

NUREG/BR-0052
Rev. 2

United States
Nuclear Regulatory Commission



Public Document Room File Classification System

Office of the Secretary

December 1995

Table of Contents

	<i>Page</i>
Preface	vii
Docket Files	1
Dockets	
27 - Low-Level Radioactive Waste Disposal Sites	1
30 - Byproduct Material Licenses	2
40 - Nuclear Source Material Facilities	2
50 - Nuclear Reactors and Fuel Reprocessing Plants	3
A. Application/Construction Stage Documents and Related Correspondence	4
B. Utility Preliminary Safety Analysis Report (PSAR) and Amendments	5
C. Utility Environmental Report (ER), Amendments, and Related Correspondence ...	5
D. NRC Draft and Final Environmental Statements (DES and FES), Supplements, and Related Correspondence	6
E. NRC Safety Evaluation Report (SER), Supplements, and Related Correspondence .	6
F. Security, Medical, Emergency, and Fire Protection Plans	7
G. Non-Antitrust Legal and Adjudicatory Correspondence	7
H. General Correspondence	8
I. Financial Information	8
J. Insurance and Indemnity Information	9
K. Utility Final and Updated Safety Analysis Reports (FSAR and USAR) and Amendments	9
L. Limited Work Authorization (LWA) and Related Correspondence	9
M. Antitrust Reviews and Related Correspondence	9
N. Antitrust Transcripts, Testimony, and Briefings	9
O. Advisory Committee on Reactor Safeguards (ACRS) Reports and Related Correspondence	10
P. Operating License Stage Documents and Related Correspondence	10
Q. Inspection Reports, Civil Penalties, Responses to Bulletins and Information Notices, and Related Correspondence	11
R. Periodic Operating Reports and Related Correspondence	12
S. Reportable Occurrences (ROs), Licensee Event Reports (LERs), Preliminary Notifications of Occurrences (PNOs), Preliminary Notifications of Safeguards Events (PNSs), and Related Correspondence	13
T. Transcripts, Testimony, and Briefings on Non-Antitrust Matters	13
U. Executive, Congressional, and State Government Correspondence	14
V. Licensing of Operators and Related Correspondence	14
W. Decommissioning Stage Documents and Related Correspondence	14
X. Onsite Storage of Low-Level Waste and Related Correspondence	15
Y. Independent Spent Fuel Storage Installations (ISFSIs) and Related Correspondence	15

Table of Contents (continued)

	<i>Page</i>
52 – Standard Design Certification, Early Site Permit, and Combined Licenses for Nuclear Power Plants	15
A. Application for Preliminary Design Approval (PDA), Final Design Approval and Design Certification (FDA/DC), Early Site Permit, Combined Construction/Operating License (COL), and Related Correspondence	17
B. Vendor Preliminary Standard Safety Analysis Report (PSSAR–PDA stage), Utility Preliminary Safety Analysis Report (PSAR–COL stage), and Amendments	18
C. Severe Accident Mitigation Design Alternative (SAMDA–PDA and FDA/DC Stages), Environmental Reports (ERs–Early Site Permit and COL Stages), Amendments and Related Correspondence	18
D. NRC Draft and Final Environmental Statements (DES and FES), Supplements, and Related Correspondence (Early Site Permit and COL Stages)	19
E. NRC Safety Evaluation Report (SER), Supplements, and Related Correspondence (Early Site Permit, PDA, FDA/DC, and COL Stages)	19
F. Reliability Assurance Program (RAP), Security, Medical, Emergency and Fire Protection Plans (PDA, FDA/DC, and COL Stages)	20
G. Non-Antitrust Legal and Adjudicatory Correspondence (Early Site Permit, PDA, FDA/DC, and COL Stages)	20
H. General Correspondence (Early Site Permit, PDA, FDA/DC, and COL Stages)	21
I. Financial Information (COL Stage)	21
J. Insurance and Indemnity Information (COL Stage)	22
K. Vendor Final Standard Safety Analysis Report (FSSAR–FDA/DC Stage), Utility Final Safety Analysis Report (FSAR–COL Stage), Updated Safety Analysis Report (USAR–COL Stage), and Amendments	22
L. Limited Work Authorization (LWA) and Related Correspondence (COL Stage)	22
M. Antitrust Reviews and Related Correspondence (COL Stage)	22
N. Antitrust Hearing Transcripts, Testimony, and Briefings (COL Stage)	22
O. Advisory Committee on Reactor Safeguards (ACRS) Reports and Related Correspondence (Early Site Permit, PDA, FDA/DC, and COL Stages)	23
P. Post-Combined Construction/Operating License Stage Documents and Related Correspondence (COL Stage)	23
Q. Inspection Reports, Civil Penalties, Responses to Bulletins and Information Notices, and Related Correspondence (COL Stage)	24
R. Periodic Operating Reports and Related Correspondence (COL Stage)	25
S. Reportable Occurrences (ROs), Licensee Event Reports (LERs), Preliminary Notifications of Occurrences (PNOs), Preliminary Notifications of Safeguards Events (PNSs), and Related Correspondence (COL Stage)	26
T. Transcripts, Testimony, and Briefings on Non-Antitrust Matters (Early Site Permit, PDA, FDA/DC, and COL Stages)	26
U. Executive, Congressional, and State Government Correspondence (Early Site Permit, PDR, FDA/DC, and COL Stages)	27
V. Licensing of Operators and Related Correspondence (COL Stage)	27

Table of Contents (continued)

	<i>Page</i>
W. Decommissioning Stage Documents and Related Correspondence (COL Stage)	27
X. Onsite Storage of Low-Level Waste and Related Correspondence (COL and Decommissioning Stages)	28
Y. Independent Spent Fuel Storage Installations (ISFSIs) and Related Correspondence (COL and Decommissioning Stages)	28
70 - Special Nuclear Materials	28
71 - Design of Packages for Transport of Radioactive Material and Quality Assurance (QA) Programs	29
72 - Independent Spent Fuel Storage Installations	29
NON-DOCKET FILES	30
10 CFR 9.7 - Commission Meeting Transcripts and Reports	31
ACRS - Advisory Committee on Reactor Safeguards Documents	31
ADVCM - NRC Advisory Committees	32
COMMISSION - NRC Commissioner Correspondence	32
CONTRACT - NRC Contracts and Grants	33
FOIA - Freedom of Information Act Requests and Appeals	33
GEN TECH IS - Generic Technical Issues	33
I&E - Inspection and Enforcement Issuances	33
I&E Manual - NRC Inspection Manual	34
I&E Misc - Draft Generic Communications	34
MISC - Public Document Room Miscellaneous	34
NUREG - NRC Staff and Contractor Formal Reports, Conference Proceedings, Brochures, International Agreement Reports, and Related Correspondence	34
ORG - Organizations	35
PRESS - Press Releases	35
PR - Proposed and Final Rules	35
PRM - Petitions for Rulemaking	36
PROJ - Projects	36
PT 21 - 10 CFR Part 21 Deficiency Reports	37
QA 999 - Vendor Quality Assurance Inspections	37
RC SSD - Registration of Certificates for Sealed Sources and Devices	37
REGGD - Regulatory Guides	38
RES - Research and Technical Assistance Reports (1974 through 1988)	38
REVIEW GRP - Review Groups	38
RM - Rulemakings	39
SECY - Staff Position Papers Prepared for the Commission	39
SPCH - Speeches	39
STATE PROG - State Programs	40
TOPREP - Topical Reports and Related Correspondence	40

Table of Contents (continued)

	<i>Page</i>
WASH - AEC-Issued Formal Reports and Related Correspondence	41
WM - Waste Management Documents	41
WMRES - Waste Management Contract Research Documents	41
XPORTLIC - Export and Import Licenses	41

PREFACE

This brochure describes in detail the file classification system for documents available from the Public Document Room (PDR), Office of the Secretary, U.S. Nuclear Regulatory Commission (NRC). As a public service branch of the NRC, the PDR makes readily available and easily accessible an extensive collection of unclassified documents related to the NRC's licensing and rulemaking activities.

The PDR collection, maintained in paper, microfiche, and electronic files, consists of a variety of agency documents, including NRC reports in the NUREG series, Weekly Information Reports, transcripts of Commission meetings, existing and proposed regulations and amendments, NRC licensing files and correspondence on technical, legal, regulatory, and policy matters. These documents are divided into two broad classes for ease of retrieval, docketed and non-docketed; each of these two classes is subdivided into more specific groups of document types. The PDR does not maintain collections of such formally published materials as books, monographs, serials, periodicals, or general indices that are usually available in a traditional library.

The PDR classification scheme corresponds to the organization of information in the *PDR's Accession List, Title List of Documents Made Publicly Available* (NUREG-0540), and the public documents database in the online Bibliographic Retrieval System (BRS). Offsite users may request information on the use and purpose of these resources from the PDR reference librarians by calling (202) 634-3273 or 800-397-4209, sending a facsimile request to (202) 634-3343, or writing to the USNRC, Public Document Room, Washington, D.C. 20555-0001. Offsite users may also request information and order documents through the Internet, using the PDR E-Mail address PDR@NRC.GOV. Persons interested in detailed information about the PDR facilities and other available services should request the *Public Document Room Users' Guide* (NUREG/BR-0004, Rev. 2).

DOCKET FILES

Each utility or institution engaged in a nuclear activity licensed and regulated by the U.S. Nuclear Regulatory Commission (NRC) is assigned a docket number. As used by NRC, docket numbers refer to the particular system by which NRC maintains its regulatory records, not to law court dockets. The first two digits of a docket number identify the type of nuclear activity that NRC regulates. These docket categories are as follows:

- 27 – Low-Level Radioactive Waste Disposal Sites
- 30 – Nuclear or Byproduct Material Licenses
- 40 – Nuclear Source Material Facilities
- 50 – Nuclear Reactors and Fuel Reprocessing Plants
- 52 – Standard Design Certifications, Early Site Permits, and Combined Licenses for Nuclear Power Plants
- 70 – Special Nuclear Materials
- 71 – Design of Packages for Transport of Radioactive Material and Quality Assurance Programs
- 72 – Independent Spent Fuel Storage Installations

Except for Docket 27, these numbers correspond to the parts of Title 10 in the *Code of Federal Regulations* (10 CFR) that cover regulations pertaining to those types of licenses. The remaining digits of a docket number uniquely identify a specific facility or institution. For example, Docket 50-317 identifies the Calvert Cliffs Nuclear Power Plant, Unit 1.

DOCKET 27—Low-Level Radioactive Waste Disposal Sites

The Docket 27 series contains documentation concerning the licensing of land disposal of low-level radioactive wastes. In the past, waste disposal licensees were assigned unique Docket 27 numbers. Unlike the other docket series, the first two digits of these docket numbers do not correspond to the part of 10 CFR that specifies NRC's authority for issuing these licenses and the regulations that these licensees must follow. The Docket 27 licenses were issued in accordance with Parts 30, 40, and 70 of 10 CFR in the absence of any final regulations governing the licensing of land disposal low-level radioactive wastes.

