

JUN 12 1992

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MEMORANDUM FOR: Division of High-Level Waste Management Staff

From: B. J. Youngblood, Director  
Division of High-Level Waste Management  
Office of Nuclear Material Safety  
and Safeguards

SUBJECT: IMPLEMENTATION OF DOCUMENT CONTROL PROCEDURE FOR  
DIVISION OF HIGH-LEVEL WASTE MANAGEMENT

This policy memorandum provides specific guidance to Division of High-Level Waste Management (HLWM) staff on the placement of internally and externally generated documents into the document control system. The attached procedure supersedes the guidance presented in WM Policy 22 (Rev. 2).

It is anticipated that the attached procedure will become a manual chapter in a future revision to the HLWM Manual. Therefore, in order to implement this procedure before the Manual revision is complete, references to future manual chapters have had a line placed through them and have been temporarily replaced with either NRC Manual Chapter or WM Policy Memoranda references.

Every staff member is responsible for the effective implementation of this document control procedure. Staff members should read the procedure carefully and follow the guidance contained within. Questions regarding the implementation of this procedure should be raised with Ken Hooks or your Branch Chief.

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B. J. Youngblood, Director  
Division of High-Level Waste Management  
Office of Nuclear Material Safety  
and Safeguards

Attachment: Document Control Procedure

DISTRIBUTION

CNWRA	NMSS R/F	HLPD R/F	LSS
LPDR	ACNW	PDR	Central File
HLWM Staff	BJYoungblood, HLWM	JLinehan, HLWM	RBallard, HLGE
MFederline, HLHP	JHolonich, HLPD	On-Site Reps	AGarcia, HLPD
JBuckley, HLPD	KHooks, HLPD		

\*See Previous Concurrence

OFC :HLPD	:HLPD	:HLPD	:HLWM	:HLPD	:
NAME:JBuckley/jh	*KHooks	*JHolonich	JLinehan	BJYoungblood	:
Date:05/ /92	:05/19/92	:05/20/92	:05/ /92	:05/11/92	:

JB/DOC CONTROL

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9206170115 920612  
PDR WASTE PDR  
WM-1

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OFC :HLPD	:HLPD	:HLPD	:HLWM	:HLWM	:
NAME:JBuckley/jh	:KHooks	:JHolonich	:BJYoungblood	:JLinehan	:
Date:05/19/92	:05/19/92	:05/19/92	:05/ /92	:05/ /92	:

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

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MEMORANDUM FOR: Division of High-Level Waste Management Staff

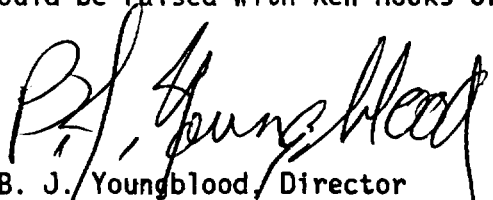
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Office of Nuclear Material Safety  
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Attachment: Document Control Procedure

## Chapter 0440

### Document Control

#### 0440-01 PURPOSE

To provide guidance to the staff on the placement of internally and externally generated HLWM documents into the Public Document Room (PDR), the Licensing Support System (LSS), and the Local Public Document Room (LPDR). In addition, this procedure provides guidance regarding the distribution of documents generated by HLWM.

#### 0440-02 SCOPE

This procedure addresses the following: definitions, documents identification, document creation, and document distribution.

#### 0440-03 DEFINITIONS

LPDR - An NRC established location which contains all available documents generated with respect to the to the facility near which it is located. The LPDR collection consists of hearing transcripts, safety evaluation reports, environmental impact statements, emergency plans, inspection reports, licensee event reports, and all other publicly available reports generated with respect to the facility. Documents related to the potential high-level geologic repository are placed in an LPDR.

PDR - An NRC maintained facility which contains publicly available documents pertaining to the licensing and regulation of nuclear facilities and materials. The PDR also contains documents related to Nuclear Waste Management and Research work sponsored by NRC.

