

U.S. NUCLEAR REGULATORY COMMISSION

DIRECTIVE TRANSMITTAL

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To: NRC Management Directives Custodians

Subject: Transmittal of Management Directive 9.7, "Organization and Functions, Office of the General Counsel"

Purpose: Directive and Handbook 9.7 are being revised to reflect organizational changes in the Office of the General Counsel effected in February 2004.

Office of Origin: Office of the General Counsel

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Directive: 9.7 Organization and Functions, Office of the General Counsel

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Organization and
Functions
Office of the General
Counsel

Directive
9.7

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U. S. Nuclear Regulatory Commission

Volume: 9 NRC Organization and Functions

OGC

Office of the General Counsel

Directive 9.7

Organization and Functions

Supervision

(9.7-01)

This office is under the supervision of the General Counsel who reports to the Commission.

Functions

(9.7-02)

This office directs matters of law and legal policy, providing opinions, advice, and assistance to the agency. Specifically, the office—

- Provides agency officials with legal opinions and advice with respect to all NRC regulatory activities including, but not limited to, the interpretation of the Atomic Energy Act of 1954, as amended, the Energy Reorganization Act of 1974, as amended, the Reorganization Plan No. 1 of 1980, and the Nuclear Waste Policy Act of 1982, as amended. (021)
- Provides advice on the legal form and content of proposed official actions. (022)
- Provides Commission and program offices with legal advice and counsel on licensing, rulemaking, and enforcement matters that arise in the reactor, materials, and waste safety programs. (023)

Functions

(9.7-02) (continued)

- Prepares or concurs, as appropriate, in delegations of authority, Orders, licenses, other legal documents, including interagency agreements and contracts, and regulations, notices, and other documents that are to be published in the *Federal Register*, except for those matters that have been specifically delegated by the Commission to the Atomic Safety and Licensing Board Panel and adjudicatory boards or presiding officers appointed therefrom. (024)
- Provides advice and assistance to the Office of Commission Appellate Adjudication on draft Commission decisions on reviews of orders of Atomic Safety and Licensing Boards, Administrative Law Judges, and presiding officers. (025)
- Provides advice and assistance to NRC staff related to petitions for action under 10 CFR 2.206 and petitions for rulemaking. (026)
- Takes appropriate action to represent and protect the interests of NRC in court proceedings, agency proceedings, other administrative tribunals, and in relation to other Government agencies, committees of Congress, foreign governments, or members of the public. (In accomplishing this function, due regard is taken of separation of functions requirements of the Administrative Procedure Act and Commission regulations.) (027)
- Requests, when appropriate, Department of Justice representation for present or former Federal officials or employees sued individually for actions performed within the scope of their employment, when this representation is requested, as provided in 28 CFR Part 50. (028)

Functions

(9.7-02) (continued)

- Prepares legislative material, including draft legislation initiated by NRC, and comments on proposed legislation submitted to NRC for its views in coordination with appropriate NRC officials and serves as NRC liaison to the Office of Management and Budget on legislative matters. (029)
- Drafts agency comments on proposed Executive Orders in coordination with appropriate NRC officials. (0210)
- Serves as the Designated Agency Ethics Official for NRC and as the NRC contact with the Office of Government Ethics, the Office of Personnel Management, and the Department of Justice with respect to matters relating to conflicts of interest and ethical conduct, and provides advice and training to agency personnel on ethics issues, pursuant to ethics statutes and regulations, principally the Ethics in Government Act of 1978, Executive Order 12731, 5 U.S.C. Sections 7321-7326, 18 U.S.C. Sections 201-299, 5 CFR Parts 2634-2641 and 5801. (0211)
- As requested, provides agency with legal advice and opinions on acquisition matters, including agency procurement contracts, placement of work at Department of Energy national laboratories, other interagency agreements to acquire supplies and services, grants and cooperative agreements. (0212)
- Provides legal advice to the Chief Financial Officer on user fees and matters pertaining to the use of appropriated funds. (0213)
- Provides the agency with legal opinions and advice in connection with the administration of the Federal Advisory Committee Act, and performs other related duties as contained in 10 CFR Part 7, "Advisory Committees." (0214)

