investigation.

(2) Notwithstanding paragraph (1)(C), any report under this section may be disclosed to the public in a form which includes information with respect to a part of an ongoing criminal investigation if such information has been included in a public record.

(3) Except to the extent and in the manner provided under section 6103(f) of the Internal Revenue Code of 1986 [26 U.S.C.A. § 6103(f)], nothing in this section or in any other provision of this Act shall be construed to authorize or permit the withholding of information from the Congress, or from any committee or subcommittee thereof.

(f) As used in this section—

(1) the term “questioned cost” means a cost that is questioned by the Office because of—

(A) an alleged violation of a provision of a law, regulation, contract, grant, cooperative

agreement, or other agreement or document governing the expenditure of funds;

(B) a finding that, at the time of the audit, such cost is not supported by adequate documentation; or

(C) a finding that the expenditure of funds for the intended purpose is unnecessary or unreasonable;

(2) the term “unsupported cost” means a cost that is questioned by the Office because the Office found that, at the time of the audit, such cost is not supported by adequate documentation;

(3) the term “disallowed cost” means a questioned cost that management, in a management decision, has sustained or agreed should not be charged to the Government;

(4) the term “recommendation that funds be put to better use” means a recommendation by the Office that funds could be used more efficiently if management of an establishment took actions to implement and complete the recommendation, including—

(A) reductions in outlays;

(B) deobligation of funds from programs or operations;

(C) withdrawal of interest subsidy costs on loans or loan guarantees, insurance, or bonds;

(D) costs not incurred by implementing recommended improvements related to the operations of the establishment, a contractor or grantee;

(E) avoidance of unnecessary expenditures noted in preaward reviews of contract or grant agreements; or

(F) any other savings which are specifically identified.

(5) the term "management decision" means the evaluation by the management of an establishment of the findings and recommendations included in an audit report and the issuance of a final decision by management concerning its response to such findings and recommendations, including actions concluded to be necessary; and

(6) the term "final action" means—

(A) the completion of all actions that the management of an establishment has concluded, in its management decision, are necessary with respect to the findings and recommendations included in an audit report; and

(B) in the event that the management of an establishment concludes no action is necessary, final action occurs when a management decision has been made.

§ 6 Authority of Inspector General; information and assistance from Federal agencies; unreasonable refusal; office space and equipment

(a) In addition to the authority otherwise provided by this Act, each Inspector General, in carrying out the provisions of this Act, is authorized—

(1) to have access to all records, reports, audits, reviews, documents, papers, recommendations, or other material available to the applicable establishment which relate to programs and operations with respect to which that Inspector General has responsibilities under this Act;

(2) to make such investigations and reports relating to the administration of the programs and operations of the applicable establishment as are, in the judgment of the Inspector General, necessary or desirable;

(3) to request such information or assistance as may be necessary for carrying out the duties and responsibilities provided by this Act from many Federal, State, or local governmental agency or unit thereof;

(4) to require by subpoena the production of all information, documents, reports, answers, records, accounts, papers, and other data and documentary evidence necessary in the performance of the functions assigned by this Act, which subpoena, in the case of contumacy or refusal to obey, shall be enforceable by order of any appropriate United States district court: *Provided*, That procedures other than subpoenas shall be used by the Inspector General to obtain documents and information from Federal agencies;

(5) to administer to or take from any person an oath, affirmation, or affidavit, whenever necessary in the performance of the functions assigned by this Act, which oath, affirmation, or affidavit when administered or taken by or before an employee of an Office of Inspector General designated by the Inspector General shall have the same force and effect as if administered or taken by or before an officer having a seal;

(6) to have direct and prompt access to the head of the establishment involved when necessary for any purpose pertaining to the performance of functions and responsibilities under this Act.

(7) to select, appoint, and employ such officers and employees as may be necessary for carrying out the functions, powers, and duties of the Office subject to the provisions of Title 5, United States Code, governing appointments in the competitive service, and the provisions of chapter 51 and subchapter III of chapter 53 of such title relating to classification and General Schedule pay rates;

(8) to obtain services as authorized by section 3109 of Title 5, United States Code, at daily rates not to exceed the equivalent rate prescribed for grade GS-18 of the General Schedule by section 5332 of Title 5, United States Code; and

(9) to the extent and in such amounts as may be provided in advance by appropriations Acts, to enter into contracts and other arrangements for audits, studies, analyses, and other services with public agencies and with private persons, and to make such payments as may be necessary to carry out the provisions of this Act.

(b)(1) Upon request of an Inspector General for information or assistance under subsection (a)(3), the head of any Federal agency involved shall, insofar as is practicable and not in contravention of any existing statutory restriction or regulation of the Federal agency from which the information is requested, furnish to such Inspector General, or to an authorized designee, such information or assistance.

(2) Whenever information or assistance requested under subsection (a)(1) or (a)(3) is, in the judgment of an Inspector General, unreasonably refused or not provided, the Inspector General shall report the circumstances to the head of the establishment involved without delay.

(c) Each head of an establishment shall provide the Office within such establishment with appropriate and adequate office space at central and field office locations of such establishment, together with such equipment, office supplies, and communications facilities and services as may be necessary for the operation of such offices, and shall provide necessary maintenance services for such offices and the equipment and facilities located therein.

(d) For purposes of the provisions of Title 5, United States Code, governing the Senior Executive Service, any reference in such provisions to the "appointing authority" for a member of the Senior Executive Service or for a Senior Executive Service position shall, if such member or position is or would be within the Office of an Inspector General, be deemed to be a reference to such Inspector General.

§ 7. Complaints by employees, disclosure of identity; reprisals

(a) The Inspector General may receive and investigate complaints or information from an employee of the establishment

concerning the possible existence of an activity constituting a violation of law, rules, or regulations, or mismanagement, gross waste of funds, abuse of authority or a substantial and specific danger to the public health and safety.

(b) The Inspector General shall not, after receipt of a complaint or information from an employee, disclose the identity of the employee without the consent of the employee, unless the Inspector General determines such disclosure is unavoidable during the course of the investigation.