NUDOCS-The acronym for Nuclear Documents System. It is the information system which stores bibliographic data and documents related to the NRC's regulatory, licensing, safety, research and enforcement programs. The NUDOCs database can be accessed from anywhere in the U.S.

LSS - Electronic information management system that will contain all the documentary material of all parties to the HLW licensing process.

RIDS - Acronym for Regulatory Information Distribution System. System. The mechanism used by the NRC for the distribution of all documents put in NUDOCs throughout the agency.

0440-04 PROCEDURES

HLWM is responsible for ensuring that all publicly available documents relating to the potential high-level geologic repository are transmitted to the Document Control Desk (DCD) for entry into the document control system. The list of documents which are considered to be publicly available records is addressed in Chapter-0410-and-in NRC Manual Appendix 3203 Part III (Attachment 1). Although Attachment 1 is not specific to Part 60 of Title 10 of the Code of Federal Regulations, for the purposes of this procedure, it should be considered applicable. The following procedures describe the HLWM requirements for processing internally created documents and external document submittals into the document control system.

041 Internally Created Documents

~~Documents-created-by-HLWM-must-be-processed-in-accordance-with applicable-procedures-in-Chapter-0400-of-the-HLWM-Manual.~~ The diagram presented in Figure 1 shows the steps required for processing HLWM internally created documents which require control. The required steps are as follows:

1. HLWM staff submits final draft document and Document Preparation Checklist (DPC) for final typing. Documents which are submitted without a DPC will be returned to the originator prior to final typing. A copy of the DPC is included as Attachment 2. It is important that the DPC be filled out completely and accurately. All letters and memoranda must have the PDR, LPDR, CNWRA, LSS, and ACNW on distribution as a minimum. Notes however, are not required to have this distribution. Prior to concurrence, the HLWM author should compare the distribution typed onto the document to that identified on the DPC to ensure its correctness.
2. Final document package is prepared by the secretarial staff for signatures and concurrences. Those individuals identified in Section 6 of the DPC ("CONCURRENCES") will be designated on the concurrence copy and the Routing and Transmittal slip.
3. After all document signatures and concurrences are obtained the secretarial staff will date the document and prepare mailing labels for those individuals specified on the DPC. Because documents are distributed to these locations automatically through the DCD distribution system, mailing labels are not required for the Branch Chiefs, Director (HLWM), Deputy Director (HLWM), PDR, LPDR, CNWRA, LSS, ACNW, Branch reading file (r/f), Central File, or On-Site Reps. The date stamped on outgoing documents shall be the date that the document is signed. The signed document must be made available for distribution to the secretarial staff within two working days.