In the future, these licensing actions will be governed by 10 CFR Part 61, "Licensing Requirements for Land Disposal of Radioactive Waste." The prefix will then become Docket 61 followed by assigned numbers identifying a specific facility. Documents in these files include:

- Application for land disposal of low-level radioactive waste and supporting documents
- License and amendments
- Correspondence to and from the applicant regarding the application, license, and amendments
- Environmental report and supporting documents
- Inspection and enforcement reports and related correspondence
- Adjudicatory documents relating to proceedings before the licensing board and the Commission

DOCKET 30—Byproduct Material Licenses

The Docket 30 series contains documentation on the possession or use of nuclear byproduct materials for medical, industrial, and academic purposes. **These documents are maintained in the PDR on microfiche only.**

Documents in this series include:

- Application for a license, license amendments, and license renewals or modifications to the byproduct material license and related correspondence
- Denial, revocation, and suspension of a license and related correspondence
- Records related to the NRC inspection program and related correspondence
- Preliminary Notifications of Occurrences (PNOs), enforcement actions, civil penalties, and related correspondence
- Event reports, misadministration reports, and related correspondence
- Correspondence to and from local and State governments
- Adjudicatory documentation relating to proceedings before the Licensing Board and the Commission
- Other technical, legal, and licensing correspondence between NRC, the licensee, and other interested parties
- Periodic reports from licensees and related correspondence

DOCKET 40—Nuclear Source Material Facilities

The Docket 40 series contains documentation concerning the domestic licensing of nuclear byproduct materials relating to source material licenses. Licenses issued in accordance with 10 CFR Part 40 cover the possession, use, and processing of ores (uranium and thorium) and possession and use of uranium and thorium in a refined form. Each license application is assigned a unique Docket 40 number.

Paper files are maintained in the PDR for only those Docket 40 licensees involved in the nuclear fuel cycle; that is, mines, mills, and research and development facilities. Material on other licensees, such as those for possession of material for medical and industrial uses, are available **on microfiche only.**

Documents in these files include:

- Application for a license, license amendments and license renewals for source material license
- Source material license and license amendments
- Licensee-issued Environmental Report (ER) for those license applications that must comply with the National Environmental Policy Act (NEPA)
- NRC-issued Draft and Final Environmental Statements (DES and FES) for license applications that must comply with NEPA
- Site visits and related correspondence
- Inspection reports and related correspondence
- Environmental monitoring reports

- Adjudicatory documents and hearing transcripts relating to proceedings before the Licensing Board and the Commission
- Other technical, legal, and licensing correspondence between NRC, the licensee, and other interested parties

NOTE: For transcripts of Commission meetings and papers submitted for Commission consideration on a specific docket, see the 10 CFR 9.7 and SECY non-docketed files.

DOCKET 50—Nuclear Reactors and Fuel Reprocessing Plants

The Docket 50 series contains documentation concerning the domestic licensing of production and utilization facilities. Licenses issued in accordance with 10 CFR Part 50 cover commercial nuclear power plants; experimental, research, and test reactors; and fuel fabrication facilities. The NRC staff assigns Docket 50 number when it considers that the application and the Preliminary Safety Analysis Report (PSAR) submitted are complete enough for staff review. "Predocketed" material is assigned a project number and is filed in the applicant's project file.

Because of the large volume of documentation accumulated over the lifetime of a facility, each Docket 50 file is subdivided into the following categories that pertain either to different aspects of the licensing process or to document types.

- A. Application/Construction Stage Documents and Related Correspondence
- B. Utility Preliminary Safety Analysis Report (PSAR) and Amendments
- C. Utility Environmental Report (ER), Amendments, and Related Correspondence
- D. NRC Draft and Final Environmental Impact Statements (DES and FES) Supplements, and Related Correspondence
- E. NRC Safety Evaluation Report (SER), Supplements, and Related Correspondence
- F. Security, Medical, Emergency, and Fire Protection Plans
- G. Non-Antitrust Legal and Adjudicatory Correspondence
- H. General Correspondence
- I. Financial Information
- J. Insurance and Indemnity Information
- K. Utility Final and Updated Safety Analysis Reports (FSAR and USAR) and Amendments
- L. Limited Work Authorization (LWA) and Related Correspondence
- M. Antitrust Reviews and Related Correspondence
- N. Antitrust Transcripts, Testimony, and Briefings
- O. Advisory Committee on Reactor Safeguards (ACRS) Reports and Related Correspondence
- P. Operating License Stage Documents and Related Correspondence
- Q. Inspection Reports, Civil Penalties, Responses to Bulletins and Information Notices, and Related Correspondence

- R. Periodic Operating Reports and Related Correspondence
- S. Reportable Occurrences (ROs), Licensee Event Reports (LERs), Preliminary Notification of Occurrences (PNOs), Preliminary Notification of Safeguard Events (PNSs), and Related Correspondence
- T. Transcripts, Testimony, and Briefings on Non-Antitrust Matters
- U. Executive, Congressional, and State Government Correspondence
- V. Licensing of Operators and Related Correspondence
- W. Decommissioning Stage Documents and Related Correspondence
- X. Onsite Storage of Low-Level Waste and Related Correspondence
- Y. Independent Spent Fuel Storage Installations (ISFSIs) and Related Correspondence

A detailed description of each category and the documents included in the files for each category follows.

A. APPLICATION/CONSTRUCTION STAGE DOCUMENTS AND RELATED CORRESPONDENCE

Documents in this category track the application from submittal to the day preceding the issuance of an operating license. It contains all correspondence and other documents with substantive technical content that are not in other specific categories. Included are:

- Application for construction permit
- General information submitted with the construction permit application
- Amendments and changes to the application
- NRC questions, Requests for Additional Information (RAIs), and applicant responses
- Early site reviews
- Correspondence and documents relating to unresolved design and construction issues
- Meeting announcements and summaries of the meetings
- Correspondence relating to the utility's Preliminary Safety Analysis Report (PSAR).
- Information on laws and changes in regulations or policy that affect the status of the application (National Environmental Policy Act (NEPA), Water Quality Improvement Act, Water Pollution Control Act, etc.)
- Construction permit, amendments, related correspondence, and orders issued by the Office of Nuclear Reactor Regulation (NRR) show-cause and modification orders which do not involve the former Atomic Safety Licensing and Appeal Board
- Scheduling of license application, amendments, and reviews
- Environmental review information (other environmental documents are filed in categories C, D, P, R, or W)
- Seismic qualification review team (SQRT) reports and related correspondence

- Application for operating license
- General information submitted with the Operating License application
- Amendments and changes to the application for Operating License
- Correspondence related to the utility's Final Safety Analysis Report (FSAR) and Updated Safety Analysis Report (USAR)
- Generic and administrative communications and related documentation that may affect the subject facility and which are *not covered by a bulletin or notice*
- Safety evaluation reports (SER) issued by the NRC on specific generic issues
- Reports on site visits
- Backup technical documents (e.g., topical reports) submitted in support of the application
- Probabilistic risk assessment (PRA) and related documentation
- Employee allegations and related documentation (other documents may be filed in categories G, Q, or T)
- Documents relating to possible equipment failure and emergency instructions
- NRC's changes in internal organizational structure

B. UTILITY PRELIMINARY SAFETY ANALYSIS REPORT (PSAR) AND AMENDMENTS

This category contains the Preliminary Safety Analysis Report (PSAR) submitted by the utility (formerly called Hazards Summary report or Safety Analysis Reports) and the following related material:

- Amendments and changes to the PSAR
- Transmittal and acknowledgment letters
- Certificates of service to the PSAR

NOTE: All related correspondence is filed in category A.

C. UTILITY ENVIRONMENTAL REPORT (ER), AMENDMENTS, AND RELATED CORRESPONDENCE

The category contains the Environmental Report (ER) submitted by the utility and the following related material:

- Amendments and supplements to the ER
- *Federal Register* notices citing the availability of the ER and amendments
- Transmittal and acknowledgment letters
- Information on scheduling of submittal or review of ER
- NRC questions, RAIs and applicant responses
- Correspondence relating to the review of ER

- Meeting announcements and summaries of meetings
- Correspondence relating to certification of pollution control facilities

NOTE: Other environmental documents are filed in categories A, D, P, R, or W.

D. NRC DRAFT AND FINAL ENVIRONMENTAL STATEMENTS (DES AND FES), SUPPLEMENTS, AND CORRESPONDENCE

This category contains Draft and Final Environmental Statements (DES and FES) prepared by NRC, and the following related material:

- Supplements to the DES and FES
- *Federal Register* notices announcing the availability of the DES, FES, and supplements
- Correspondence relating to the DES and FES
- Comments from other Federal, State and local government agencies, organizations, and interested individuals
- Transmittal and acknowledgment letters
- Documents related to NRC review of environmental issues or review of the ER for purposes of preparing the environmental statements
- Backup technical documents submitted in support of the DES and FES
- Reports of site visits to obtain information for the DES or FES
- Meeting announcements and summaries of meeting which the primary subject of discussion is the DES or FES

NOTE: Other environmental documents and correspondence are filed in categories A, C, P, R, or W

E. NRC SAFETY EVALUATION REPORT (SER), SUPPLEMENTS, AND RELATED CORRESPONDENCE

This category contains the formal Safety Evaluation Report (SER) prepared by the NRC staff (formerly called NRC-AEC hazard analysis report) in review of PSAR, and the following related material:

- Supplements to the SER
- *Federal Register* notices announcing the availability of the SER and supplements
- Correspondence relating to the SER and supplements
- Information on scheduling of an SER submittal and review
- RAIs for use in preparing the SER; and responses to such requests
- Meeting announcements and meeting summaries at which the primary subject of discussion is the SER
- Transmittal and acknowledgment letters

NOTE: Other documents related to specific safety-related issues (that may be referred to as SERs) are filed in categories A, P, or W, depending on the phase of the licensing process.

F. SECURITY, MEDICAL, EMERGENCY, AND FIRE PROTECTION PLANS

All plans in this category are individually submitted by the applicant or licensee. Emergency and fire protection plans submitted as part of the licensing application are filed in this category.

- Fire hazard protection plan and surveys
- Plant evacuation correspondence
- Safeguard contingency plan
- Health physics program and its review
- Emergency implementing procedures
- Emergency action levels
- Emergency plan
- Supplements, changes, and revisions to the plans
- Correspondence relating to the aforementioned plans
- Correspondence and documentation relating to guard training, emergency response centers, and emergency preparedness
- Documentation on security, non-operator fitness procedures, employee unescorted access and related correspondence
- Transmittal and acknowledgment letters
- Meeting announcements and meeting summaries at which the primary subject of discussion is related to the aforementioned plans and topics

G. NON-ANTITRUST LEGAL AND ADJUDICATORY CORRESPONDENCE

This category contains all non-antitrust legal and adjudicatory documentation, except for transcripts, briefings, and testimony, which are filed in category T. Show-cause and modification orders issued by the Office of Nuclear Reactor Regulation (NRR), and not before the licensing board, are filed in categories A and P. Exhibits to the proceedings (hearings) are maintained in the PDR on microfiche only. Paper files of the exhibits are available upon request to the PDR from the Docketing and Services Branch, Office of the Secretary.