(c) Any employee who has authority to take, direct others to take, recommend, or approve any personnel action, shall not, with respect to such authority, take or threaten to take any action against any employee as a reprisal for making a complaint or disclosing information to an Inspector General, unless the complaint was made or the information disclosed with the knowledge that it was false or with willful disregard for its truth or falsity.

§8B. Special provisions concerning the Nuclear Regulatory Commission

(a) The Chairman of the Commission may delegate the authority specified in the second sentence of section 3(a) to another member of the Nuclear Regulatory Commission, but shall not delegate such authority to any other officer or employee of the Commission.

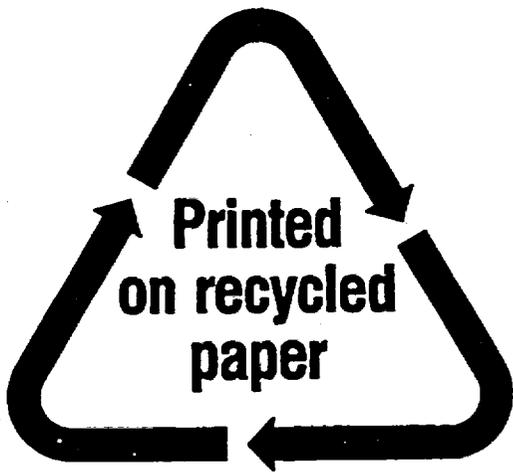
(b) Notwithstanding sections 6(a)(7) and (8), the Inspector General of the Nuclear Regulatory Commission is authorized to select, appoint, and employ such officers and employees as may be necessary for carrying out the functions, powers and duties of the Office of Inspector General and to obtain the temporary or intermittent services of experts or consultants or an organization thereof, subject to the applicable laws and regulations that govern such selections, appointments and employment, and the obtaining of such services, within the Nuclear Regulatory Commission.

(Added Pub.L. 100-504, Title I, § 102(f), Oct. 18, 1988, 102 Stat. 2517.)

OIG APPROPRIATIONS

31 U.S.C. § 1105 – Budget Contents and Submission to Congress

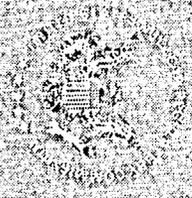
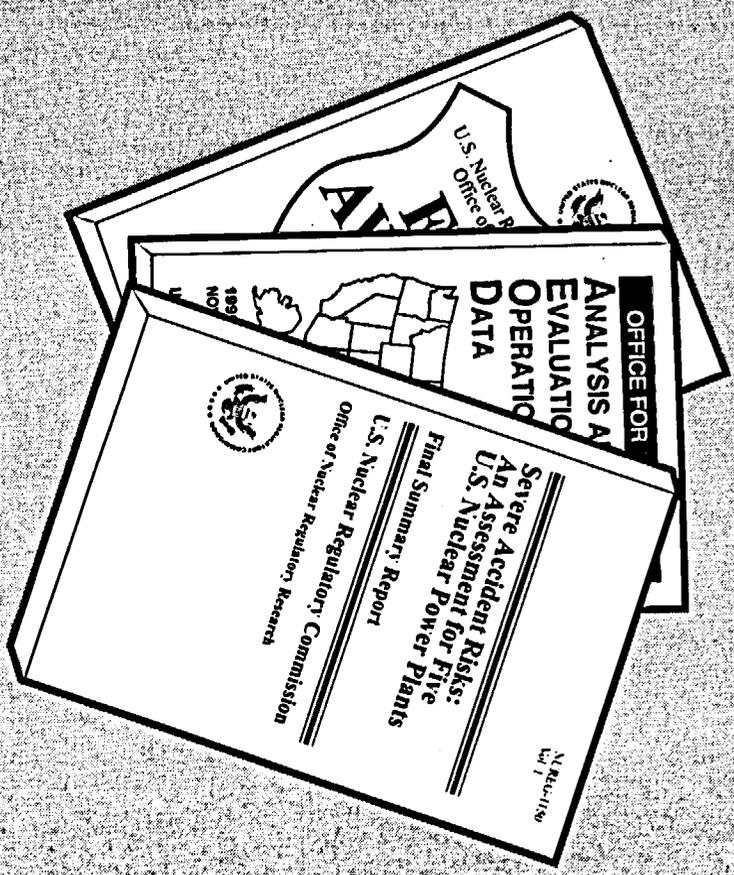
(a) ...the President shall submit a budget of the United States Government for the following fiscal year. ...The President shall include in each budget the following: ...(25) a separate appropriation account for appropriations for each Office of Inspector General...



Federal Recycling Program

DISTRIBUTION LIST AND SOURCE INFORMATION
FOR NRC Reports and
Documents

Office of the Chief Information Officer
Information Management Division



B/D

Distribution List Descriptions for NRC Reports and Documents

Office of the Chief Information Officer
Information Management Division

Compiled by: Vicki Yanez

May 1998



INTRODUCTION

This brochure describes distribution lists used for NUREG-series reports and other documents produced by the U. S. Nuclear Regulatory Commission (NRC). Distribution of NRC reports to a wide variety of recipients offers these organizations and individuals an opportunity to participate in the regulatory process and to keep abreast of NRC research and technological investigations. These descriptions should assist those who publish NUREG-series reports and other NRC documents to accurately select recipients for their reports and documents.

The brochure is divided in two parts. The first part describes the type of organization or individual included in a list. The second part describes the NUREG-series report or document those on that list receive. Each list has a two-letter, alphanumeric or numeric code, a title, a description, and an NRC contact responsible for that list. To add or remove a person or organization to or from a distribution list, call the contact given for that list.