# PROCESSING INTERNALLY CREATED DOCUMENTS

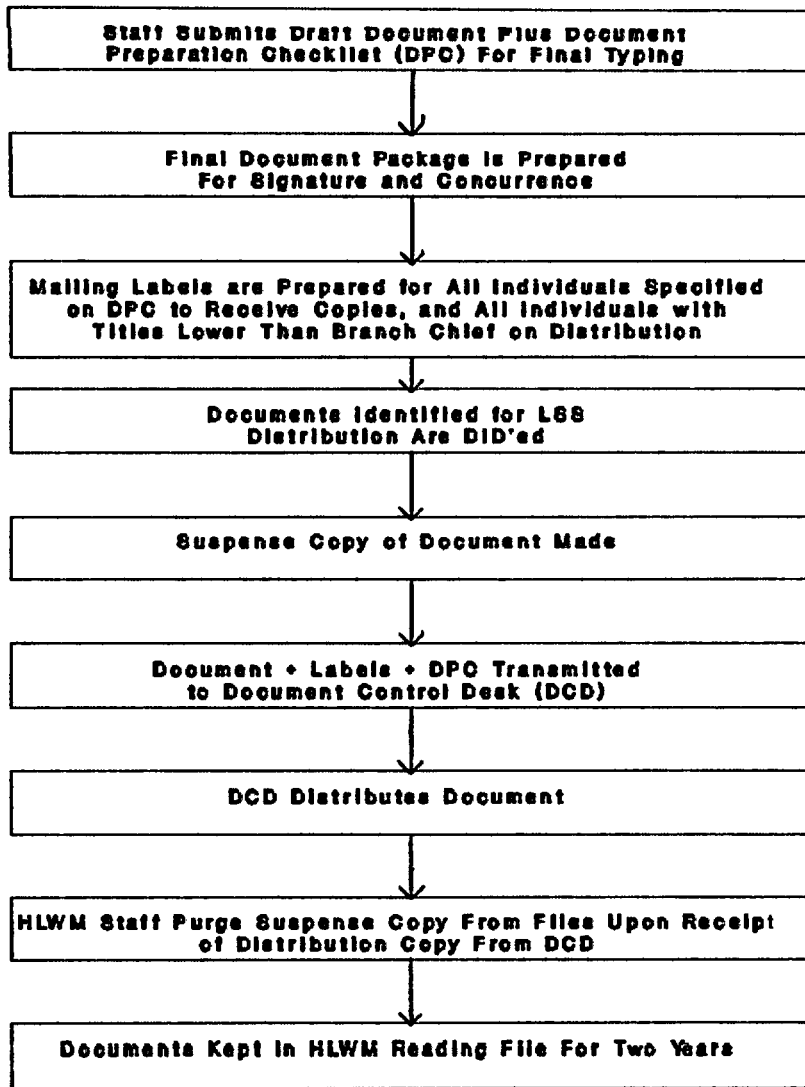


Figure 1

4. The HLWM secretarial staff is then responsible for electronically transmitting (DID) completed documents to 1 NRCO2/IRMTLSS if the DPC identifies the LSS for distribution. "NOTES" shall not be DID'd to 1 NRCO2/IRMTLSS.
5. Copies of the completed documents are made and filed in a suspense file to be used for later reference. The secretarial staff then logs the completed document into an outgoing correspondence log. This log will contain document subject and date.
6. Completed documents and their associated mailing labels and DPCs are then transmitted by the secretarial staff to the DCD for distribution.
7. The DCD distributes documents according to the "Standard Operation Procedures for the Document Control Desk."
8. Upon receiving the Branch r/f distribution copy, the secretarial staff will then purge the suspense copy from the files. Maintaining a document suspense file provides a quick way to check which documents have been entered into the system. The secretarial staff will review and update the suspense file weekly. If a document remains in the suspense file for three weeks, the secretarial staff will verify, via NUDOCS, that it has not been entered into the system. If necessary, an additional copy will be resubmitted to DCD for re-distribution.
9. The secretarial staff will maintain a HLWM reading file of internally created documents for a period of at least two years. Two year old documents can then be purged from the reading file. HLWM staff will periodically verify that random samples of documents from reading files have been entered into the NUDOCS.

042 External Document Submittals

The DCD is principally responsible for ensuring that external document submittals receive an appropriate RIDs code and internal/external distribution. The DCD controls external submittals according to the procedures set forth in the "Draft Standard Operation Procedures for the Document Control Desk." However, there are instances in which external documents submitted to HLWM do not initially pass through the DCD. Documents which are hand carried to the addressee, or sent in envelopes marked "Personal" or "Addressee Only," are not processed by the DCD. (~~see Manual Chapter 0450~~). The HLWM staff is responsible for returning directly received documents to the DCD for processing. For information received from the DOE, the staff should also follow the guidance presented as Attachment 3 to this procedure. The following steps must be followed: (See Figure 2).