- Atomic Safety and Licensing Board (ASLB) and the former Atomic Safety and Licensing Appeal Board (ASLAB) hearing-related documents
- *Federal Register* notices regarding hearings
- Requests to make appearances at hearings
- Motions, briefs, arguments, statements, and related correspondence filed by participants for hearings
- Transmittal of supporting documents (e.g., SER, FES) to the licensing board
- Correspondence to and from intervenors
- Board orders and decisions

- Formal petitions for Commission action
- Petitions filed in accordance with 10 CFR 2.206 to the Executive Director for Operations
- Legal filings, director's decisions, Commission orders and decisions
- Orders prohibiting involvement in NRC-licensed activities, appeals, and related decisions

H. GENERAL CORRESPONDENCE

This category contains documents with little or no bearing on the status of the application or license. Items that have no substantive technical content and administrative documents are included.

- Change-of-address notifications (external only)
- Changes in structure of organization (external only)
- Changes in service lists
- NRC requests to applicants for additional copies of documents
- Correspondence from the public requesting information about the facility, and NRC response
- Correspondence on purely administrative matters
- Letters of support, concern, or opposition to the facility
- Correspondence relating to the Local Public Document Rooms (LPDRs)
- Professional qualifications statements not pertaining to the hearing process
- Constituent, organizational, or utility correspondence forwarded by members of Congress to NRC for response
- Resolutions passed by State and local governing bodies (e.g., town councils)

NOTE: Letters of concern, support, or opposition for all plants are filed in a General Public Comments folder and are retained for 6 months from the date of receipt in the PDR.

I. FINANCIAL INFORMATION

This category contains all financial information except for that submitted as part of the application or its amendments or that relate to the imposition of civil penalties.

- Company annual reports, auditor statements, and stock prospectuses for all companies holding ownership
- Separately submitted financial information and related correspondence
- Transcripts and testimony before State commissions pertinent to financial information requested by NRC
- Decommissioning funding reports

J. INSURANCE AND INDEMNITY INFORMATION

This category contains indemnity agreements and amendments as well as:

- Endorsements of insurance policies
- Other correspondence regarding indemnity and insurance matters

K. UTILITY FINAL AND UPDATED SAFETY ANALYSIS REPORTS (FSAR AND USAR) AND AMENDMENTS

This category contains the following utility documents:

- Final Safety Analysis Report (FSAR); formerly called Final Hazards Summary Report
- Updated Safety Analysis Report (USAR) periodically updated to incorporate new information or modifications to the facility
- Amendments and changes to the FSAR and USAR
- *Federal Register* notices announcing the availability of the FSAR and amendments
- Transmittal and acknowledgement letters
- Certificates of service to the FSAR and USAR

NOTE: All related correspondence is filed in category A or P. Emergency and fire protection plans submitted as part of the licensing application are filed in category F.

L. LIMITED WORK AUTHORIZATION (LWA) AND RELATED CORRESPONDENCE

This category contains documents pertaining to the limited work authorization (LWA) whereby applicants can conduct limited site preparation and construction before the NRC grants a construction permit.

- Limited Work Authorization (LWA) and amendments
- Correspondence pertaining to work performed under the LWA

M. ANTITRUST REVIEWS AND RELATED CORRESPONDENCE

This category contains documents submitted as part of the application for a construction permit and operating license that are entitled "Information Requested by the Attorney General for Antitrust Review," including:

- Correspondence in which the primary topic of discussion concerns antitrust matters
- All antitrust proceeding documents, except hearing transcripts, testimony, and briefings, which are filed in category N

N. ANTITRUST TRANSCRIPTS, TESTIMONY, AND BRIEFINGS

This category contains verbatim transcripts of hearings, testimony, and briefings in antitrust matters. Related correspondence is filed in category M.

O. ADVISORY COMMITTEE ON REACTOR SAFEGUARDS (ACRS) REPORTS AND RELATED CORRESPONDENCE

This category contains plant-specific documents pertaining to ACRS safety reviews. Included are:

- ACRS reports relating to facility license applications
- Announcements of ACRS meetings relating to facility license applications, including descriptions of meeting agenda
- Statements and written testimony by ACRS members or presented by individuals at ACRS proceedings relating to both facility license applications and safety-related matters
- Technical correspondence and memoranda to and from ACRS, including transmittal and acknowledgment letters relating to facility license applications

NOTE: For generic and document-specific safety-related material, transcripts of ACRS subcommittee and full committee meetings, minutes, and ACRS reports (consultant, contract, and letter), see ACRS non-docket file.

P. OPERATING LICENSE STAGE DOCUMENTS AND RELATED CORRESPONDENCE

This category contains general technical documents dated from the issuance of the operating license until the order for termination of the license. Included are:

- Operating license, amendments, proposed amendments, changes, and related correspondence
- Show-cause and modification orders issued by NRR (not before the licensing board) for the operating license
- Correspondence regarding the utility's Final and Updated Safety Analysis Report (FSAR and USAR)
- *Federal Register* notices announcing availability of operating license, amendments, FSAR and USAR
- Technical specifications, proposed changes, revisions and related correspondence
- Backup technical documents (e.g., topical reports) submitted in support of the aforementioned items
- All general technical correspondence, meeting announcements and meeting summaries relating to the technical specifications, the operating license, or technical issues arising after the issuance of the operating license
- Correspondence relating to codes (e.g., American Society of Mechanical Engineers), regulations, laws, and changes in policy that may affect plant operation or the operating license
- NRC questions, RAIs, and licensee responses
- Information on the Standard Review Plan (SRP)
- Results of surveys or tests conducted in accordance with the technical specifications (not periodic reports, which are filed in category R)
- Correspondence relating to NRC's Systematic Evaluation Program (SEP)
- Owners' group meeting announcements and reports

- Quality assurance plan and related correspondence
- Environmental matters (technical data)
- Seismic Qualification Review Team (SQRT) reports and related correspondence
- Emergency core cooling system documents
- Radioactive waste information excluding onsite storage of low-level waste (filed in category X) and independent spent fuel installations of high-level waste (filed in category Y)
- Correspondence relating to expansion of the spent fuel storage pool
- Startup test reports
- Generic and administrative communications and related documentation that may affect the subject facility but is not covered by a Bulletin or Notice
- SERs on specific generic issues
- Documents relating to possible equipment failure and emergency instructions
- Documents relating to inservice testing procedures and results (not inservice inspections, which are filled in category Q)
- Specific plant evaluation documents
- Probabilistic Risk Assessment (PRA) reports
- Employee allegations and related documentation (other documents may be filed in categories G, Q, or T)
- Reports on site visits
- Application to voluntarily terminate license and to dismantle and dispose of component parts
- Information on changes in NRC's internal organizational structure

Q. INSPECTION REPORTS, CIVIL PENALTIES, RESPONSES TO BULLETINS AND INFORMATION NOTICES, AND RELATED CORRESPONDENCE

This category contains the following applicant/licensee material:

- Inspection reports
- Responses to Bulletins (formerly called Regulatory Operations, RO Bulletins), Circulars (discontinued in 1981) and Information Notices, and related correspondence
- Applicant/licensee determinations of the proprietary nature of inspection reports
- Letters concerning areas of noncompliance
- Preservice and inservice inspections and procedures
- Notices of violation and proposed impositions of civil penalty and Demands for Information (DFIs)
- Correspondence and orders relating to the imposition and payment of civil penalties, including Enforcement Notifications (ENs) and Significant Enforcement Actions (EAs)

- Notices of deviation and related correspondence
- Notices of enforcement conferences, meetings, and related reports
- Correspondence relating to inspection and enforcement that does not specifically relate to incidents or events as defined in category S
- Health physics inspections and appraisals
- Emergency preparedness inspections and appraisals
- Inspections and related correspondence from the International Atomic Energy Agency (IAEA)
- Risk-based Inspection Guides (RIGs)
- Systematic Assessment of Licensee Performance (SALP)
- Incident Investigation Team (ITT) reports
- Construction Appraisal Team/Construction Assessment Team (CAT) reports
 - Integrated Design Inspection (IDI) reports
 - Independent Design Verification Program (IDVP) reports
- Notices of significant licensee meetings
- Investigation reports and related documentation, and responses to employee allegations (other documents are filed in categories A, P, G, or T)
- Performance Appraisal Team (PAT) reports
- Licensee/vendor interface inspections
- Correspondence relating to the aforementioned items

NOTE: For bulletins and information notices, see non-docket I&E file.

R. PERIODIC OPERATING REPORTS AND RELATED CORRESPONDENCE

This category contains periodic reports of a routine nature.

- Monthly, semiannual, and annual operating reports (other than financial) for construction, operating, and decommissioning stages
- Periodic environmental monitoring, effluent testing, or similar reports
- Periodic personnel exposure reports
- Periodic fitness for duty performance data
- Periodic facility changes, tests and experiments
- Facility simulation certification four year update reports
- Periodic nonconformance reports (issued in accordance with licensing board orders)
- Operational logbooks on

- environmental data
 - radiological data
 - plant systems core
 - plant status summary sheets
 - Correspondence and other documents relating to the aforementioned items.
- S. REPORTABLE OCCURRENCES (ROs), LICENSEE EVENT REPORTS (LERs), PRELIMINARY NOTIFICATIONS OF OCCURRENCES (PNOs), PRELIMINARY NOTIFICATIONS OF SAFEGUARDS EVENTS (PNSs), AND RELATED CORRESPONDENCE**

This category contains all materials relating to abnormal, unusual, reportable, and non-routine occurrences or events. These include:

- All 24-hour, 10-day, 30-day, interim and final Licensee Event Reports (LERs) and follow-up correspondence (also called incident reports, abnormal occurrences, special reports, and reportable occurrences)
- Potential or possibly reportable Deficiency Reports and related correspondence
- Individual Personnel Exposure Reports
- Construction Deficiency Reports submitted in accordance with 10 CFR 50.55(e)
- Documents related to the issuance of a Preliminary Notification of Occurrence (PNO), Preliminary Notification of Safeguards Events (PNS), and related correspondence
- Environmental technical specifications violation reports and environmental event reports
- Part 21 reports of defects and noncompliance
- Correspondence and other documents relating to the aforementioned items

NOTE: For PNOs and PNSs, see I&E non-docket file.

T. TRANSCRIPTS, TESTIMONY, AND BRIEFINGS ON NON-ANTITRUST MATTERS

This category contains verbatim transcripts, testimony, and briefings except for congressional matters (filed in category U) and antitrust matters (filed in category N).