Functions

(9.7-02) (continued)

- Provides the agency with legal opinions and advice in connection with the administration of the Paperwork Reduction Act, the Small Business Regulatory Enforcement Fairness Act, the Freedom of Information Act, and the Privacy Act of 1974, as amended, and performs other related duties as contained in 10 CFR Part 9, "Public Records," Subparts A and B. (0215)
- Provides legal advice to the Deputy Executive Director for Information Services and Administration and Chief Information Officer on information technology matters. (0216)
- Reviews and directs intellectual property law activities, including patent, trademark, copyright, and proprietary matters. (0217)
- Provides the Commission with legal opinions and advice in connection with the administration of the Government in the Sunshine Act and performs other related duties as contained in 10 CFR Part 9, Subpart C, "Government in the Sunshine Act Regulations." (0218)
- Represents the NRC staff in public hearings conducted in conjunction with the licensing and regulation of nuclear reactors, the high-level waste repository, materials users and facilities, and in connection with enforcement actions. (0219)
- Carries out responsibilities under the Program Fraud Civil Remedies Act of 1986, 31 U.S.C. Sections 3801-812, and the Commission's implementing regulations in 10 CFR Part 13. (0220)
- Provides professional oversight of the Regional Counsels. (0221)

Functions

(9.7-02) (continued)

- Provides advice to the Commission on technical issues in adjudication, principally those arising out of the Yucca Mountain High Level Waste Repository licensing adjudication. (0222)
- Performs any other functions assigned by the Commission. (0223)

Delegation of Authority to the General Counsel

(9.7-03)

The General Counsel is authorized and directed to take any action necessary to carry out the functions and responsibilities assigned to the General Counsel by this or other official directives or communications, subject to the limitations they may prescribe. Delegations of authority for specific actions and applicable limitations are contained in NRC management directives covering broad functional areas.

Redelegation of Authority to the General Counsel

(9.7-04)

The General Counsel may, except where expressly prohibited, redelegate to others authority delegated to the General Counsel by this or other official directives or communications, subject to the limitations stated below and to other stipulations the General Counsel may deem necessary. (041)

The General Counsel shall send a memorandum specifying the redelegation to the Office of the Secretary, with a copy to the Executive Director for Operations and the Director of the Office of Human Resources. (042)

Redelegation of Authority
to the General Counsel
(9.7-04) (continued)

The General Counsel shall maintain a file of all redelegations.
(043)

Organizational Structure and
Internal Assignments
(9.7-05)

The Office of the General Counsel includes the Deputy General Counsel, the Solicitor, the Program Support Branch, the Commission Adjudicatory Technical Support Program, the Associate General Counsel for Licensing and Regulation, and the Associate General Counsel for Hearings, Enforcement, and Administration. An organization chart showing the internal organization of the office and a statement of functions of the subdivisions of the office are presented as Handbook 9.7, Parts I and II.

References
(9.7-06)

Code of Federal Regulations

5 CFR Chapter XVI, Subchapter B, "Government Ethics."

10 CFR 1.23, "Office of the General Counsel."

10 CFR Part 7, "Advisory Committees."

10 CFR Part 8, "Interpretations."

10 CFR Part 9, "Public Records."

10 CFR Part 13, "Program Fraud Civil Remedies."

References
(9.7-05)

Executive Orders

Executive Order 12731, "Principles of Ethical Conduct for Government Officers and Employees," October 17, 1990.

United States Code

Atomic Energy Act of 1954, as amended (42 U.S.C. 2011 et seq.).

Energy Reorganization Act of 1974, as amended (42 U.S.C. 5801 et seq.).

Ethics in Government Act of 1978, as amended (5 U.S.C. App., Section 101 et seq.).

Nuclear Waste Policy Act of 1982, as amended (42 U.S.C. 10101 et seq.).

Program Fraud Civil Remedies Act of 1986 (31 U.S.C. 3801-12 et seq.).