Contents

Distribution Lists by Recipients and Organizations

Code	Description	Page
AN	Technical Information Libraries and Distribution Centers	1
AO	NRC Technical Information Libraries	2
CB	State Officials Receiving Advance Notification of Nuclear Waste Shipments	3
CC	Low-Level Radioactive Waste Compact Distribution	4
CH	State Individuals Receiving High-Level Waste Reports	5
CJ	Non-Agreement State Information	6
CO	State Liaison Officers	7
CS	State Utility Commissioners	8
CV	Foreign Arrangement Administrators	9
CY	Agreement State Information	10
C3	State and Federal Response Personnel Associated With Radiological Emergency Response Activities	11
DP	Notice of Availability for Health Physics Technical Reports	12

Contents (continued)

Distribution Lists by Recipients and Organizations (continued)

Code	Description	Page
WA	National Associations/Interest Groups in High-Level Waste Management Program	13
WD	Department of Energy Contacts—High-Level Waste Management Reports	14
WF	Federal Agency Contacts (Except Department of Energy)—High-Level Waste Management Reports	15
WN	NRC Contacts—High-Level Waste Management Reports	16
XA	Advisory Committee on Reactor Safeguards Members	17
XC	Advisory Committee on Nuclear Waste Members ...	18
XG	Regulatory Interest Groups	19
XP	Atomic Safety and Licensing Board Panel Members	20
1A	Pressurized Water Reactor Licensees and Construction Permit Holders	21
1B	Boiling Water Reactor Licensees and Construction Permit Holders	22
1H	Environmental Impact Statements	23

Contents (continued)

Distribution Lists by Recipients and Organizations (continued)

Code	Description	Page
1M	Plant Managers	24
1R	Research and Test Reactor Roster	25
1S	Utility and Reactor Vendor Executives	26
1V	Vendors	27
9A	Chairman	28
9B	Commissioners	28
9C	Executive Director for Operations	28
9D	Deputy Executive Directors	28
9E	Office Directors (Includes ASLBP, ACRS, ACNW, CFO, CIO)	28
9F	Deputy Office Directors	28
9G	Division Directors	28
9H	Division Directors (Technical Staff Only)	28
9I	Assistant Directors	28
9J	Branch Chiefs	28
9L	Branch Chiefs and Above (Technical Staff Only) ...	28

Contents (continued)

Distribution Lists by Recipients and Organizations (continued)

Code	Description	Page
9N	Branch Chiefs and Above (No Regions)	28
9Q	Office of Investigations Field Office Directors	28
9R	Resident Inspectors	28
9S	Regional State Liaison Officers	28
9U	Regional Administrators	28
51	Fuel Cycle Licenses (FCSS/NMSS)	29
52	Enrichment and Gaseous Diffusion Facilities (FCSS/NMSS)	30
55	Spent Fuel Storage: Independent Spent Fuel Storage Installation Licensees (Site Specific and General) and Spent Fuel Storage Vendors (Cask Designers)	31
56	Spent Fuel Package and Transportation (Spent Fuel Only)	32

Contents (continued)

Distribution Lists by Topics

Code	Description	Page
AL	NUREG-0386, "NRC Staff Practice and Procedure Digest"	33
AT	NUREG-0383, "Directory of Certificates of Compliance for Radioactive Materials Packages" ...	34
A1	NUREG-0750, "Nuclear Regulatory Commission Issuances" (Six-Month Hardbound Compilation) ...	35
A2	NUREG-0750, "Nuclear Regulatory Commission Issuances" (Monthly Softbound Compilation)	36
A5	NUREG-0540, "Title List of Documents Made Publicly Available"	37
B1	NRC Rules and Regulations	38
B7	NUREG-0936, "NRC Regulatory Agenda"	39
CI	NUREG/IA Reports	40
MS	NUREG/BR-0195, "NRC Enforcement Manual" ..	41
MX	NUREG/BR-0075, "NRC Field Policy Manual" ...	42
NQ	NUREG-0090, "Abnormal Occurrence Report to Congress"	43
NR	NUREG-0713, "Annual Occupational Radiation Exposure Report"	44

Contents (continued)

Distribution Lists by Topics (continued)

Code	Description	Page
NV	NUREG-0040, "Licensee Contractor and Vendor Inspection Status Report" (White Book) ...	45
N1	NUREG-0430, "Licensed Fuel Facility Status Report"	46
N3	NUREG/BR-0117, "NMSS Newsletter"	47
RA	Light Water Reactor Safety—Geology and Seismology	48
RB	Light Water Reactor Safety—Meteorology and Hydrology	49
RC	Criticality Reports	50
RD	Structural Engineering	51
RE	Environmental Research	52
RG	Reliability and Risk Analysis Reports	53
RH	Health Safety Research Reports	54
RM	Mechanical Engineering Research	55
RO	Health Physics Technology	56
RR	Effluent and Radiation Field Source Term	57
RS	Safeguards Research	58

Contents (continued)

Distribution Lists by Topics (continued)

Code	Description	Page
RU	Health Physics College and University Education Programs	59
RV	Qualification Evaluation Program	60
RW	Radioactive Waste Management and Radionuclide Migration	61
RX	Human Factors Safety	62
RY	Siting Analysis	63
RZ	Fuel Cycle Facility Safety Research Program	64
R1	Water Reactor Safety Research—Basic List	65
R3	Severe Accident Research	66
R4	Water Reactor Safety Research—Thermal-Hydraulic Performance of Reactors	67
R5	Metallurgy and Materials Research	68
R9	Nuclear Plant Aging Research (NPAR) Program ...	69
1D	Decommissioning Reports and Papers	70
1T	NUREG-1447, "Standard Review Plan Update and Development Program—Implementing Procedures Document"	71

Contents (continued)

Distribution Lists by Topics (continued)

Code	Description	Page
1X	NUREG-0800, "Standard Review Plan for the Review of Safety Analysis Reports for Nuclear Power Plants"	72

Distribution Lists by Recipients and Organizations

CODE: AN

TITLE: Technical Information Libraries and
Distribution Centers

DESCRIPTION: This list includes NRC technical information libraries, such as the NRC Public Document Room, and Federal Centers that are designated to distribute and sell information to the public; for example, the National Technical Information Service. Reports are sent to these libraries and centers so that they are available to the public.

CONTACT: Juanita F. Beeson, OCIO (301-415-7174)

CODE: AO

TITLE: NRC Technical Information Libraries

DESCRIPTION: This list includes NRC technical information libraries at Headquarters and the Regions and the Public Document Room. Those on this list receive draft NUREG-series reports that are free to the public.