- Atomic Safety and Licensing Board (ASLB) and the former Atomic Safety and Licensing Appeal Board (ASLAB) transcripts
- Testimony and statements submitted to ASLB and the former ASLAB
- Transcripts of Commission meeting
- NRC staff briefings to the Commission
- Statements and written testimony submitted at Commission meetings and hearings
- Transcripts of utility briefings to NRC staff
- Corrections to the aforementioned items

NOTE: Transcripts on specific dockets are also filed in ACRS and 9.7 non-docket files.

U. EXECUTIVE, CONGRESSIONAL, AND STATE GOVERNMENT CORRESPONDENCE

This category contains documents and related correspondence that have substantive technical and administrative content, including:

- Statements and testimony before Congress or before bodies/committees appointed by the Executive or Legislative branches
- Technical reports and related information supplied for the record of congressional hearings
- Follow-up questions and answers to the aforementioned
- Correspondence to and from Congress and the Executive Branch on other than constituent response matters
- Correspondence to or from State Legislative bodies

NOTE: Routine responses to constituent inquiries are filed in category H.

V. LICENSING OF OPERATORS AND RELATED CORRESPONDENCE

This category contains information bearing on licensing of operators and shift engineers, including:

- Power plant examination summary sheets
- Correspondence relating to operator examinations
- Documentation on operator laboratory tests or reports and related correspondence
- Documents relating to operator fitness for duty and related correspondence
- Orders prohibiting operators from further nuclear licensed activities, and related correspondence (other documents may be filed in category G)

W. DECOMMISSIONING STAGE DOCUMENTS AND RELATED CORRESPONDENCE

This category contains general technical items dated from the order to terminate the operating license.

- Order granting authority to dismantle/decommission
- Decommissioning Plan, Dismantling Plan, Environmental Report on dismantling and Safety Analysis Report on decommissioning
- Documents relating to the disposal of radioactive material and decontamination of the site
- Other correspondence relating to decommissioning
- All documentation relating to the ongoing operation of the plant which was formerly filed in category P

X. ONSITE STORAGE OF LOW-LEVEL WASTE AND RELATED CORRESPONDENCE

This category contains material related to onsite storage of Low-Level Waste (LLW).

- License application, license, proposed amendments, and amendments to store LLW at a commercial reactor site
- Technical reports and related correspondence

NOTE: The documents in this category will also have a Nuclear Materials Safety and Safeguards (NMSS) Docket 30 license number associated with the Docket 50 number.

Y. INDEPENDENT SPENT FUEL STORAGE INSTALLATIONS (ISFSIs) AND RELATED CORRESPONDENCE

This category contains material related to license applications, license, amendments and proposed amendments to possess power reactor spent fuel and other radioactive materials associated with spent fuel storage in an independent spent fuel storage installation. (Such ISFSIs may be on a reactor site or at a separate site.)

- All related correspondence and reports to the aforementioned items

NOTE: The documents in this category will have an NMSS Docket 72 license number. For these installations on a reactor site, the associated Docket 50 number also has been referenced.

DOCKET 52—Standard Design Certification, Early Site Permit, and Combined Licenses for Nuclear Power Plants

The Docket 52 series contains documentation on the domestic licensing of production facilities. Licenses issued in accordance with 10 CFR Part 52 cover preliminary and final design approval of standard designs, early site permits, and combined licenses for nuclear power plants. A Docket 52 number is assigned when the NRC considers that the application submitted is complete enough for staff review. "Predocketed" material is assigned a project number and is filed in the applicant's project file.

Because of the large volume of documentation accumulated over the lifetime of an application, each Docket 52 file is subdivided into the following categories that pertain either to different aspects of the licensing process or to document types. These categories are similar to those used for the Docket 50 files, but have been modified to reflect the special requirements of Docket 52 applications.

- A. Application for Preliminary Design Approval (PDA), Final Design Approval and Design Certification (FDA/DC), Early Site Permit, Combined Construction/Operating License (COL), and related correspondence
- B. Vendor Preliminary Standard Safety Analysis Report (PSSAR-PDA stage), Utility Preliminary Safety Analysis Report (PSAR-COL stage), and Amendments
- C. Severe Accident Mitigation Design Alternative (SAMDA-PDA and FDA/DC stages), Environmental Reports (ERS-Early Site Permit and COL stages), Amendments, and related correspondence
- D. NRC Draft and Final Environmental Statements (DES and FES), Supplements, and related correspondence (Early Site Permit and COL stages)
- E. NRC Safety Evaluation Report (SER), Supplements, and related correspondence (Early Site Permit, PDA, FDA/DC, and COL stages)

- F. Reliability Assurance Program (RAP), Security, Medical, Emergency and Fire Protection Plans (PDA, FDA/DC, and COL stages)
- G. Non-Antitrust Legal and Adjudicatory Correspondence (Early Site Permit, PDA, FDA/DC, and COL stages)
- H. General Correspondence (Early Site Permit, PDA, FDA/DC, and COL stages)
- I. Financial Information (COL stage)
- J. Insurance and Indemnity Information (COL stage)
- K. Vendor Final Standard Safety Analysis Report (FSSAR–FDA/DC Stage), Utility Final Safety Analysis Report (FSAR–COL Stage), Updated Safety Analysis Report (USAR–COL Stage), and Amendments
- L. Limited Work Authorization (LWA) and Related Correspondence (COL Stage)
- M. Antitrust Reviews and Related Correspondence (COL Stage)
- N. Antitrust Hearing Transcripts, Testimony, and Briefings (COL Stage)
- O. Advisory Committee on Reactor Safeguards (ACRS) Reports and Related Correspondence (Early Site Permit, PDA, FDA/DC, and COL Stages)
- P. Post Combined Construction/Operating License Stage Documents and Related Correspondence (COL Stage)
- Q. Inspection Reports, Civil Penalties, responses to Bulletins and Information Notices, and Related Correspondence (COL Stage)
- R. Periodic Operating Reports and Related Correspondence (COL Stage)
- S. Reportable Occurrences (ROs), Licensee Event Reports (LERs), Preliminary Notification of Occurrence (PNOs), Preliminary Notification of Safeguard Events (PNSs), and Related Correspondence (COL Stage)
- T. Transcripts, Testimony, and Briefings on Non-Antitrust Matters (Early Site Permit, PDA, FDA/DC, and COL Stages)
- U. Executive, Congressional and State Government correspondence (Early Site Permit, PDA, FDA/DC, and COL Stages)
- V. Licensing of Operators and Related Correspondence (COL Stage)
- W. Decommissioning Stage Documents and Related Correspondence (COL Stage)
- X. On-site Storage of Low-Level Waste and Related Correspondence (COL and Decommissioning Stage)
- Y. Independent Spent Fuel Storage Installations (ISFSIs) and Related Correspondence (COL and Decommissioning Stages)

A detailed description of each category and the documents included in each category follows.

A. APPLICATION FOR PRELIMINARY DESIGN APPROVAL (PDA), FINAL DESIGN APPROVAL AND DESIGN CERTIFICATION (FDA/DC), EARLY SITE PERMIT, COMBINED CONSTRUCTION/OPERATING LICENSE (COL), AND RELATED CORRESPONDENCE

Documents in this category track the application for Preliminary Design Approval (PDA) or Final Design Approval and Design Certification (FDA/DC) to the issuance of the PDA or FDA, respectively, or the application of the early site permit until issuance of the permit. It contains all correspondence and documents with substantive technical content that are not in other specific categories. Included are:

- Application for preliminary design approval
- Application for final design approval and design certification
- Application for early site permit
- General information submitted with the application
- Amendments and changes submitted by applicants
- NRC questions, Requests for Additional Information (RAIs), and applicant responses
- Meeting announcements and summaries of the meetings
- Correspondence relating to the Preliminary or Final Standard Safety Analysis Report (SSAR)
- Information on laws and changes in regulations or policy that affect the status of the application (National Environmental Policy Act (NEPA), Water Quality Improvement Act, Water Pollution Control Act, etc.)
- Preliminary Design Approval (PDA), and amendments and correspondence relating to the PDA
- Final Design Approval (FDA), and amendments and correspondence relating to the FDA
- Early site permit, amendments and related correspondence
- Scheduling documentation
- Backup technical documents (e.g., topical reports) submitted in support of the application
- The design-specific Probabilistic Risk Assessment (PRA), and related documentation
- Proposed tests, analyses, and acceptance criteria and related documentation
- Design Acceptance Criteria (DAC) and related correspondence
- Documents addressing policy issues raised to the Commission via Commission papers
- Documents addressing resolution of issues for the application
- Generic and administrative communications and related documentation which may affect the subject facility and which are not covered by a Bulletin or Notice
- Employee allegations and related documentation (other documents may be filed in categories G, Q, or T)
- NRC's changes in internal organizational structure

B. VENDOR PRELIMINARY STANDARD SAFETY ANALYSIS REPORT (PSSAR-PDA STAGE), UTILITY PRELIMINARY SAFETY ANALYSIS REPORT (PSAR-COL STAGE), AND AMENDMENTS

This category contains the following documents:

- Preliminary Standard Safety Analysis Report (PSSAR) submitted by vendor
- Amendments and changes to the PSSAR
- Preliminary Safety Analysis Report (PSAR) submitted by the utility
- Amendments and changes to the PSAR
- Transmittal and acknowledgement letters

NOTE: All related correspondence is filed in category A

C. SEVERE ACCIDENT MITIGATION DESIGN ALTERNATIVE ANALYSIS (SAMDA-PDA AND FDA/DC STAGES), ENVIRONMENTAL REPORTS (ERs EARLY SITE PERMIT AND COL STAGES), AMENDMENTS AND RELATED CORRESPONDENCE

This category contains the following documents:

- Severe Accident Mitigation Design Alternatives Analysis (SAMDA) required under the National Environmental Policy Act (NEPA) submitted by vendor
- NRC questions, RAIs, and applicant responses relating to SAMDAS analysis review
- Correspondence relating to the SAMDAS analysis review
- Meeting announcements and summaries of meetings at which the primary subject of discussion is the SAMDAS analysis
- Environmental Report (ER) submitted by utility
- Amendments and supplements to the ER
- *Federal Register* notices announcing the availability of the ER and amendments
- Transmittal and acknowledgment letters of ER
- Information on scheduling of submittal or review of ER
- NRC questions, RAIs, and applicant responses relating to review of ER
- Correspondence relating to the review of ER
- Meeting announcements and summaries of meetings at which the primary subject of discussion is the ER
- Correspondence relating to certification of pollution control facilities

NOTE: Other environmental documents are filed in categories A, D, P, R, or W.

D. NRC DRAFT AND FINAL ENVIRONMENTAL STATEMENTS (DES AND FES), SUPPLEMENTS, AND RELATED CORRESPONDENCE (EARLY SITE PERMIT AND COL STAGES)

This category contains the Draft and Final Environmental Impact Statements (DES and FES) prepared by NRC, and supplements to the DES and FES, as well as:

- *Federal Register* notices announcing the availability of the DES and FES
- Correspondence relating to the DES and FES
- Comments from other Federal, State, and local government agencies, organizations, and interested individuals
- Transmittal and acknowledgment letters
- Documents related to NRC review of environmental issues or review of the ER obtained for purposes of preparing the environmental statements
- Backup technical documents submitted in support of the DES and FES
- Reports of site visits to obtain information for the DES or FES
- Meeting announcements and summaries of meetings at which the primary subject of discussion is the DES or FES

NOTE: Other environmental documents and correspondence are filed in categories A, C, P, R, or W.