Organization and
Functions
Office of the General
Counsel

Handbook

9.7

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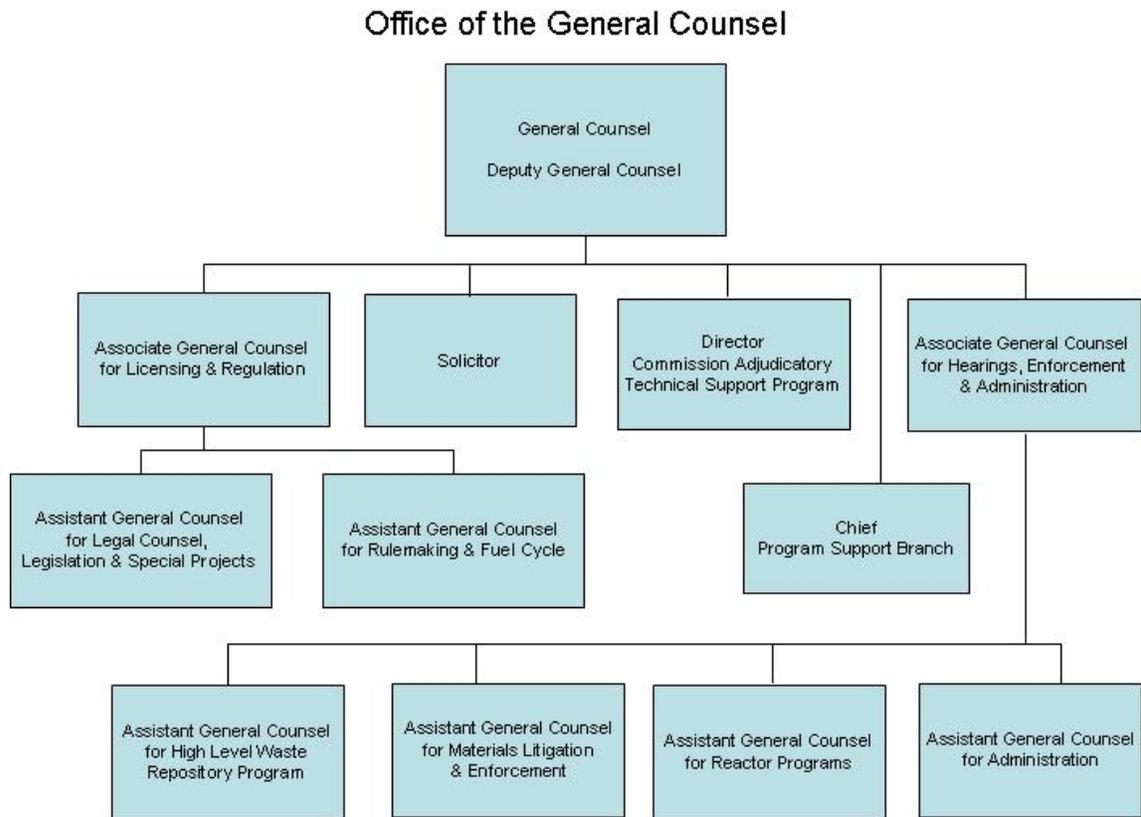
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Part I Organization Chart



Part II

Descriptions of Functions

General Counsel (A)

Supervises and directs the performance of all legal and administrative functions necessary to carry out the assigned responsibilities of the office, including the establishment of the internal organization and its policies and procedures, as required, to manage effectively the work of each division.