# PROCESSING EXTERNAL DOCUMENT SUBMITTALS

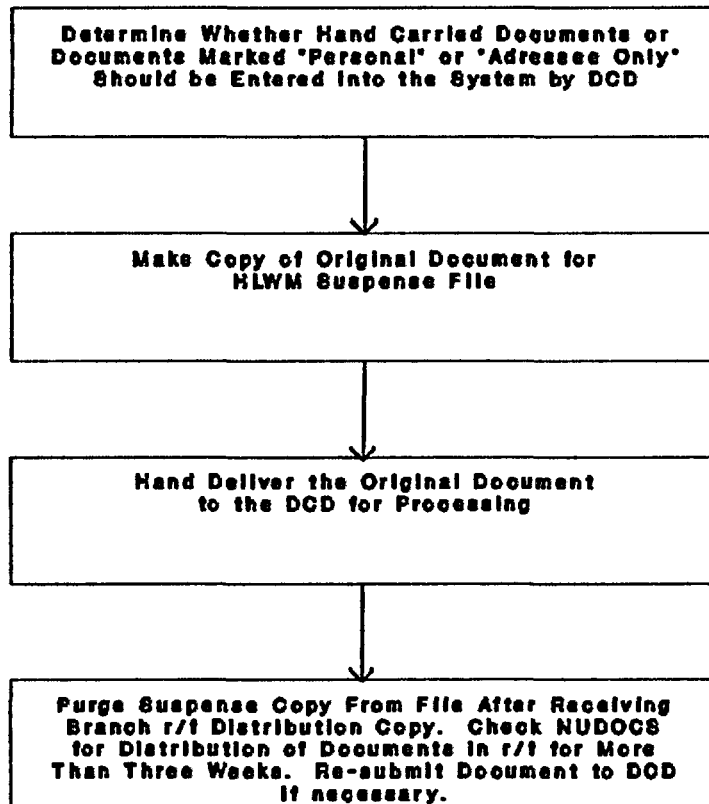


Figure 2



1. Determine whether hand-carried documents or documents received in "Personal" or "Addressee Only" envelopes should be given to the DCD for placement into the system (see ~~Manual Chapter 0410~~ Attachment 1 to determine which documents go into system).
2. If it is determined that a document belongs in the system, the recipient shall make one copy to be placed into the HLWM suspense file;
3. The recipient will then hand-deliver the original document to the DCD for processing. Unless instructed otherwise, DCD will distribute documents to NUDOCS, LSS, PDR, LPDR, CNWRA, HLPD r/f, and On-Site Reps;
4. Upon receiving the Branch r/f distribution copy, the secretarial staff will then purge the suspense copy from the file. If a document remains in the suspense file for three weeks, the secretarial staff will verify, via NUDOCS, that it has not been entered into the system. If necessary, an additional copy will be resubmitted to DCD for re-distribution.

**PART III**

**GUIDELINES FOR THE DISTRIBUTION OF UNCLASSIFIED,  
NONPROPRIETARY DOCUMENTS TO THE PUBLIC DOCUMENT ROOM (PDR),  
WASHINGTON, D.C.**

The following guidelines apply to information that NRC has determined should be made available in the PDR or be exempt from public disclosure.

- A. The following unclassified documents, including documents with exempt portions deleted, are normally placed in the PDR.

**License and Facility Docket and Related Project Documents**

The following information related to Parts 20, 30, 31, 32, 34, 40, 50, 70, 71, 73, 140 and 150 of 10 CFR that is not exempted as described in Section B of this Appendix is placed in the PDR.\*

1. Applications, including the preliminary and final safety analysis reports, environmental reports, subsequent amendments, and antitrust information.
2. Supplemental documents submitted by the applicant to support the review of an application but not submitted as amendments or supplements.
3. Correspondence to and from the applicant to support the review of an application but not submitted as amendments or supplements.
4. Correspondence with State and local officials transmitting information and materials pertinent to an application.
5. Petitions, motions, orders, notices, and decisions received and issued relative to docketed materials and rulemaking actions.
6. Certificates of service on all matters served in a docketed case or rulemaking proceeding.
7. Correspondence to and from the applicant concerning the application and associated procedures.
8. Correspondence relating to any docketed matter or rulemaking proceeding, including correspondence from members of Congress, agencies of the Government, industry, and State-local officials.

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\*In the case of Part 30, NMSS serves as the Public Document Room at NRC Headquarters.