CONTACT: Juanita F. Beeson, OCIO (301-415-7174)

CODE: CB

TITLE: State Officials Receiving Advance Notification
of Nuclear Waste Shipments

DESCRIPTION: This list includes names of Governors' designees from all States who receive advance notification of the transportation of certain licensed radioactive material through their States.

CONTACT: Gwendolyn Davis, OSP (301-415-2325)

CODE:

CC

TITLE:

Low-Level Radioactive Waste Compact
Distribution

DESCRIPTION:

This list includes State officials belonging to a regional low-level radioactive waste compact and unaffiliated States. They receive, as appropriate, NRC documents concerning the Low-Level Radioactive Waste Policy Amendments Act of 1985, such as policy statements, Congressional testimony, proposed rules, and NUREG-series reports.

CONTACT:

Gwendolyn Davis, OSP (301-415-2325)

CODE: CH

TITLE: State Individuals Receiving High-Level Waste Reports

DESCRIPTION: This list includes individuals in the States who receive all information related to high-level waste disposal and the National Waste Policy Act.

CONTACT:. Anne E. Ramirez, NMSS (301-415-6631)

CODE: CJ

TITLE: Non-Agreement State Information

DESCRIPTION: This list includes Radiation Control Program representatives in the non-Agreement States and territories who are interested in the same NRC documents as the Agreement States.

CONTACT: Gwendolyn Davis, OSP (301-415-2325)

CODE: CO

TITLE: State Liaison Officers

DESCRIPTION: This list includes each Governor's appointed liaison officer. These officers provide a communication channel between each State and the NRC, and each liaison officer is responsible for keeping the Governor informed on NRC regulatory issues.

CONTACT: Kathaleen J. Kerr, OSP (301-415-3340)

CODE: CS

TITLE: State Utility Commissioners

DESCRIPTION: This list includes Public Utility Commissions in the States that are engaged in the economic regulation of nuclear utilities and key officials from the National Association of Regulatory Utility Commissioners (NARUC). Those on this distribution list receive NRC documents for review and comment. These documents include environmental impact statements for nuclear power stations, proposed rules, and special reports that deal with the issues of nuclear plant performance incentives, need for power, decommissioning, radioactive waste management, and other cost-related subjects of the nuclear fuel cycle.

CONTACT: Kathaleen J. Kerr, OSP (301-415-3340)

CODE: CV

TITLE: Foreign Arrangement Administrators

DESCRIPTION: This list includes administrative contacts who represent foreign regulatory bodies in countries that have signed information exchange arrangements or letter agreements.

CONTACT: Dianné J. Griggs, OIP (301-415-2347)

(NOTE: Code CV may not be used for any distribution purpose unless approval has been obtained from OIP.)

CODE: CY

TITLE: Agreement State Information

DESCRIPTION: This list includes contacts in the Agreement States who receive NRC documents that will aid the Agreement States in regulating certain radioactive materials.

CONTACT: Gwendolyn Davis, OSP (301-415-2325)

CODE: C3

TITLE: State and Federal Response Personnel
Associated With Radiological Emergency
Response Activities

DESCRIPTION: This list includes State officials from State radiological health organizations, emergency services organizations, and State liaisons. In addition, the list includes contacts in other Federal agencies with radiological emergency responsibilities.

CONTACT: Eric D. Weinstein, AEOD (301-415-7559)

CODE: DP

TITLE: Notice of Availability for Health Physics
Technical Reports

DESCRIPTION: This list includes Government organizations, educational institutions, and industrial groups who are notified about NRC documents issued by the Office of Nuclear Regulatory Research relating to health physics technology.

CONTACT: Stewart Schneider, RES (301-415-6225)

CODE: WA

TITLE: National Associations/Interest Groups in
High-Level Waste Management Program

DESCRIPTION: This list includes interested citizens and associations who have been approved by the Office of Nuclear Material Safety and Safeguards to receive NRC high-level waste management program reports.

CONTACT: Anne E. Ramirez, NMSS (301-415-6631)

CODE: WD

TITLE: Department of Energy Contacts—High-Level
Waste Management Reports

DESCRIPTION: This list includes Department of Energy representatives who receive reports of technical studies in the NRC high-level waste management program.

CONTACT: Anne E. Ramirez, NMSS (301-415-6631)

CODE: WF

TITLE: Federal Agency Contacts (Except Department of Energy)—High-Level Waste Management Reports

DESCRIPTION: This list includes Federal agency representatives (except those from the Department of Energy) who receive reports of technical studies in the NRC high-level waste management program.

CONTACT: Anne E. Ramirez, NMSS (301-415-6631)

CODE: WN

TITLE: NRC Contacts—High-Level Waste
Management Reports

DESCRIPTION: This list includes NRC staff who receive
reports of technical studies in the NRC high-
level waste management program.

CONTACT: Anne E. Ramirez, NMSS (301-415-6631)

CODE: XA

TITLE: Advisory Committee on Reactor Safeguards
Members

DESCRIPTION: This list includes members of the Advisory Committee on Reactor Safeguards (ACRS). The Committee reviews safety studies and facility license applications referred to it. The ACRS reports to and advises the Commission with regard to hazards on proposed or existing reactor facilities and the adequacy of proposed reactor safety standards.

CONTACT: Ethel M. Barnard, ACRS (301-415-8064)

(NOTE: Code XA may not be used for any distribution purpose unless approval has been obtained from Ethel Barnard.)

CODE: XC

TITLE: Advisory Committee on Nuclear Waste
Members

DESCRIPTION: This list includes the four members of the Advisory Committee on Nuclear Waste who are appointed by the Commission. The Committee reports to and advises the Commission on high-level and low-level nuclear waste disposal facilities and related matters under the NRC's purview.

CONTACT: Ethel M. Barnard, ACRS (301-415-8064)

(NOTE: Code XC may not be used for any distribution purpose unless approval has been obtained from Ethel Barnard.)