E. NRC SAFETY EVALUATION REPORT (SER), SUPPLEMENTS, AND RELATED CORRESPONDENCE (EARLY SITE PERMIT, PDA, FDA/DC, AND COL STAGES)

This category contains the formal Safety Evaluation Report (SER) prepared by NRC in review of the early site permit application, PSSAR (PDA stage), FSSAR (FDA/DC stage), PSAR (COL stage), or FSAR (COL stage) and, Supplements to the SER, as well as:

- *Federal Register* notices announcing the availability of the SER and supplements
- Correspondence relating to the SER and supplements
- Information on scheduling of an SER submittal and review
- RAIs for use in preparing the SER and responses to such requests
- Meeting announcements and summaries of meetings at which the primary subject of discussion is the SER
- Transmittal and acknowledgment letters

NOTE: Other documents related to specific safety-related issues (that may be referred to as SERs) are filed in categories A, P, or W, depending on the phase of the licensing process.

F. RELIABILITY ASSURANCE PROGRAM (RAP), SECURITY, MEDICAL, EMERGENCY, AND FIRE PROTECTION PLANS (PDA, FDA/DC, AND COL STAGES)

The plans in this category may be individual submissions or may be combined under the Reliability Assurance Program. These plans may be submitted during the review of the PDA, the FDA/DC, and COL applications. Included are:

- Reliability Assurance Program (RAP)
- Plant evacuation correspondence
- Safeguard contingency plan
- Health physics program and its review
- Emergency implementing procedures
- Emergency action levels
- Emergency plans
- Fire hazard protection plans and surveys
- Supplements, changes, and revisions to the plans
- Correspondence relating to the aforementioned plans
- Correspondence and documentation relating to guard training, emergency response centers, and emergency preparedness
- Documentation on security, non-operator fitness procedures, employee unescorted access and related correspondence
- Transmittal and acknowledgement letters
- Meeting announcements and summaries of meetings at which the primary subject of discussion is related to the aforementioned plans

G. NON-ANTITRUST LEGAL AND ADJUDICATORY CORRESPONDENCE (EARLY SITE PERMIT, PDA, FDA/DC, AND COL STAGES)

This category contains all non-antitrust legal and adjudicatory documentation, except for transcripts, briefings and testimony, which are filed in category T. Show-cause and modification orders issued by the Office of Nuclear Reactor Regulation (NRR) and not before the Licensing Board are filed in categories A and P. Exhibits to the proceedings (hearings) are maintained in the PDR on microfiche only. Paper files of the exhibits are available upon request to the PDR from the Docketing and Services Branch, Office of the Secretary.

- Atomic Safety and Licensing Board (ASLB) hearing related documents
- *Federal Register* notices regarding hearings
- Requests to make appearances at hearings
- Motions, briefs, arguments, statements, and related correspondence filed by participants for hearings
- Transmittal of supporting documents (e.g., SER, FES) to the licensing board

- Correspondence to and from intervenors
- Board orders and decisions
- Formal petitions for Commission action
- Petitions filed in accordance with 10 CFR 2.206 to the Executive Director for Operations
- Legal filings, director's decisions, Commission orders and decisions
- Orders prohibiting involvement in NRC-licensed activities, appeals, and related decisions

H. GENERAL CORRESPONDENCE (EARLY SITE PERMIT, PDA, FDA/DC, AND COL STAGES)

This category contains documents with little or no bearing on the status of the application or license. Items that have no substantive technical content and administrative documents are included.

- Change of address notifications (external only)
- Changes in structure of organization (external only)
- Changes in service lists
- NRC requests to applicants for additional copies of documents
- Correspondence from the public requesting information about the site, design, or facility, and NRC responses
- Correspondence on purely administrative matters
- Letters of support, concern or opposition to the site, design, or facility
- Correspondence relating to the Local Public Document Rooms (LPDRs)
- Professional qualifications statements not pertaining to the hearing process
- Constituent, organizational or utility correspondence forwarded by members of Congress to NRC for response
- Resolutions passed by state and local governing bodies (e.g., town councils)

NOTE: Letters of concern, support, or opposition for all plants are filed in a General Public Comments folder and are retained for 6 months from the date of receipt in the PDR.

I. FINANCIAL INFORMATION (COL STAGE)

This category contains all financial information except for that submitted as part of the application or its amendments or that relate to the imposition of civil penalties.

- Company annual reports, auditor statements and stock prospectuses for all companies holding ownership
- Separately submitted financial information and related correspondence
- Transcripts and testimony before State commissions pertinent to financial information requested by NRC
- Decommissioning funding reports

J. INSURANCE AND INDEMNITY INFORMATION (COL STAGE)

This category contains indemnity agreements and amendments as well as:

- Endorsements of insurance policies
- Other correspondence regarding indemnity and insurance matters

K. VENDOR FINAL STANDARD SAFETY ANALYSIS REPORT (FSSAR-FDA/DC STAGE), UTILITY FINAL SAFETY ANALYSIS REPORT (FSAR-COL STAGE), UPDATED FINAL SAFETY ANALYSIS REPORTS (USAR-COL STAGE), AND AMENDMENTS

This category contains the following vendor and utility documents:

- Final Standard Safety Analysis Report (FSSAR) submitted by the vendor
- Final Safety Analysis Report (FSAR) submitted by the utility
- Updated Safety Analysis Report (USAR) submitted by the utility and periodically updated to incorporate new information or modifications to the facility
- Amendments and changes to the FSSAR, FSAR, and USAR
- *Federal Register* notices announcing the availability of the FSSAR and FSAR
- Transmittal and acknowledgement letters
- Certificates of service to the FSAR and USAR

NOTE: All related correspondence falls in category A or P. Emergency and Fire Protection Plans submitted as part of the licensing application are filed in category F.

L. LIMITED WORK AUTHORIZATION (LWA) AND RELATED CORRESPONDENCE (COL STAGE)

This category is limited to documents pertaining to Limited work Authorization (LWA) whereby applicants can conduct limited site preparation and construction before NRC grants a combined construction/operating license.

- Limited Work Authorization (LWA) and amendments
- Correspondence pertaining to work performed under LWAs

M. ANTITRUST REVIEWS AND RELATED CORRESPONDENCE (COL STAGE)

This category contains documents submitted as part of the application for a combined construction/operating license entitled, "Information Requested by the Attorney General for Antitrust Review," including:

- Correspondence in which the primary topic of discussion is antitrust matters
- All antitrust proceeding documents, except hearing transcripts, testimony, and briefings, which are filed in category N

N. ANTITRUST HEARING TRANSCRIPTS, TESTIMONY, AND BRIEFINGS (COL STAGE)

This category contains verbatim transcripts of hearings, testimony and briefings in antitrust matters. Related correspondence is filed in category M.

O. ADVISORY COMMITTEE ON REACTOR SAFEGUARDS (ACRS) REPORTS AND RELATED CORRESPONDENCE (EARLY SITE PERMIT, PDA, FDA/DC, AND COL STAGES)

This category contains project-specific documents pertaining to ACRS safety reviews. Included are:

- ACRS reports relating to a PDA or FDA/DC application, early site review, or facility license application
- Announcements of ACRS meetings relating to a PDA or FDA/DC application, early site review, or facility license application, including descriptions of meeting agenda
- Statements and written testimony by ACRS members or presented by individuals at ACRS proceedings relating to a PDA or FDA/DC application, early site review, facility license application, and safety-related matters
- Technical correspondence, and memoranda to and from ACRS, including transmittal and acknowledgement letters relating to a PDA or FDA/DC application, early site review, or facility license application

NOTE: For generic and document-specific safety related material, transcripts of ACRS subcommittee and full committee meetings, minutes, and ACRS reports (consultant, contract and letter), see ACRS non-docket file.

P. POST-COMBINED CONSTRUCTION/OPERATING LICENSE STAGE DOCUMENTS AND CORRESPONDENCE (COL STAGE)

This category contains general technical documents dated from the combined construction/operating license until the order for termination of the license. Included are:

- The combined construction/operating license (COL), amendments, proposed amendments, changes, and related correspondence
- Show-cause and modification orders issued by NRR (not before the licensing board) for the COL
- Technical specifications, proposed changes, revisions and related correspondence
- Backup technical documents (e.g., Topical Reports) submitted in support of the aforementioned items
- *Federal Register* notices announcing the availability of the COL, FSAR, and amendments
- Correspondence regarding the utility Final Safety Analysis Report (FSAR) and/or the Updated Safety Analysis Report (USAR)
- All general technical correspondence, meeting announcements and meeting summaries relating to the technical specifications, the COL, or technical issues arising after the issuance of the COL
- Correspondence relating to codes (e.g., American Society of Mechanical Engineers) regulations, laws, and changes in policy that may affect plant operation or bear on the COL
- NRC questions, RAIs, and licensee responses
- Information on the Standard Review Plan (SRP)
- Results of surveys or tests conducted in accordance with the technical specifications (not periodic reports, which are filed in category R)

- Owners group meeting announcements and reports
- Quality assurance plan and related correspondence
- Environmental matters (technical data)
- Seismic Qualification Review Team (SQRT) reports and related correspondence
- Radioactive waste information, excluding onsite storage of low-level waste (filed category X) and independent spent fuel installations of high-level waste (filed in category Y)
- Correspondence relating to expansion of spent fuel storage pool
- Startup test reports
- Generic and administrative communications and related documentation that may affect the subject facility; **not covered by a Bulletin or Notice**
- Employee allegations and related documentation (other documents may be filed in categories G, Q, and T)
- SERs on specific generic issues
- Documents relating to possible equipment failure and emergency instructions
- Documents relating to inservice testing procedures and results (not inspections which are filed in category Q)
- Specific plant evaluation documents
- Probabilistic Risk Assessment (PRA) reports
- Employee allegations and related documentation (Other documents may be filed in categories G, Q, or T)
- Reports on site visits
- Application to voluntarily terminate license, and to dismantle, and dispose of component parts
- Information on changes in NRC's internal organizational structure

Q. INSPECTION REPORTS, CIVIL PENALTIES, RESPONSES TO BULLETINS AND INFORMATION NOTICES, AND RELATED CORRESPONDENCE (COL STAGE)

This category contains the following applicant/license material:

- Inspection reports
- Responses to Bulletins (formerly called Regulatory Operations, RO Bulletins), Information Notices, and related correspondence
- Applicant licensee determination of the proprietary nature of Inspection Reports
- Letters concerning areas of noncompliance
- Preservice and inservice inspections and procedures

- Notices of violation and proposed impositions of civil penalty and Demand for Information (DFIs)
- Correspondence and orders relating to the opposition and payment of civil penalties, including Enforcement Notification (EN) and Significant Enforcement actions (EA)
- Notices of deviation and related correspondence
- Correspondence relating to inspection and enforcement that does not specifically relate to incidents or events as defined in category S
- Health physics inspections and appraisals
- Emergency preparedness inspections and appraisals
- Inspections and related correspondence from the International Atomic Energy Agency (IAEA)
- Risk-based Inspection Guides (RIGs)
- Systematic Assessment of Licensee Performance (SALP)
- Incident Investigation Team (IIT) reports
- Construction Appraisal Team/Construction Assessment Team (CAT) reports
 - Integrated Design Inspection (IDI) reports
 - Independent Design Verification program (IDVP) reports
- Notices of significant licensee meetings
- Investigation reports and related documentation, and responses to employee allegations (other documents are filed in categories A, P, G, or T)
- Performance Appraisal Team (PAT) reports
- Licensee/vendor interface inspections
- Correspondence relating to the aforementioned items

NOTE: For bulletins and information notices, see non-docket I&E file.