Deputy General Counsel (B)

Assists the General Counsel in all assigned responsibilities and is authorized to act in the stead of the General Counsel during the absence of the General Counsel. (1)

Acts as the reviewing official in matters subject to the Program Fraud Civil Remedies Act of 1986, 31 U.S.C. Sections 3801-812, and the Commission's implementing regulations in 10 CFR Part 13. (2)

Solicitor (C)

Assists the General Counsel in his or her role as chief legal officer of and the legal advisor to NRC, with primary responsibility in matters involving the supervision of litigation in courts of law. (1)

Represents NRC in Court of Appeals litigation and in conjunction with the Department of Justice in other Federal courts. (2)

Provides counsel to NRC employees called to testify concerning the exercise of their official duties in cases in which NRC is not a party. (3)

Solicitor (C) (continued)

Advises the Commission on litigation implications of proposed actions. (4)

Associate General Counsel for Licensing and Regulation and the Associate General Counsel for Hearings, Enforcement and Administration (D)

Participate with the General Counsel in directing and supervising all phases of the work within their purview. The Associate General Counsels have full authority to make decisions and take final action on behalf of the General Counsel within the framework of the policies established by the General Counsel.

Divisions in the Office of the General Counsel (E)

A division is headed by an Assistant General Counsel, who, except as otherwise authorized, reports to an Associate General Counsel. The Assistant General Counsels for Legal Counsel, Legislation and Special Projects, Rulemaking and Fuel Cycle, Reactor Programs, Materials Litigation and Enforcement, High Level Waste Repository Program, and Administration assist the General Counsel and Associate General Counsels in developing legal policy in areas of assigned responsibility and in rendering appropriate legal assistance. Each Assistant General Counsel has authority to take final action on all legal matters arising in the areas of assigned responsibility within the framework of the policies established by the General Counsel, except that all matters to be referred to the Executive Director for Operations or to the Commission will be subject to review by the General Counsel or an Associate General Counsel. Each division provides interpretations of the Atomic Energy Act of 1954, as amended; the Energy Reorganization Act of 1974, as amended; and other

Divisions in the Office of the
General Counsel (E) (continued)

sources of authority for NRC officials in matters relating to the respective functions and responsibilities of the division, and specifically—

Assistant General Counsel for Legal Counsel, Legislation and Special Projects (1)

- Provides legal advice and assistance to the Commission and the Office of Commission Appellate Adjudication (OCAA) in the review of adjudicatory decisions. (a)
- Represents the agency in Federal court litigation under the supervision of the Solicitor. (b)
- Provides legal advice and assistance to the Office of Investigations and coordinates with the Office of the Inspector General in matters involving the Program Fraud Civil Remedies Act of 1986. (c)
- Develops the Commission's legislative program, including the drafting of proposed legislation for Commission consideration. (d)
- Provides advice on the legal and policy implication for NRC of legislation sponsored by others and referred to the Commission for comment by Congress or the Office of Management and Budget (OMB). (e)
- Serves as liaison to OMB on legislative matters. (f)
- Provides advice to NRC employees on issues pertaining to Federal standard or conduct requirements and other conflict-of-interest matters and administers the agency's ethics program. (g)

Divisions in the Office of the
General Counsel (E) (continued)

**Assistant General Counsel for Legal Counsel, Legislation and
Special Projects (1) (continued)**

- Provides advice on issues arising under the Government in the Sunshine Act or the Federal Advisory Committee Act. (h)
- Handles special projects raising challenging legal issues. (i)
- Provides legal advice and counseling on international activities and export and import licensing matters. (j)
- Provides legal advice and counseling to the Office of the Chief Financial Officer on user fee matters. (k)
- Provides legal advice and counseling to the Deputy Executive Director for Information Services and Administration and Chief Information Officer on electronic commerce and signature issues. (l)
- Provides legal advice and assistance in areas of information law, including proprietary information and other intellectual property, the Freedom of Information Act, and the Privacy Act. (m)

Assistant General Counsel for Rulemaking and Fuel Cycle (2)

- Prepares and/or reviews NRC regulations and associated amendments and interprets those regulations for NRC staff, personnel from other Federal and State agencies, licensees, and others. (a)
- Provides legal advice and assistance to the Office of Nuclear Material Safety and Safeguards. (b)

Divisions in the Office of the
General Counsel (E) (continued)

Assistant General Counsel for Rulemaking and Fuel Cycle (2)
(continued)