CODE: XG

TITLE: Regulatory Interest Groups

DESCRIPTION: This list includes special interest organizations at the national level, industry groups, and professional societies affected by or interested in NRC actions, such as rulemaking, policy statements, and public hearings. Other organizations and groups on the list have interests in agency actions involving industrial and medical licensees, fuel cycle production facilities, and power reactor licensees. This list can be used as a public outreach tool when the need for broad notification to various special interest groups arises. Notification through this list supplements the mandatory requirements or otherwise routine notification process for NRC actions, such as meeting notices, *Federal Register* notices, and press releases.

CONTACT: Francis X. Cameron, OGC (301-415-1642)

CODE: XP

TITLE: Atomic Safety and Licensing Board Panel
Members

DESCRIPTION: This list includes members of the Atomic Safety and Licensing Board Panel (ASLBP). ASLBP members are administrative judges comprised of lawyers, nuclear physicists, engineers, environmental scientists, chemists, and economists, who conduct adjudicatory hearings on the applications and construction of nuclear power plants and related facilities, license amendments, material licensing, enforcement, Program Fraud Civil Remedies and other related cases.

CONTACT: Jack G. Whetstine, ASLBP (301-415-7391)

CODE: 1A

TITLE: Pressurized Water Reactor Licensees and
Construction Permit Holders

DESCRIPTION: This list includes pressurized water reactor
licensees and construction permit holders
regulated by the NRC.

CONTACT: Gene R. Wood, OCIO (301-415-2070)

CODE: 1B

TITLE: Boiling Water Reactor Licensees and
Construction Permit Holders

DESCRIPTION: This list includes boiling water reactor li-
censees and construction permit holders regu-
lated by the NRC.

CONTACT: Gene R. Wood, OCIO (301-415-2070)

CODE: 1H

TITLE: Environmental Impact Statements

DESCRIPTION: This list includes Federal, State, and local agencies, parties to the proceeding, and individuals who receive a copy of draft environmental impact statements upon request. A notice is published in the *Federal Register* announcing the availability of these draft documents.

CONTACT: Gene R. Wood, OCIO (301-415-2070)

CODE: 1M

TITLE: Plant Managers

DESCRIPTION: This list includes plant or site managers for nuclear power facilities regulated by the NRC.

CONTACT: Gene R. Wood, OCIO (301-415-2070)

CODE: 1R

TITLE: Research and Test Reactor Roster

DESCRIPTION: This list includes the NRC's principal contact at universities or other establishments licensed to operate nuclear reactors for research or test purposes.

CONTACT: Etoy G. Hylton, NRR (301-415-1129)

CODE: 1S

TITLE: Utility and Reactor Vendor Executives

DESCRIPTION: This list includes the NRC's principal licensing contact at utilities, reactor vendors, and architect/engineering firms who have an interest in nuclear power.

CONTACT: Gene R. Wood, OCIO (301-415-2070)

CODE: 1V

TITLE: Vendors

DESCRIPTION: This list includes the NRC's principal contact at vendor companies that supply components to nuclear facilities and that are subject to the NRC's Vendor Inspection Program.

CONTACT: Gene R. Wood, OCIO (301-415-2070)

CODES:	9A	TITLES:	Chairman
	9B		Commissioners
	9C		Executive Director for Operations
	9D		Deputy Executive Directors
	9E		Office Directors (Includes ASLBP, ACRS, ACNW, CFO, CIO)
	9F		Deputy Office Directors
	9G		Division Directors
	9H		Division Directors (Technical Staff Only)
	9I		Assistant Directors
	9J		Branch Chiefs
	9L		Branch Chiefs and Above (Technical Staff Only)
	9N		Branch Chiefs and Above (No Regions)
	9Q		Office of Investigations Field Office Directors
	9R		Resident Inspectors
	9S		Regional State Liaison Officers
	9U		Regional Administrators

DESCRIPTION: These distribution lists are used to send internal NRC documents, NUREG-series reports, and other important agency information to those occupying the positions listed.

CONTACT: Gene R. Wood, OCIO (301-415-2070)

CODE: 51

TITLE: Fuel Cycle Licenses (FCSS/NMSS)

DESCRIPTION: This list includes facilities licensed (or pending application) by the Division of Fuel Cycle Safety and Safeguards (FCSS), Office of Nuclear Material Safety and Safeguards (NMSS), in accordance with 10 CFR Parts 40 and 70, and authorized to possess, use, and store special nuclear and source materials.

CONTACT: Pamela W. Shea, NMSS (301-415-8029)

CODE: 52

TITLE: Enrichment and Gaseous Diffusion Facilities
(FCSS/NMSS)

DESCRIPTION: This list includes gaseous diffusion and uranium enrichment facilities licensed (or pending application) by the Division of Fuel Cycle Safety and Safeguards (FCSS), Office of Nuclear Material Safety and Safeguards (NMSS), in accordance with 10 CFR Part 70 and authorized to perform enrichment activities.

CONTACT: Danielle A. Hoadley, NMSS (301-415-8129)

CODE: 55

TITLE: Spent Fuel Storage: Independent Spent Fuel Storage Installation Licensees (Site Specific and General) and Spent Fuel Storage Vendors (Cask Designers)

DESCRIPTION: This list includes facilities and/or vendors licensed (or pending application) by the Spent Fuel Licensing Section, Spent Fuel Project Office (SFPO), Office of Nuclear Material Safety and Safeguards (NMSS), in accordance with 10 CFR Part 72, and authorized to receive, transfer, possess, and/or package and store power reactor spent fuel and other radioactive materials at an independent spent fuel storage installation (ISFSI).

CONTACT: Virginia L. Tharpe, NMSS (301-415-8547)

CODE: 56

TITLE: Spent Fuel Package and Transportation (Spent Fuel Only)

DESCRIPTION: This list includes certificate holders and users (or pending holders) approved by the Spent Fuel Licensing Section, Spent Fuel Project Office (SFPO), Office of Nuclear Material Safety and Safeguards, in accordance with 10 CFR Part 71, and authorized to package for transport spent fuel only.

CONTACT: Virginia L. Tharpe, NMSS (301-415-8547)

(Note: This list does not include certificate holders for any other types of radioactive material transport packages.)