9. Summaries of meetings and trip reports which contain factual information relating to the evaluation of an application or a pending license case and which result from meetings with applicants, licensees, intervenors, or other interested parties.
10. All final internal records and documents which contain factual information relating to the evaluation of an application or rulemaking proceeding.
11. Draft and final environmental statements and supporting bibliography not otherwise available to the public.
12. Incident reports and correspondence with licensees on enforcement matters such as violation notices and penalties; any associated correspondence on these matters.
13. Request for exemptions for early site work; any requests for normal operating procedures to be set aside.
14. Construction permits and amendments; any associated correspondence.
15. All reports, minutes of meetings, and correspondence received from ACRS on applications; licenses, permits, and investigations; generic reports from ACRS.
16. Antitrust and financial correspondence and reports, including correspondence with the Department of Justice on antitrust matters, petitions to intervene in antitrust matters, motions, requests for hearings, etc.
17. Inspection reports, including construction, preoperational, startup, operating, and vendor inspection reports.
18. Correspondence concerning noncompliance with safeguards requirements, including correspondence with the licensees, complaints from the public, and congressional and governmental inquiries unless such correspondence would reveal current safeguards vulnerabilities.
19. Correspondence relating to license fees.
20. Indemnity information, including correspondence with applicants, licensees, and insurance carriers.
21. All notices of hearings, motions, orders, petitions and related correspondence, and transmittal correspondence and comments upon such correspondence, interrogatories, answers, requests for admission, discoveries, etc., and related correspondence.
22. Transcripts of hearings.
23. Technical Specifications produced by NRC and requests for changes in technical specifications.

24. Operating licenses and amendments, related correspondence, motions, petitions, hearings notices, etc.
25. Operating reports and construction reports.
26. Consultant or laboratory reports related to a docket application or project.
27. Various other reports submitted to NRC in response to requirements found in Parts 20, 30, 31, 32, 34, 35, 40, 50, 70, 71, 73, 140, and 150.
28. Applications for export of source, SNM, and byproduct materials, the transmittal letter and preliminary information received from the applicant and the Department of State, the license, any amendments, and correspondence related to the granting of the license.

Research and Technical Documents of a Generic Nature

1. Research and technical reports from NRC contractors and consultants including:
  - Weekly Management Report
  - Monthly Review Report
  - Project Description Document
  - Letter Reports of Accomplishments and Data Report (informal)
  - Model Documentation Report
  - Code Documentation Report
  - Code Verification Report
  - Pretest Prediction Report
  - Quick Look Report
  - Experimental Data Report (informal)
  - Experimental Data Report
  - Postirradiation Examination Analysis
  - Conceptual Design Description
  - Quarterly Progress Report
  - Interim Topical Report
  - Final Report
2. Topical reports of a generic nature.
3. Special studies produced upon request of the Commission and its senior staff members.

Documents Related to Regulatory Guides

1. Public comments on Regulatory Guides and staff responses.
2. Research reports related to the preparation of Regulatory Guides.

General

1. Documents related to subjects that the Commission determines should be sent to the PDR.
  2. Consultant or contractor reports on rulemaking proceedings and special studies.
  3. Solicitations for contracts, contracts, and requests for modifications of contracts.
  4. Transcripts of minutes of meetings of a generic nature with applicants, consultants, contractors, intervenors, government agencies, and the public; trip reports for such meetings.
  5. Documents related to requests for information under the Freedom of Information Act.
- B. The documents exempt from the disclosure requirements of these guidelines are those:
1. Specifically authorized under criteria established by an Executive Order to be kept secret in the interest of national defense or foreign policy; and those properly classified pursuant to such Executive Order.
  2. Related solely to the internal personnel rules and practices of the Commission.
  3. Specifically exempted from disclosure by statute.
  4. Trade secrets and commercial or financial information that is privileged or confidential.
  5. Interagency or intragency memoranda or letters which would not be available by law to a party other than an agency in litigation with the Commission.
  6. Personnel and medical files and similar files, the disclosure of which would constitute a clearly unwarranted invasion of personal privacy.
  7. Investigatory records compiled for law enforcement purposes, but only to the extent that the production of such records would (a) interfere with enforcement proceedings; (b) deprive a person of a right to a fair trial or an impartial adjudication; (c) constitute an unwarranted invasion of personal privacy; (d) disclose the identity of a confidential source and, in the case of a record compiled by a criminal law enforcement authority in the course of a criminal investigation or by an agency conducting a lawful national security intelligence investigation, confidential information furnished only by the confidential source; (e) disclose investigative techniques and procedures; or (f) endanger the life or physical safety of law enforcement personnel.