R. PERIODIC OPERATING REPORTS AND RELATED CORRESPONDENCE (COL STAGE)

This category contains periodic reports of a routine nature.

- Monthly, semiannual, and annual operating reports (other than financial) for construction, operating, and decommission stages
- Periodic environmental monitoring, effluent testing, or similar reports
- Periodic fitness for duty performance data
- Periodic personnel exposure reports
- Periodic facility changes, tests and experiments
- Facility simulation certification four year update reports

- Periodic nonconformance reports (issued in accordance with licensing Board orders)
- Operational Logbooks on
 - environmental data
 - radiological data
 - plant systems core
 - plant status summary sheets
- Correspondence or other documents relating to the items listed

S. REPORTABLE OCCURRENCES (ROs), LICENSEE EVENT REPORTS (LERs), PRELIMINARY NOTIFICATIONS OF OCCURRENCES (PNOs), PRELIMINARY NOTIFICATIONS OF SAFEGUARDS EVENTS (PNSs), AND RELATED CORRESPONDENCE (COL STAGE)

This category contains all materials relating to abnormal, unusual, reportable and non-routine occurrences or events. These include:

- All 24-hour, 10-day, 30-day, interim and final Licensee Event Reports (LERs) and follow-up correspondence (also called incident reports, abnormal occurrences, and reportable occurrences)
- Potential or possibly reportable Deficiency Reports and related correspondence
- Individual Personnel Exposure Reports
- Construction Deficiency Reports submitted in accordance with 10 CFR 50.55(e)
- Documents related to the issuance of a preliminary Notification of Occurrence (PNOs) and Preliminary Notification of Safeguards Events (PNSs) and related correspondence
- Environmental technical specifications violation reports and environmental event reports
- Part 21 reports of defects and noncompliance
- Correspondence or other documents relating to the aforementioned items

NOTE: For PNOs and PNSs, see I&E non-docket files.

T. TRANSCRIPTS, TESTIMONY, AND BRIEFINGS ON NON-ANTITRUST MATTERS (EARLY SITE PERMIT, PDA, FDA/DC, AND COL STAGES)

This category contains verbatim transcripts, testimony, and briefings except for congressional matters (filed in category U) and antitrust matters (filed in category N).

- Atomic Safety and Licensing Board (ASLB) transcripts
- Testimony and statements submitted to ASLB
- Transcripts of Commission meetings
- NRC staff briefings to the Commission
- Statements and written testimony submitted at Commission meetings and hearings

- Transcripts of vendor or utility briefings to NRC staff
- Corrections to the aforementioned items

NOTE: Transcripts on specific dockets are also filed in the ACRS and 9.7 non-docket files.

U. EXECUTIVE, CONGRESSIONAL, AND STATE GOVERNMENT CORRESPONDENCE (EARLY SITE PERMIT, PDA, FDA/DC, AND COL STAGES)

This category contains documents and related correspondence that have substantive technical and administrative content, including:

- Statements and testimony before Congress or before bodies/committees appointed by the Executive or Legislative branches
- Technical reports and related information supplied for the record of congressional hearings
- Follow-up questions and answers to the aforementioned
- Correspondence to and from Congress and the Executive Branch on other than constituent response matters
- Correspondence to or from State Legislative bodies

NOTE: Routine responses to constituent inquiries are filed in category H.

V. LICENSING OF OPERATORS AND RELATED CORRESPONDENCE (COL STAGE)

This category contains information bearing on licensing of operators and shift engineers, including:

- Power plant examination summary sheets
- Correspondence relating to operator examinations
- Documentation on operator laboratory tests or reports and related correspondence
- Documents relating to operator fitness for duty and related correspondence
- Orders prohibiting operators from further nuclear licensed activities, and related correspondence (other documents may be filed in category G)

W. DECOMMISSIONING STAGE DOCUMENTS AND RELATED CORRESPONDENCE (COL STAGE)

This category contains general technical items dated from the order for terminating the operating license.

- Order granting authority to dismantle/decommission
- Decommissioning Plan, Dismantling Plan, Environmental Report on dismantling, and the Safety Analysis Report on decommissioning
- Documents relating to the disposal of radioactive material and decontamination of the site
- Other correspondence relating to decommissioning
- All documentation relating to the ongoing operation of the plant formerly filed in category P

X. ON-SITE STORAGE OF LOW-LEVEL WASTE AND RELATED CORRESPONDENCE (COL AND DECOMMISSIONING STAGES)

This category contains material related to onsite storage of Low-Level Waste (LLW).

- License application, license, proposed amendments, and amendments to store low-level waste at a commercial reactor
- All related correspondence and reports

NOTE: These documents will also have a Nuclear Materials Safety and Safeguards (NMSS) Docket 30 license number associated with the Docket 52 number.

Y. INDEPENDENT SPENT FUEL STORAGE INSTALLATIONS (ISFSIs) AND RELATED CORRESPONDENCE (COL AND DECOMMISSIONING STAGES)

This category contains material related to:

- License applications, license, amendments, and proposed amendments to possess power reactor spent fuel and other radioactive materials associated with spent fuel storage in an independent spent fuel storage installation. (Such spent fuel storage installations may be on a reactor site or at a separate site.)
- All related correspondence and reports to the above

NOTE: The documents in this category will have an NMSS Docket 72 number license. For these installations on a reactor site, the associated Docket 52 number also has been referenced.

DOCKET 70—Special Nuclear Materials

The Docket 70 files contain documentation concerning the domestic licensing of special nuclear material (SNM). Each SNM license application is assigned a unique Docket 70 number. SNM licenses cover the possession and use of radioactive material, including plutonium-enriched uranium. Paper files are maintained in the PDR only for Docket 70 licensees that possess more than 350 grams of uranium-235 or 200 grams of plutonium. Material on other licensees is available on microfiche only. Documents in these files include:

- Applications for licenses, license amendments, and license renewals for Special Nuclear Material licenses
- Special Nuclear Material licenses and license amendments
- Applicant technical reports concerning the facility, including Safety Analysis Reports (SARs), Environmental Reports (ERs) and amendments
- NRC technical reports concerning the facility
- Emergency and radiological health plans
- Inspection reports and related correspondence
- Adjudicatory documents and hearing transcripts relating to proceedings before the Licensing Board
- Other technical, legal, and licensing correspondence between NRC and the licensee or other interested parties

DOCKET 71—Design of Packages for Transport of Radioactive Material and Quality Assurance (QA) Programs

The Docket 71 files contain documentation concerning the design of radioactive material transport packages and quality assurance (QA) programs for designers, manufacturers, and users of such packages. Each package design and each QA program is individually assigned a unique Docket 71 number.

All NRC licensees who design, manufacture, or use radioactive material packages must comply with NRC-approved package designs and QA programs for these packages. Agreement State licensees who design, manufacture, or use radioactive material packages do not need a QA program approval, but the Department of Transportation requires that NRC approve the package design.

Agreement State licensees who wish to use their packages in States under NRC jurisdiction, or who design and manufacture packages for NRC licensees, must obtain approval for their QA programs. Documents in these files include:

- Application for QA program approval and amendments to the application
- Application for package design approval, including the Safety Analysis Report (SAR), amendments, and engineering drawings
- Certificate of compliance (NRC approval) for the package design and revisions
- Approval of the QA program
- Correspondence between NRC and the designer and the manufacturer concerning particular package designs
- Requests to be registered as a user of a particular package
- Inspection reports and related correspondence

DOCKET 72—Independent Spent Fuel Storage Installations

The Docket 72 series contains documentation concerning certification of storage casks and the licensing of independent spent fuel storage installations. These installations store reactor spent fuel and may be on a reactor site or at a separate site. Each installation is assigned a unique Docket 72 number. Documents in these files include:

- Application for license
- Safety Analysis Reports (SAR) and annual updates
- Certification of completion for vendor design of dry cask storage and related correspondence
- Licensee issued Environmental Report (ER) and amendments
- Emergency plan and amendments
- Inspection reports and related correspondence
- Reports on accidental criticality or loss of special nuclear material
- QA plan and amendments
- Correspondence relating to the physical security plan

- Decommissioning plan and related correspondence
- Adjudicatory documents and hearing transcripts relating to proceedings between the NRC and the applicant

NOTE: Additional non-docketed information concerning spent fuel storage is available in the Project M non-docket file. For installations on reactor sites, see category Y in the Docket 50 or 52 series and Docket 70 for NMSS licenses.

NON-DOCKET FILES

Materials that are not docket-specific are arranged according to the following classification scheme. The capitalized abbreviation is a short-hand description of each topic and corresponds to the way that it appears on the PDR Accession List.

10 CFR 9.7—Commission Meeting Transcripts and Reports

ACRS—Advisory Committee on Reactor Safeguards Documents

ADVCM—NRC Advisory Committees

COMMISSION—NRC Commissioner Correspondence

CONTRACT—NRC Contracts and Grants

FOIA—Freedom of Information Act Requests and Appeals

GEN TECH IS—Generic Technical Issues

I&E—Inspection and Enforcement Issuances

I&E Manual—NRC Inspection Manual

I&E MISC—Draft Generic Communications

MISC—Public Document Room Miscellaneous

NUREG—NRC Staff and Contractor Formal Reports, Conference Proceedings, Brochures, International Agreement Reports, and Related Correspondence

ORG—Organizations

PRESS—Press Releases

PR—Proposed and Final Rules

PRM—Petitions for Rulemaking

PROJ—Projects

PT 21—10 CFR Part 21 Deficiency Reports

QA 999—Vendor Quality Assurance Inspections

RC SSD—Registration of Certificates of Sealed Sources and Devices

REGGD—Regulatory Guides

RES—Research and Technical Assistance Reports (1974 through 1988)

REVIEW GRP—Review Groups

RM—Rulemakings

SECY—Staff Position Papers prepared for the Commission

SPCH—Speeches

STATE PROG—State Programs

TOPREP—Vendor Topical Reports and Related Correspondence

WASH—AEC-Issued Formal Reports and Related Correspondence

WM—Waste Management Documents

WMRES—Waste Management Contract Research Documents

XPORTLIC—Export and Import Licenses

10 CFR 9.7—Commission Meeting Transcripts and Reports

This file contains documents relating to open and closed Commission Meetings.