- Initiates and drafts administrative procedures for licensing and regulation of the possession, use, and disposal of nuclear material. (c)
- Provides legal advice on NRC rulemaking matters, nuclear materials licensing, decommissioning, and transportation matters, high-level waste management and disposal, low-level waste management and disposal, fuel facility licensing matters, safeguards matters, matters involving Federal and State programs, matters involving relationships with Federal and international agencies, and administrative law and procedures. (d)

Assistant General Counsel for Reactor Programs (3)

- Acts as counsel for the NRC staff in public administrative proceedings before the Commission, Atomic Safety and Licensing Boards, and presiding officers relating to the health and safety; common defense and security; and environmental impact aspects of applications for nuclear facility licenses, related materials licenses, and associated amendments; license transfers and antitrust aspects of applications for nuclear facility licenses and associated amendments. (a)
- Provides legal advice to the NRC staff with respect to statutory and regulatory requirements for the licensing and regulation of nuclear reactor facilities and reactor operators. (b)
- Coordinates matters concerning the legal aspects of NRC antitrust responsibilities with the Department of Justice and other Government entities. (c)

Divisions in the Office of the
General Counsel (E) (continued)

Assistant General Counsel for Materials Litigation and Enforcement (4)

- Provides legal advice concerning NRC inspection and enforcement activities, including notices of violation, civil penalties, and Orders. (a)
- Provides legal advice and assistance to all regional offices. (b)
- Coordinates and monitors the legal activities of regional counsels. (c)
- Acts as counsel for the NRC staff in public administrative proceedings before the Commission, Atomic Safety and Licensing Boards, and Administrative Judges relating to the issuance of materials licenses, license amendments and license transfers, as well as enforcement actions involving facility or materials licenses, including the imposition of civil penalties and the modification, suspension, or revocation of licenses and other appropriate actions. (d)
- Provides legal advice to the NRC staff with respect to statutory and regulatory requirements for the licensing and regulation of nuclear reactor facilities and reactor operators, as needed. (e)

Assistant General Counsel for Administration (5)

- Provides legal advice and assistance in the areas of interagency and international agreements, research and technical assistance contracts and other procurement matters, grants, patents, financial claims, tort claims, budgetary functions, appropriation matters, labor relations and employment, personnel and information security, equal employment opportunity, and other administrative functions. (a)

Divisions in the Office of the
General Counsel (E) (continued)

Assistant General Counsel for Administration (5) (continued)

- Acts as counsel for the agency in administrative proceedings before the Federal Labor Relations Authority, the Equal Employment Opportunity Commission, the Merit Systems Protection Board, the Energy Board of Contract Appeals, bid protests at the Government Accountability Office, and before arbitrators, examiners, or administrative law judges presiding over proceedings arising under an applicable collective bargaining agreement, the NRC grievance procedures, or 10 CFR Part 10, or any other administrative proceedings arising out of the agency's administrative functions. (b)

Assistant General Counsel for High Level Waste Repository Program (6)

- Provides legal advice and assistance on high-level waste repository matters. (a)
- Provides representation for the staff in adjudicatory hearings on the high-level waste repository license. (b)
- Provides legal advice to the NRC staff with respect to statutory and regulatory requirements for the licensing and regulation of nuclear reactor facilities and reactor operators, as needed. (c)

Program Support Branch (F)

Provides program analysis and direction of program support activities for OGC. (1)

Is responsible for office program development and evaluation in the areas of resource utilization, personnel management, and organization planning and analysis. (2)

Program Support Branch (F) (continued)

Provides office services, including human resources, recruitment, training, information technology, equipment, space, correspondence control, mail and records control, and maintains law library and legislative reference service functions. (3)

Commission Adjudicatory Technical
Support Program (G)

Provides advice on technical issues related to adjudicatory matters related to the licensing of the high-level waste repository and other adjudicatory issues as requested by the Commission. (1)

Provides technical advice on matters other than issues pending in adjudication as requested by the Commission. (2)

Coordinates directly with OCAA and OGC on specific adjudicatory issue assignments. (3)

Monitors the implementation of 10 CFR Part 2, Subpart J (including interpretation but not including compliance by parties or potential parties or strictly technical information technology issues), and alerts the Commission to significant issues. (4)