

**UNCLASSIFIED**

**Section 2. Specific Categories of Information**

*This section applies to specific categories of SBU or equivalent CUI used by your department or agency. Please complete a separate table for each separate category of information.*

Category Name	Official Use Only – Allegation Information (SUNSI)	Point of Contact (name, phone, email)	Russell A. Nichols, 301-415-6874 Ran2@nrc.gov
Formal Definition	Allegation information is information provided by an allegor concerning possible violations of NRC-regulated activities by licensees.		
Marking	Mark at top and bottom of each page, “Official Use Only – Allegation Information.” Mark the allegation number on the front page of letters to allegors and on the upper right corner for each subsequent page. For allegation information in hard copy from an allegor, where appropriate, the Office Allegation Coordinator will stamp “This document identifies an allegor (or confidential source)” on the bottom of each page of hard copy correspondence from an allegor or confidential source provided to staff. To prevent the inadvertent release to a third party of correspondence to an allegor, type the allegation number on the front page and on the upper right corner of each subsequent page of letters to an allegor. Two types of cover sheets are used with documents containing OUI-Allegation Information. A red cover sheet marked “Warning – Confidential Allegation Material” is used when a document contains allegation information that would identify a confidential source. A blue cover sheet marked “Warning – Sensitive Allegation Material” is used when a document contains allegation information but does not contain information that would identify a confidential source.		
Authority (law, regulation, policy, etc.) [Please enclose copies of reference documents if possible]	<p>10 CFR: 2.390; and Part 9, Subpart D; 9.17; 19.16(a); 30.7; 40.7; 50.7; 60.9; 61.9; 70.7; and 72.10</p> <p>Energy Reorganization Act of 1974, as amended, Section 211, “Employee Protection” (42 U.S.C. 5801 et seq.).</p> <p>NRC Announcement No. 18, “Reporting Suspected Wrongdoing – Office of Inspector General (OIG),” March 3, 1994.</p> <p>NRC Enforcement Manual, NUREG/BR-0195.</p> <p>NRC Enforcement Policy, NUREG-1600, Rev. 1, May 1998.</p> <p>NRC Policy Statement, “Investigations, Inspections, and Adjudicatory Proceedings,” 49 FR 36032, September 13, 1984.</p> <p>NRC Management Directive 8.8, “Management of Allegations”</p>		
Is this category of information used only by specific elements within your department, or does it apply agency-wide? Is it recognized broadly across the U.S. Government?	The use of the designation “Official Use Only – Allegation Information” applies agency-wide to the NRC. It is not recognized broadly across the U. S. Government.		
Who is authorized to apply this designation?	The Office Allegation Coordinator		
Who is authorized to remove the designation? What criteria are used?	The Agency Allegation Advisor. Currently, there is no documented criteria for removal of this SBU designation.		
Are there provisions for automatic removal of the designation after a specified time?	No.		

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<p>Are there any special restrictions on access to this category of information, by agencies or individuals?</p>	<p>Yes. Access to allegation information is limited to NRC Allegation Coordinators and NRC personnel based on a need to know the information to perform their official duties.</p>
<p>Are there any special provisions governing access to this information by State, local, or tribal governments or private sector entities?</p>	<p>Limited access may be granted to Agreement States when allegations have been referred to the Agreement States for resolution. Information identifying confidential sources would be withheld.</p>
<p>Describe any procedures for processing, storing, tracking, or disseminating this category of SBU or equivalent CUI, including any special requirements that apply to automated information systems.</p>	<p>Official Use Only – Allegation Information may be processed on the NRC LAN and other systems accredited under NRC MD 12.5, “NRC Automated Security Program”</p> <p>OOU-Allegation Information may not be entered or processed in ADAMS.</p> <p>Confidential allegation material must be stored in a secure container reserved only for that material. Information which may reveal the identity of a confidential source must be returned to the Office Allegation Coordinator for storage in the agency file before the end of the workday and may not be stored in another location overnight. The Agency Allegation Advisor will consider exemptions to these requirements on a case-by-case basis.</p> <p>Sensitive allegation material may be stored in a non-locking agency file when being used where there is supplementary security including electronic access controls (keycards) and/or guards on duty. If management determines that additional protection is needed or if supplementary security controls are not available, the information should be stored in key locked file cabinets or equivalent storage containers. Official files must be stored in an officially designated location. Allegation files are not to be removed from the NRC office designated as their official storage location unless being transferred to another office or unless necessary for certification that records are true copies of the Office of the Secretary.</p> <p>Duplicate allegation working files should have the name of the alleged or other identifying information redacted or have the appropriate cover sheet.</p> <p>There is no mechanism for tracking OOU-Allegation Information documents at the NRC.</p> <p>Only reproduction authorized by the Office or Headquarters Allegation Coordinator is allowed. Verbal authorization is allowed. Specific exemptions must be granted by the Agency Allegations Advisor on a case-by-case basis. Where restrictions are imposed on reproduction, the employee must also ensure that there are no non-authorized copies residing in electronic systems, such as on the network drive, local hard drive, or a floppy drive.</p>

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<p>Describe procedures for marking this category of SBU. Is information marked at the document or paragraph level?</p>	<p>Mark at top and bottom of each page, "Official Use Only – Allegation Information" Mark the allegation number on the front page of letters to allegers and on the upper right corner for each subsequent page. For allegation information in hard copy from an alleger, where appropriate, the Office Allegation Coordinator will stamp "This document identifies an alleger (or confidential source)" on the bottom of each page of hard copy correspondence from an alleger or confidential source provided to staff. To prevent the inadvertent release to a third party of correspondence to an alleger, type the allegation number on the front page and on the upper right corner of each subsequent page of letters to an alleger. Two types of cover sheets are used with documents containing OUO- Allegation Information. A red cover sheet marked "Warning – Confidential Allegation Material" is used when a document contains allegation information that would identify a confidential source. A blue cover sheet marked "Warning – Sensitive Allegation Material" is used when a document contains allegation information but does not contain information that would identify a confidential source. The information is marked at the document level. Paragraph markings are not required within the document.</p>
<p>Describe any training or guidance given to department or agency employees regarding marking, storing, or handling of this category of SBU.</p>	<p>In addition to annual SUNSI training, individuals responsible for receipt, handling, and/or resolution of allegations must receive initial training specific to allegation information and refresher training at least annually.</p>