- Sunshine *Federal Register* notices
- Full written explanation of closed meetings
- Certification by the General Counsel on closed meetings
- Commission Determination Statements signed by the Secretary regarding the public disclosure of transcripts of Commission meetings
- Verbatim unofficial and official transcripts or portions of transcripts of open and closed Commission meetings made publicly available in accordance with the Sunshine Act and Commission policies
- Enclosures to released transcripts, including applicable viewgraphs, staff papers, and staff correspondence
- Staff Requirements Memoranda for open meetings, memoranda of record, record of votes of Commissioners on items under consideration at meetings

ACRS—Advisory Committee on Reactor Safeguards Documents

Documents in this file pertain to safety-related areas reviewed by the ACRS. ACRS serves as an independent advisory committee to the Commission.

- ACRS reports relating to safety-related matters
- Announcements of ACRS meetings relating to safety-related matters, including meeting agendas
- Transcripts of ACRS subcommittee and full committee meetings relating to both facility license applications and safety-related matters

- Statements and written testimony of ACRS members or presented by individuals at ACRS proceedings related to both vendor or facility license applications and safety-related matters
- Minutes of ACRS subcommittee and full committee meetings relating to both vendor or facility license application and safety-related matters
- ACRS consultant reports, comments, and related correspondence relating to both vendor or facility license applications and safety-related matters
- Technical correspondence and memoranda to and from ACRS pertaining to safety-related matters
- General correspondence and related material about ACRS, but not prepared by ACRS or its consultants

NOTE: For docket-specific technical correspondence, memoranda and announcements of ACRS meetings, see category O of Docket 50 and 52.

ADVCM—NRC Advisory Committees

Documents in this file pertain to the responsibilities of all NRC advisory committees other than the Advisory Committee on Reactor Safeguards, including:

- Charters of each advisory committee
- Meeting announcements and meeting agendas
- Minutes and verbatim transcripts of committee meetings
- Committee-generated reports, memoranda, and correspondence that are publicly available
- Committee-related correspondence

COMMISSION—NRC Commissioner Correspondence

Documents in this file pertain to the daily conduct of Commission business in the Office of the Commission, including:

- Incoming and outgoing Commission-level correspondence relating to official NRC business, including reports and other enclosures to the aforementioned correspondence
- Travel vouchers, telephone logs, and official appointment calendars of participating Commissioners. (These are placed in the PDR at the discretion of individual Commissioners.)
- Interviews and testimony given by Commissioners at meetings, symposia, and congressional hearings
- Vote sheets
- Weekly information reports (numbered as part of the SECY series) prepared for the Commissioners by the Executive Director for Operations (EDO) summarizing key events and items of interest undertaken by individual staff and program offices

NOTE: For transcripts of Commission meetings, see non-docket File 10 CFR 9.7. For all other staff papers with the SECY-series designation prepared for Commission review, see the SECY non-docket file.

CONTRACT—NRC Contracts and Grants

Documents in this file pertain to AEC and NRC contracts, grants and interagency agreements, including:

- Notification of contracts and grants execution that specifies contract number, project title, contractor name, contract type, funding, and period of performance
- Contractual documents and modifications to contracts

FOIA—Freedom of Information Act Requests and Appeals

Documents in this file include requests, denials, and appeals for agency records and information about records released in accordance with the provisions of the Freedom of Information Act (FOIA). Each is assigned a sequential identification number based on the year the request is made, for example, 95-110 refers to the 110th FOIA request made in 1995.

- Requests made under the FOIA for NRC records
- Correspondence between NRC and the requester relevant to the processing, granting, denial, and appeal of an FOIA request
- Records or portions thereof released in response to FOIA requests or made under FOIA appeals

GEN TECH IS—Generic Technical Issues

Documents in this file pertain to unresolved safety issues of a generic nature that are being analyzed by the NRC Office of Nuclear Reactor Regulation (NRR), including:

- Draft reports of action plans to accomplish generic tasks in the NRR program
- Correspondence with industry and within NRC discussing methodologies, analyses, the program, and technical aspects of issues
- Meeting notifications and minutes
- Interim findings and status reports on generic tasks addressing related aspects of generic technical issues

I&E—Inspection and Enforcement Issuances

Documents in this file include bulletins and information notices that are issued by the NRC Office of Nuclear Reactor Regulation. These issuances describe some event that has occurred at a facility and that may require some follow-up action by the licensee. Also included in this file are Preliminary Notifications of Events or Unusual Occurrences (PNOs), Preliminary Notifications of Safeguards Events or Unusual Occurrences (PNSs), Enforcement Notifications (ENs) and Enforcement Actions (EAs).

- Circulars, that describe an event at a licensed facility and are informational in nature (these were discontinued in 1981)
- Information Notices, that are similar to Circulars but are preliminary in nature and are issued shortly after an event has occurred
- Bulletins describing an event at a licensed facility and requesting that all recipients perform certain actions as a result of that event
- Preliminary Notifications of Events or Unusual Occurrences (PNOs), which provide updated information of an event of safety or public interest

- Preliminary Notifications of Safeguard Events or Unusual Occurrences (PNSs), which provide early notice of events of possible safety significance
- Enforcement Notifications (ENs) and Enforcement Actions (EAs), which provide information on a notice of violation and proposed imposition of civil penalties

NOTE: For utility/vendor responses to such issuances and related correspondence, see categories Q and S in Dockets 50 and 52.

I&E Manual—NRC Inspection Manual

This file contains drafts, finals, revisions, *Federal Register* notices and related correspondence to the NRC Inspection Manual.

I&E MISC—Draft Generic Communications

Documents in this file include drafts of Generic Letters, Bulletins, Information Notices and other generic communications issued by the NRC Office of Nuclear Reactor Regulation.

- Draft Bulletins and Information Notices that are being considered for issuance, related comments, and evaluations
- Draft Generic Letters and other generic communications that are being considered for issuance, related comments and correspondence

MISC—Public Document Miscellaneous

This file contains documents about topics not included in the scope of the other non-docketed categories.

NUREG—NRC Staff and Contractor Formal Reports, Conference Proceedings, Brochures, International Agreement Reports, and Related Correspondence

This file contains formal reports on regulatory, technical, and administrative issues of interest to staff, industry, other governmental entities, and the public which are published in the NUREG series.

- Results of licensing studies of specific plants or facilities preliminary to licensing actions
- Results of analyses of general or specific problems of a regulatory or technical nature that are of interest to a major segment of the industry
- Action and review plans, as well as guidance, for complying with NRC requirements
- Task force reports on specific topics
- Proceedings of conferences and workshops
- Management and program analysis reports
- Statistical analyses that are of interest to the staff, the industry, and the public
- Administrative reports that are of interest to the staff, the industry, and the public
- Correspondence from industry, government, and the public commenting on NUREG series reports
- Internal NRC memoranda summarizing meetings or discussions pertaining to the content of the NUREG reports series

NOTE: NUREG reports on plants or facilities are filed according to each plant's specific docket number.

ORG—Organizations

This file contains correspondence with professional organizations, government agencies, and associations with which NRC is in contact; records pertaining to specific NRC offices; and petitions not assigned Petition for Rule Making (PRM) numbers that request the Commission to take immediate action on a generic issue.

- Meeting summaries and technical correspondence between the NRC and professional associations
- Correspondence between NRC and other government agencies in which both parties have joint regulatory responsibility, e.g., EPA which has authority to control all radioactive pollutants emitted into the air
- Correspondence and technical information between NRC and Congress
- Reports, technical information, and correspondence between NRC, foreign governments and international organizations
- Internal memoranda, trip reports, and scientific papers pertaining to specific NRC offices

PRESS—Press Releases

This file contains press releases issued by the Office of Public Affairs Headquarters and Regional offices relating to the NRC's regulatory policy and programs, public hearings, and workshops. Press releases are also issued on major licensee programs, changes, proposed fines, and issues effecting the status of licenses.

PR—Proposed and Final Rules

This file contains documents of NRC staff proposals to adopt, amend, or repeal a Commission regulation. Proposed Rules (PRs) can be initiated as a result of a Commission directive, a staff proposal, or a Commission determination that sufficient grounds exist for it to proceed with a Petition for change in an NRC regulation (PRM) filed by an outside party.

- *Federal Register* notice stating the terms or substance of the proposed rule, or a specification of the subject and issues involved
- Text of the Proposed Rule (PR)
- Draft and generic Proposed Rules and *Federal Register* notices
- Comments, statements, information, opinions, or arguments on the proposed change to a part of the *Code of Federal Regulations*
- Requests from the nuclear industry, organizations, and other parties for written interpretation of the PR
- Final rules and *Federal Register* notices

NOTE: For staff recommendations to the Commission on whether a PR should be adopted, see the SECY non-docket file. For Commission review of staff recommendations, see the 10 CFR 9.7 non-docket file.

PRM—Petitions for Rulemaking

This file contains documents of petitions filed with the Commission by an outside party to issue, amend, or rescind an NRC regulation.

- Petitions filed by any interested person or party to issue, amend, or rescind an NRC regulation
- Federal Register notice of the filing of the petition
- Correspondence between NRC and the petitioner relevant to the status and substance of the petition
- Comments from the nuclear industry, professional associations, public interest groups, and others in favor of or in opposition to the PRM
- Statements, motions, orders, and correspondence dealing with emergency petitions filed by parties on such topics as fire protection and a reanalysis of the capacity of operating U.S. plants to withstand earthquakes

NOTE: For staff recommendations to the Commissioners on whether the PRM should be denied or issued as a proposed rule, see the SECY non-docket file. For Commission review of staff recommendations, see the 10 CFR 9.7 non-docket file.

PROJ—Projects

This file contains documents pertaining to four classes of projects: (1) commercial nuclear power plants (Docket 50) for which NRC has full review and licensing responsibilities; (2) Government-owned reactors (also Docket 50) for which NRC provides technical expertise and occasional review; (3) design certification and combined licensing (Docket 52) for which NRC has full review and licensing responsibilities; (4) monitored retrieval storage and Topical Reports for storage casks (Project M's) for which NRC has full review and licensing responsibilities. Each class is identified with a P prefix, followed by a series of numbers.

These files contain all documentation up to the time NRC considers the application and the preliminary technical reports complete for review. The project is then assigned a docket number and the file is transferred to a docket series.

