

## ABSTRACT

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### The NRC Enforcement Manual (Manual):

- ▶ **is the primary source of guidance regarding agency policy and procedures for nrc staff implementing the enforcement program**
- ▶ **contains procedures, requirements, and background information that are essential to those who develop or review enforcement actions for the nrc**
- ▶ **provides guidance consistent with the nrc enforcement policy**

The enforcement program was developed to implement the [NRC's Enforcement Policy](#) which supports the agency's overall safety and security mission, i.e., to protect the public health and safety and provide for the common defense and security. To emphasize the importance the Commission places on this mission, two major goals of the enforcement program are (1) to emphasize the importance of compliance with regulatory requirements, and (2) to encourage prompt identification and prompt, comprehensive correction of violations.

The Manual applies to the enforcement activities of the Office of Enforcement (OE), the Regional Offices, the Offices of Nuclear Reactor Regulation (NRR), Nuclear Material Safety and Safeguards (NMSS), Nuclear Security and Incident Response (NSIR), International Programs, and all other special teams or task forces involved in enforcement activities. It also applies to the enforcement role of the Office of the General Counsel (OGC), with particular emphasis placed on the Associate General Counsel for Hearings, Enforcement, and Administration, and the Assistant General Counsel for Materials Litigation and Enforcement.

Most enforcement actions are initiated from the Regional Offices; therefore, this Manual has been structured to reflect that the Regional Offices, for the most part, initiate, recommend, or issue enforcement actions. However, all offices that conduct inspections and determine compliance, should follow the guidance in this Manual.

☞ The guidance provided in this manual has been written to be consistent with the NRC Enforcement Policy. Because it is a policy statement, the Commission may deviate from the Enforcement Policy and its implementing procedures, as appropriate, under the circumstances of a particular case. In such cases, the Administrative Procedure Act (APA) requires that agency decisions have a reasonable basis, and prohibits a decision that is arbitrary or capricious.

? Questions or comments about this manual, should be sent to Maria E. Schwartz, Senior Enforcement Specialist, Office of Enforcement at [mes@nrc.gov](mailto:mes@nrc.gov).

Program offices, such as NRR, NMSS, or NSIR, that take the lead for an enforcement action, assume the responsibilities of both the Program Office and the Regional Office for that action. In such cases, the Program Office should follow the guidance applicable to both the Program Office and the Regional Office.

The Manual is a living document and is maintained on the NRC Enforcement Web site. It can also be found on the NRC's public Web site, [www.nrc.gov](http://www.nrc.gov) (Select **What We Do**, then **Enforcement**, then **Guidance Documents**). Changes to the Manual are contained in [Change Notices](#) posted in the Change Notice Index on the Enforcement Web site. Enforcement Policy changes are also documented annually in the [NRC Enforcement Program Annual Report](#).