Distribution Lists by Topics

CODE: AL

TITLE: NUREG-0386, "NRC Staff Practice and Procedure Digest"

DESCRIPTION: This digest is a reference guide to all adjudicatory decisions and other issuances of the Commission, Atomic Safety and Licensing Boards, Administrative Law Judges, Presiding Officers, and Office Directors that are published in NUREG-0750, "Nuclear Regulatory Commission Issuances." The digest addresses adjudicatory decisions that interpret or apply the NRC Rules of Practice.

CONTACT: Stephen G. Burns, OGC (301-415-1740)

CODE: AT

TITLE: NUREG-0383, "Directory of Certificates of Compliance for Radioactive Materials Packages"

DESCRIPTION: This annual publication provides a source of information on radioactive materials packagings and quality assurance programs approved by the NRC. It consists of three volumes: Vol. 1, "Report of NRC Approved Packages"; Vol. 2, "Certificates of Compliance"; and Vol. 3, "Report of NRC Approved Quality Assurance Programs for Radioactive Materials Packages."

CONTACT: Eloise R. Ziegler, NMSS (301-415-8516)

(NOTE: Code AT is to be used in conjunction with Codes CJ and CY for complete distribution.)

CODE: A1

TITLE: NUREG-0750, "Nuclear Regulatory Commission Issuances" (Six-Month Hardbound Compilation)

DESCRIPTION: The hardbound edition of the Nuclear Regulatory Commission Issuances (NRCIs) is a final compilation of the monthly issuances. It includes all of the legal precedents for the agency within a six-month period. Any opinions, decisions, denials, memoranda, and orders of the Commission inadvertently omitted from the monthly softbound editions and any corrections submitted by the NRC legal staff to these softbound editions are included in the hardbound edition.

CONTACT: Vicki E. Yanez, OCIO (301-415-6844)

CODE: A2

TITLE: NUREG-0750, "Nuclear Regulatory Commission Issuances" (Monthly Softbound Compilation)

DESCRIPTION: The softbound edition of the Nuclear Regulatory Commission Issuances (NRCIs) is a monthly compilation of the adjudicatory decisions and other issuances of the Commission, the Atomic Safety and Licensing Boards, Administrative Law Judges, and Office Directors. Each issue contains all of the issuances for the specified month. Indexes to this publication are issued quarterly and semiannually.

CONTACT: Vicki E. Yanez, OCIO (301-415-6844)

CODE: A5

TITLE: NUREG-0540, "Title List of Documents
Made Publicly Available"

DESCRIPTION: This monthly report describes information received and generated by NRC. This information includes (1) docketed material associated with civilian nuclear power plants and other uses of radioactive materials and (2) nondocketed material received and generated by NRC pertinent to its role as a regulatory agency. This series of documents is indexed by a Personal Author Index, a Corporate Source Index, and a Report Number Index.

CONTACT: Elaine B. Morris, OCIO (301-415-6840)

CODE: B1

TITLE: NRC Rules and Regulations

DESCRIPTION: The NRC Rules and Regulations (Title 10, Chapter 1, Code of Federal Regulations) is a four-volume loose-leaf set of the Commission's Rules, Petitions for Rulemaking, Policy Statements, Memoranda of Understanding, Regulatory Guides, Systems of Record, and General Notices. The set is prepared by the Rules Review Section in the Office of Administration and is updated and published in the form of a supplement each month.

CONTACT: Alzonia W. Shepard, ADM (301-415-6864)

CODE: B7

TITLE: NUREG-0936, "NRC Regulatory Agenda"

DESCRIPTION: This semiannual report contains all rules on which the NRC has proposed or is considering action or has completed action. It includes petitions for rulemaking that have been received and are pending disposition by the Commission.

CONTACT: Betty K. Golden, ADM (301-415-6863)

CODE: CI

TITLE: NUREG/IA Reports

DESCRIPTION: International Agreement Reports are provided to NRC from foreign organizations under the terms of information exchange agreements in the field of reactor safety research and development. The reports are in English. Most reports to date are concerned with computer code assessment. This category does not include high-level waste, aging, or pressure boundary integrity.

CONTACT: Harold H. Scott, RES (301-415-6771)

CODE: MS

TITLE: NUREG/BR-0195, "NRC Enforcement Manual"

DESCRIPTION: An internal NRC staff document promulgating detailed guidance and procedures to implement NUREG-1600, "General Statement of Policy and Procedure for NRC Enforcement Actions (Enforcement Policy)." (These NUREGS are revised periodically.)

CONTACT: Geoffrey D. Cant, OE (301-415-3283)

CODE: MX

TITLE: NUREG/BR-0075, "NRC Field Policy Manual"

DESCRIPTION: The intent of this manual is to provide policy and guidance to all members of NRC management on subjects that do not fall within the exclusive purview of one headquarters office or region and are not currently included in the NRC manual.

CONTACT: Glenn M. Tracy, OEDO (301-415-1725)

CODE: NQ

TITLE: NUREG-0090, "Abnormal Occurrence Report to Congress"

DESCRIPTION: This annual report is published in accordance with Section 208 of the Energy Reorganization Act of 1974. NUREG-0090 reports events that NRC has determined are significant to public health and safety.

CONTACT: Harriet Karagiannis, AEOD (301-415-6377)

CODE: NR

TITLE: NUREG-0713, "Annual Occupational Radiation Exposure Report"

DESCRIPTION: This report summarizes the occupational radiation exposure data that are maintained in the U.S. Nuclear Regulatory Commission's (NRC) Radiation Exposure Information and Reporting System (REIRS). The information is compiled from the annual reports submitted by six of the seven categories of NRC licensees subject to the reporting requirements of 10 CFR 20.2206—commercial nuclear power reactors, industrial radiographers, fuel processors and fabricators, manufacturers and distributors of byproduct material, independent spent fuel storage installations, and low-level waste facilities. Currently, there are no geologic repositories for high-level waste. In addition, this report provides an analysis of personnel overexposures reported by these licensees in accordance with 10 CFR 20.2202 and 20.2203.

CONTACT: Mary L. Thomas, RES (301-415-6230)

CODE: NV

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

DESCRIPTION: This quarterly report covers the results of inspections performed by the NRC's Quality Assurance, Vendor Inspection, and Maintenance Branch that have been distributed to the inspected organizations.