- Applications submitted by the vendors or utility
- Backup technical documents and topical reports submitted in support of the application, and related correspondence
- Preliminary Safety Analysis Report (PSAR), amendments, and related correspondence (Docket 50)
- Preliminary Standard Safety Analysis Report (PSSAR), amendments, and related correspondence (Docket 52)
- Application for Preliminary and Final Design Approval and design certification (Docket 52 and Project M), and related correspondence
- Early site review information
- Meeting notices, summaries, and correspondence
- NRC's or the applicant's changes in internal organizational structure
- Reliability Assurance Program and related correspondence (Docket 52)

- Documentation and technical correspondence between NRC and other government agencies relating to the application
- Adjudicatory correspondence
- Quality Assurance documentation, notices of deviation, and related correspondence

PT 21—10 CFR Part 21 Deficiency Reports

This file contains deficiency reports submitted in compliance with Part 21 of Title 10 of the *Code of Federal Regulations*.

- Reports by firms involved in the nuclear industry reporting noncompliance with NRC regulations or the existence of defects that could create a substantial safety hazard
- Correspondence pertaining to the NRC review of reports to assess the possibility of generic defects
- NRC inspection reports of defects cited
- Correspondence specifying appropriate followup actions to be taken by the agency

QA 999—Vendor Quality Assurance Inspections

This file contains inspection reports of the vendor/licensee interface from the vendor's view, the vendor's products, and the vendor's programs including equipment environmental qualification testing, and followup correspondence. Each vendor is assigned a docket number and is a part of the QA 999 series.

Vendors are defined as companies, both U.S. and foreign, that are engaged in the design, manufacture, or testing of nuclear components or in supplying services to the nuclear industry. The controlling criteria are found in 10 CFR Part 21, 10 CFR Part 50, the PSAR and FSAR submitted by utilities for specific facilities, and vendor QA topical reports.

- NRC inspection reports of vendor facilities that cover the design, fabrication, and testing of components for use in nuclear facilities and related correspondence
- Civil penalties notices
- Notices of deviation
- Vendor corrective actions and other followup correspondence associated with resolution of inspection findings

NOTE: For vendor/licensee inspections from the licensee's view, see category Q in Docket 50 and 52.

RCSSD—Registration of Certificates for Sealed Sources and Devices

This file contains documents and related correspondence on radiation sources and device designs. Manufacturers and distributors applying for registration of their products must submit for review all safety related information, design specifications, QA programs and amendments. These documents are maintained in the PDR on microfiche only.

REGGD—Regulatory Guides

This file contains new and revised regulatory guides and related correspondence. These guides describe to the industry and to the public methods acceptable to the NRC staff for implementing specific parts of NRC regulations. They also delineate techniques used by the staff in evaluating specific problems or postulated accidents or provide guidance to applicants.

- *Federal Register* notices announcing the issuance and availability of a proposed Regulatory Guide and revisions
- Revised or newly issued regulatory guides
- Drafts of proposed regulatory guides or proposed revisions
- NRC value/impact assessment
- Comments submitted by the nuclear industry and interested members of the public regarding a proposed regulatory guide
- Summaries of meetings held in the NRC to discuss proposed regulatory guides

NOTE: Industry codes and standards cited in regulatory guides are available for reference use only in the NRC's Technical Library.

RES—Research and Technical Assistance Reports (1974 through 1988)

This file contains reports and technical letters submitted by NRC contractors providing research and technical assistance to the Commission. It also includes research information letters and conference proceedings pertaining to research activities of the Commission.

For final reports of research conducted by contractors, and for conference proceedings, see the NUREG series non-docket file. See also the WMRES file for research reports on disposal of high-level waste.

REVIEW GRP—Review Groups

This file contains documents pertaining to the activities of internal and external research review groups. Such groups provide a broad base of technical expertise to aid management in reviewing research in defined technical areas. They review and comment on research plans and predicted results of major experiments, the validity and applicability of research results, possible redirection of research projects, new research projects, and priorities within the technical areas covered by the research review group.

- Agenda for quarterly review group meetings
- Summary minutes of review group meetings representing views expressed, including dissenting views
- Research plans and predicted results of major experiments and presentations by research contractors
- Comments on meetings from attendees, including representatives from contractors, universities, vendors, and other agencies
- Internal memoranda relating to topics under discussion
- Correspondence related to the aforementioned items

RM—Rulemakings

This file contains documents pertaining to public hearings held on proposed changes to the Commission's regulations. Hearings are instituted at the discretion of the Commission, based on the importance and the magnitude of the subject being considered.

- Designation of the presiding officer and any special directions for the conduct of the hearing
- Notifications of Hearing Board meetings
- Petitions, motions, testimony, and statements submitted by parties to the hearings
- Transcripts of the proceedings
- Hearing Board orders and rulings
- Technical reports submitted as evidence in the proceedings
- Reports, if any, of the special Board to the Commission regarding the subject proceeding

SECY—Staff Position Papers Prepared for the Commission

This file contains staff papers (generally referred to as SECY Papers) prepared for the information or approval of the Commission. They are assigned a SECY report number.

- Policy issue papers are used to present matters relating to policy formulation
- Rulemaking issue papers are used to present rulemaking activities of the Commission
- Adjudicatory issue papers are used to present matters relating to the granting, suspending, revoking, or amending of licenses, or relating to construction permits for nuclear power plants, and activities in which the Commission has an interest
- Information Papers are used to provide information to the Commission. Some (e.g., the weekly report of the Executive Director for Operations) provide general information about agency activities without specific reference to policy formulation, rulemaking, or adjudication

These categories of staff papers may be issued as one of the following: (a) a Commission meeting paper to be discussed at a Commission meeting; (b) an Affirmation paper that does not require interactive discussion among the Commissioners in a Commission meeting but by law must be voted upon by the Commissioners in the presence of each other; (c) a notation vote paper that does not require interactive discussion among all Commissioners or formal vote in a meeting, thereby lending itself to a written notation process; (d) a negative consent paper that contains issues which the Commission would like brought to its attention before action is taken but which does not require the formality of a Commission vote; and (e) information papers that provide information to the Commission and do not call for any action by the Commission.

As a general practice, papers that are regularly released to the public include those that are the subject of discussion at a public meeting of the Commission and those that address unclassified matters pertaining to the export and import of nuclear equipment and material.

NOTE: For Weekly Information Reports (WIR) prepared by the NRC Office of the Executive Director for Operations to the Commission providing a summary of key events and items of interest undertaken by staff and program offices, see the Commission Correspondence non-docket file.

SPCH—Speeches

This file contains speeches by the Chairman and Commissioners presented at National and international regulatory information conferences, industrial forums, advisory committees, symposiums, workshops, and energy policy groups.

STATE PROG—State Programs

This file contains documents that pertain to the Commission's relations with State governments. Areas covered include: (1) the NRC and State Agreement and its amendments, whereby States may assume certain of the NRC's regulatory authority over nuclear materials; and (2) a wide range of liaison and cooperative activities regarding such functions as licensing, inspection procedures, and waste disposal.

- Correspondence between the NRC Office of State Programs and State officials, State liaison officers and radiation control management health officials, regarding:
 - Cooperative programs in such technical areas as radiological incidents, water quality, radioactive waste disposal, and transportation surveillance
 - NRC reviews of Agreement State radiation control programs
 - Technical assistance to Agreement States in reviewing applications, compliance actions, developing regulations, and other areas
- Notices prohibiting involvement in NRC-licensed activities
- Agenda, reports, and transcripts of regional workshops
- Training programs on current matters of policy and regulations; i.e., decommissioning and radioactive waste disposal
- State legislative reports (discontinued in December 1984)
- Agreement State licensing statistics reports (discontinued in December 1984)

NOTE: For specific uranium milling and mining projects in which the NRC is providing technical assistance to States, see the Project non-docket file.

TOPREP—Topical Reports and Related Correspondence

This file contains Topical Reports, generally of a generic technical nature, submitted by vendors; and correspondence pertaining to the NRC review of these reports. Vendor-related correspondence that is not docket specific and documents generated by vendor-related owners groups are also included in this file.

- Topical reports dealing with such technical matters as specifications, testing, and safety that are submitted by architects, engineers, and other vendors
- Revisions, modifications, and amendments to topical reports
- Correspondence between NRC and vendors pertaining to the review of submittals
- Meeting agenda, summaries, minutes and correspondence pertinent to vendor activities, programs, methodologies, and design criteria
- Vendor-related Owners' Group meeting announcements, agenda, summaries, reports and correspondence

NOTE: For reports submitted by utilities that are written by vendors on their behalf and that relate to docketed cases, see the file categories for the docket series.

WASH—AEC-Issued Formal Reports and Related Correspondence

This file contains formal reports that were issued by the U.S. Atomic Energy Commission (AEC) headquarters staff and related correspondence. The WASH reports, which consisted of administrative, scientific, and technical information, ended in 1975, but correspondence occasionally refers to WASH reports. Post-1975 NRC-issued formal reports carry the NUREG series designation.

WM—Waste Management Documents

This file contains document related to the activities of the NRC Division of Waste Management. Each topic has been assigned a unique number, prefixed by the letters WM. Documents in these files include:

- NRC and DOE precicensing activities regarding the disposal of high-level waste in geologic repositories, in accordance with the Nuclear Waste Policy Act of 1982 as follows:
 - Technical high-level waste site precicensing documentation
 - Meeting agenda, minutes and backup documents of DOE/NRC meetings in which DOE presents information on its geologic exploration program to identify sites for nuclear waste repositories
 - Briefings by DOE on current research on nuclear waste management
- NRC reviews of the site-by-site implementation of DOE's program for uranium mill tailings remedial actions, in accordance with the Uranium Mill Tailings Radiation Control Act of 1978
- Correspondence and comments between NRC and the Environmental Protection Agency (EPA) pertaining to the high-level waste standard
- NRC topical report reviews and associated correspondence
- Correspondence from the public and other non-government organizations for the aforementioned items

NOTE: For contractor research on waste management activities, see the WMRES non-docket file.

WMRES—Waste Management Contract Research Documents

This file contains interim and final reports and correspondence between NRC and its contractors regarding precicensing activities in the area of high-level waste disposal in geologic repositories, including:

- Periodic contractor progress reports
- Trip reports
- Draft and final reports submitted for NRC review or information
- Correspondence between NRC staff and contractors related to technical questions or issues to be resolved

XPORTLIC—Export and Import Licenses

This file contains records relating to the issuance of licenses to export or import nuclear facilities and materials, including:

- License applications and amendments to export or import special nuclear material, source material, byproduct material, reactors, nuclear facility components, or reactor materials

- Correspondence between NRC and applicant or licensee pertaining to the review or status of a pending application or license amendment
- Commission letters requesting Executive Branch (e.g., U.S. Department of State) views
- Review and findings of the Executive Branch on whether issuance of license would be inimical to the common defense and security of the United States
- Correspondence to and from foreign governments, international organizations, and members of the public
- Hearing records and decisions
- Memoranda from the Office of the Secretary to the Executive
- Director for Operations (EDO) regarding the Commission's decision on issuing a proposed license
- Licenses, license amendments, and license renewals
- Periodic report on export actions

NOTE: For transcripts of Commission meetings and papers submitted for Commissioner consideration or information, see the 10 CFR 9.7 and the SECY non-docket file.