8. Contained in or related to examination, operating, or condition reports prepared by, on behalf of, or for the use of an agency responsible for the regulation or supervision of financial institutions.
9. Geological and geophysical information and data, including maps, concerning wells.
10. Correspondence and reports to or from the NRC which identify a licensee's or applicant's procedures for safeguarding licensed special nuclear material or detailed security measures for the physical protection of a licensed facility or plant in which special nuclear material is possessed or used.
11. Information submitted in confidence to the Commission by a foreign source.

In addition, documents of the types listed below need not be routinely sent to the PDR:

1. Unidentified working papers used in the preparation of documents scheduled for public release.
2. Working drafts of documents scheduled for public release.
3. Announcements of internal meetings.
4. Acknowledgements of receipt of documents where the acknowledgement gives no information of substantive value.
5. Trip reports that do not contain substantive regulatory or technical information that should be publicly released.
6. Staff reports on training courses attended as on-the-job training.
7. Correspondence, both internal and external, that does not have a direct bearing on a regulatory or technical matter.



UNITED STATES  
NUCLEAR REGULATORY COMMISSION  
OFFICE OF NUCLEAR MATERIAL SAFETY AND SAFEGUARDS  
Washington, D.C. 20555

# HIGH-LEVEL WASTE MANAGEMENT

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## Chapter 0240

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### RECEIPT OF INFORMATION FROM THE DEPARTMENT OF ENERGY

#### 0240-01 PURPOSE

To provide guidance to the Division of High-Level Waste Management (HLWM) staff on how to handle and use draft information provided by the Department of Energy (DOE).

#### 0240-02 BACKGROUND

As part of DOE's effort to consult with the HLWM staff on an ongoing basis and to obtain staff feedback as programs are being developed, DOE has been providing draft information so that the staff can begin its review. Because DOE may on occasion provide this information in draft form or informally, this chapter was developed to help the HLWM staff handle such information.

#### 0240-03 DEFINITIONS

031 Formal Information. Information that is final and that has been transmitted to the staff by letter from DOE.

032 Informal Information. Information that is not transmitted by letter from DOE.

033 Draft Information. Information that is marked draft or identified as draft by DOE.

034 Formal, Draft Information. Information that is still in draft form but that is transmitted to the staff by formal letter from DOE.

#### 0240-04 IMPLEMENTATION

It is agency policy to expend resources to review information that has been formally submitted by DOE. However, on occasion, the HLWM staff may have access to draft or informal DOE information so that they can maintain cognizance of DOE activities in their respective areas. If the HLWM staff receives information from DOE or one of the DOE contractors that is not formally submitted, prior to taking the information, DOE or its contractor should be informed that the documents will be transmitted to the NRC public document room (PDR) so that all interested parties may obtain copies. Placement of documents in the PDR does not make such information or data official. Only a formal transmittal from DOE can make information or data official.

If draft information is formally submitted to the staff by letter from DOE, this formal, draft information should not be reviewed unless an appropriate level of management decides a review is warranted. This normally will be the appropriate section leader in the affected technical review branch and the senior project manager in the Repository Licensing and Quality Assurance Project Directorate. Under no circumstances should the HLWM staff conduct a review of informal information such as that which may be provided at meetings, during site visits, or through any other means (perusal for familiarity is acceptable).

The above discussion does not apply to those situations where the on-site representatives or staff assigned to the on-site office review draft information at DOE or DOE contractor offices. However, even the on-site representatives must place any documents he has in his possession at the NRC office in the PDR.

This Chapter is not intended to address procedures for handling information received as part of an allegation, which requires that steps be taken to protect the identity of the alleged. In this case, information received as part of an allegation should be handled in accordance with NRC Manual Chapter 0517, "Management of Allegations."

END