CONTACT: Billy H. Rogers, NRR (301-415-2945)

CODE: N1

TITLE: NUREG-0430, "Licensed Fuel Facility Status Report"

DESCRIPTION: NUREG-0430 is an annual publication of licensed fuel facilities inventory difference data, following agency review of the information and completion of any related NRC investigations. Information in this report includes inventory difference data for active fuel fabrication facilities possessing more than one effective kilogram of high-enriched uranium, low-enriched uranium, plutonium, or uranium-233.

CONTACT: Thomas N. Pham, NMSS (301-415-8154)

CODE: N3

TITLE: NUREG/BR-0117, "NMSS Newsletter"

DESCRIPTION: This newsletter is issued quarterly by the Office of Nuclear Material Safety and Safeguards (NMSS) to all NMSS licensees and interested parties. It contains articles that discuss recent regulatory issues and provide administrative information. It includes descriptions of recent *Federal Register* notices, generic communications, significant enforcement actions, and significant operational events.

CONTACT: Paul F. Goldberg, NMSS (301-415-7842)

CODE: RA

TITLE: Light Water Reactor Safety—Geology and Seismology

DESCRIPTION: Reports in this category include information on the effects of geologic and seismologic phenomena on power plant siting, including structural and foundation engineering, and evaluations of siting concepts such as floating and underground power plants.

CONTACT: Richard B. McMullen, RES (301-415-6006)

CODE: RB

TITLE: Light Water Reactor Safety—Meteorology and Hydrology

DESCRIPTION: Reports in this category include information on the effects of meteorological and hydrological phenomena on power plant operation and siting.

CONTACT: Robert A. Kornasiewicz, RES
(301-415-6502)

CODE: RC

TITLE: Criticality Reports

DESCRIPTION: Reports in this category include information on all analyses and testing related to nuclear criticality, specifically experiments and analyses related to (1) storage and shipment of reactor fuels, both unirradiated fuel and spent fuel; (2) all aspects of the fuel cycle, such as fuel fabrication and reprocessing plants; (3) development of computer programs for analysis of nuclear criticality and comparisons of results of these codes with experimental data; and (4) development of cross-section data useful to nuclear criticality analyses.

CONTACT: Pamela W. Shea, NMSS (301-415-8029)

CODE: RD

TITLE: Structural Engineering

DESCRIPTION: Reports in this category deal with structural, earthquake, hydraulic, and coastal engineering research.

CONTACT: Richard B. McMullen, RES (301-415-6006)

CODE: RE

TITLE: Environmental Research

DESCRIPTION: Reports in this category include studies on the technical aspects of NRC health and environmental policies and programs, development of improved methods and procedures for licensing review and inspection and enforcement, and studies leading to improved regulations and guides to ensure effective health and environmental implementation at licensed facilities.

CONTACT: Robert A. Meck, RES (301-415-6205)

CODE: RG

TITLE: Reliability and Risk Analysis Reports

DESCRIPTION: Reports in this category are sent to government and industry sources involved in probabilistic analysis research in the areas of methodology development, equipment reliability analysis, human reliability analysis, data analysis, nuclear facility systems analysis, and consequence analysis, as well as applications of this research.

CONTACT: Mark A. Cunningham, RES (301-415-6189)

CODE: RH

TITLE: Health Safety Research Reports

DESCRIPTION: Reports in this category include studies on (1) the technical aspects of NRC health and environmental policies and programs, (2) the development of improved methods and procedures for licensing review and inspection and enforcement, (3) studies leading to improved regulations, and (4) guides to ensure the effective implementation of health and environmental policies and programs at licensed facilities.

CONTACT: Mary L. Thomas, RES (301-415-6230)

CODE: RM

TITLE: Mechanical Engineering Research

DESCRIPTION: Reports in this category include information on (1) experiments and analyses of the engineering and structural behavior of reactors, systems, components, and equipment; (2) the development and application of criteria for equipment qualification and testing methodologies; and (3) the establishment of a supporting data base for standards developed and other research sponsored by the Electrical, Materials and Mechanical Engineering Branch.

CONTACT: Michael E. Mayfield, RES (301-415-6690)

CODE: RO

TITLE: Health Physics Technology

DESCRIPTION: Reports in this category include information on new technologies for measuring and detecting radiation.

CONTACT: Mary L. Thomas, RES (301-415-6230)

CODE: RR

TITLE: Effluent and Radiation Field Source Term

DESCRIPTION: Reports in this category include information on all testing in operating nuclear power plants to determine (1) the radioisotope content of liquid and gaseous streams within the plant and the performance of plant equipment for evaluation of analysis methods used for determining nuclear plant effluents and (2) source terms and radiation fields associated with plant components and the cubicles within which they are contained for evaluation of current analysis approaches.

CONTACT: Stephen P. Klementowicz, NRR
(301-415-1084)

CODE: RS

TITLE: Safeguards Research

DESCRIPTION: Reports in this category include information on the technical aspects of NRC safeguards policies and programs, development of improved methods and procedures for licensing review, inspection and enforcement, and studies leading to improved regulations and guides to ensure effective safeguards implementation at licensed facilities.

CONTACT: Stanley P. Turel, RES (301-415-6234)

CODE: RU

TITLE: Health Physics College and University
Education Programs

DESCRIPTION: This list includes the program leaders in health physics programs and often includes the nuclear engineering and environmental departments at colleges and universities.

CONTACT: Robert A. Meck, RES (301-415-6205)

CODE: RV

TITLE: Qualification Evaluation Program

DESCRIPTION: Reports in this category include information on the performance qualifications of safety-related electrical equipment required to function during design-basis accidents.

CONTACT: Michael E. Mayfield, RES (301-415-6690)

CODE: RW

TITLE: Radioactive Waste Management and Radionuclide Migration

DESCRIPTION: Reports in this category deal with research in radioactive waste management and radionuclide transport in the environment. Issues treated encompass source term, performance of engineered systems, site characterization, hydrogeology, geochemistry, dose modeling, and total system performance assessment.

CONTACT: William R. Ott, RES (301-415-6210)

CODE: RX

TITLE: Human Factors Safety

DESCRIPTION: Reports in this category include information on (1) personnel performance, (2) human-system interfaces, (3) advanced digital instrumentation and controls, and (4) materials licensees performance. More specifically, the reports in this category document the results of research on (1) training, staffing, qualifications, and investigations of personnel performance; (2) methods and standards for the review and evaluation of advanced instrumentation and control systems, including the interface design; (3) methods for evaluating software, including verification and validation, that drives the instrumentation and controls; (4) evaluation of digital system hardware, including effects of environmental stressors; (5) methods for evaluating the full range of control room designs and the adequacy of information management systems; (6) guidelines and criteria for reviewing the human engineering aspects of advanced reactor control rooms, including the use of procedures; (7) human performance related to the industrial and medical use of nuclear materials; and (8) directly related topics.

CONTACT: Julius J. Persensky, RES (301-415-6759)

(NOTE: Code RX is generally used in conjunction with Codes IS and XA for complete distribution.)

CODE: RY

TITLE: Siting Analysis

DESCRIPTION: Reports in this category include technical studies concerning nuclear power plant siting and NRC notices of general interest pertaining to nuclear power plant siting.

CONTACT: Donald P. Cleary, NRR (301-415-3903)

CODE: RZ

TITLE: Fuel Cycle Facility Safety Research Program

DESCRIPTION: Reports in this category include studies on safety issues associated with the manufacture and distribution of nuclear fuel and (1) reports about technical aspects of NRC fuel cycle safety programs, (2) studies leading to improved regulations, and (3) guides to ensure the effective implementation of fuel cycle safety regulations.

CONTACT: Charles W. Nilsen, RES (301-415-6209)

CODE: R1

TITLE: Water Reactor Safety Research—Basic List

DESCRIPTION: Reports in this category include information on (1) safety research applicable to water-moderated and -cooled nuclear reactors; (2) development of safety experimental facilities, components, and instrumentation; (3) studies of accident probabilities and consequences; and (4) program planning. All Water Reactor Safety Research reports are distributed under the R1 category, with supplemental distribution under other Office of Nuclear Regulatory Research distribution lists as necessary.

CONTACT: Milton Vagins, RES (301-415-5684)

CODE: R3

TITLE: Severe Accident Research

DESCRIPTION: Reports in this category include information on the NRC's severe accident research program. Analytical and experimental efforts are included in the following areas: nuclear reactor fuel and cladding behavior under postulated reactor accident conditions, in-vessel core melt progression, fission product behavior, reactor vessel integrity, fuel-coolant interactions, debris coolability, core-concrete interactions, direct containment heating, hydrogen mixing and combustion, and computer codes for modeling and analysis of phenomena during postulated severe accidents.

CONTACT: Charles E. Ader, RES (301-415-5622)
Charles G. Tinkler, RES (301-415-6770)

CODE: R4

TITLE: Water Reactor Safety Research—
Thermal-Hydraulic Performance of Reactors

DESCRIPTION: Reports in this category include information on the development, verification, and application of analysis methods and codes for calculating postulated reactor and nuclear facility accident behavior. They include nuclear system analysis codes and component codes, which are developed for the analysis of a wide spectrum of accident levels and types, including fluid dynamics and fuel behavior during hypothetical loss-of-coolant, reactivity transient, or anticipated-transient-without-scrum accidents. Reports also include hydraulic performance of advanced reactors (e.g., AP600 and SBWR).

CONTACT: Harold H. Scott, RES (301-415-6771)

CODE: R5

TITLE: Metallurgy and Materials Research

DESCRIPTION: Reports in this category include information on experiments and analyses of nuclear reactor primary system materials, components, and system models under loads (mechanical and environmental) representing behavior under operating and postulated accident conditions in water-moderated and -cooled nuclear reactors. They include the development and application of criteria, analytical methods, design codes, and other research.

CONTACT: Michael E. Mayfield, RES (301-415-6690)

(NOTE: Code R5 is to be used in conjunction with Code R1 for complete distribution.)

CODE: R9

TITLE: Nuclear Plant Aging Research (NPAR)
Program

DESCRIPTION: A comprehensive Nuclear Plant Aging Research (NPAR) Program was implemented by the Office of Nuclear Regulatory Research to identify and resolve technical safety issues related to the aging of systems, structures, and components in operating nuclear power plants. Reports in this category include information on understanding and managing age-related degradation effects in important systems, structures, and components.

CONTACT: Jitendra P. Vora, RES (301-415-5833)

CODE: 1D

TITLE: Decommissioning Reports and Papers

DESCRIPTION: Reports and papers in this category include information related to the decommissioning of nuclear equipment and facilities. They include reports on safety analyses, cost evaluations, and annotated bibliographies of literature sources, as well as papers dealing with the re-evaluation of NRC policy.

CONTACT: Frank P. Cardile, NMSS (301-415-6185)

CODE: 1T

TITLE: NUREG-1447, "Standard Review Plan Update and Development Program—Implementing Procedures Document"

DESCRIPTION: The Implementing Procedures Document (IPD) was prepared for use in implementing tasks under the Standard Review Plan Update and Development Program (SRP-UDP). The IPD provides comprehensive guidance and detailed procedures for SRP-UDP tasks. The IPD is mandatory for contractors performing work for the SRP-UDP and is guidance for the staff.

CONTACT: Armando S. Masciantonio, NRR
(301-415-1290)

CODE: 1X

TITLE: NUREG-0800, "Standard Review Plan for the Review of Safety Analysis Reports for Nuclear Power Plants"

DESCRIPTION: The Standard Review Plan (SRP) is prepared for the guidance of staff reviewers in the Office of Nuclear Reactor Regulation who perform safety reviews of applications to construct or operate nuclear power plants. The SRP is a base from which to evaluate proposed changes in the scope and requirements of reviews. It also improves communication and understanding of the staff review process. Individual SRP sections of this plan are revised as required.

CONTACT: Armando S. Masciantonio, NRR
(301-415-1290)

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