

**U.S. NUCLEAR REGULATORY COMMISSION MANAGEMENT DIRECTIVE (MD)**

<b>MD 8.11</b>	<b>REVIEW PROCESS FOR 10 CFR 2.206 PETITIONS</b>	<b>DT-XX-XX</b>
<i>Volume 8:</i>	Licensee Oversight Programs	
<i>Approved By:</i>	[Name and Title of Approving Official]	
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<i>Issuing Office:</i>	Office of Nuclear Reactor Regulation Division of Operating Reactor Licensing	
<i>Contact Name:</i>	Merrilee Banic	
<b>EXECUTIVE SUMMARY</b>		
Management Directive (MD) 8.11, “Review Process for 10 CFR 2.206 Petitions,” is being revised to—		
<ul style="list-style-type: none"><li>• Clarify the initial screening and Petition Review Board (PRB) evaluation criteria,</li><li>• Clarify guidance regarding coordination and referral of allegations,</li><li>• Clarify and update roles and organizational responsibilities,</li><li>• Clarify and add guidance regarding referrals from adjudicatory boards and the Commission,</li><li>• Clarify guidance for a streamlined director’s decision in certain cases,</li><li>• Correct the addressee of the periodic 2.206 status report from the Commission to the Director of the Office of Nuclear Reactor Regulation,</li><li>• Revise the process to accelerate the PRB initial assessment prior to meeting with the petitioner,</li><li>• Add a timeliness goal for issuing the acknowledgement or closure letter,</li><li>• Add criteria for holding a petition in abeyance,</li><li>• Add guidance on requests to impose requirements outside of NRC jurisdiction, and</li><li>• Add the Office of International Programs to the offices responsible for petitions.</li></ul>		

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For updates or revisions to policies contained in this MD that were issued after the MD was signed, please see the Yellow Announcement to Management Directive index ([YA-to-MD index](#)).

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**I. POLICY**

It is the policy of the U.S. Nuclear Regulatory Commission to provide any person with the means to request that the NRC institute a proceeding pursuant to Section 2.202 of Title 10 of the *Code of Federal Regulations* (10 CFR 2.202) to modify, suspend, or revoke a license, or for other action as may be proper (hereinafter referred to in this directive as to take enforcement-related action). This policy is codified in Section 2.206 of Title 10 of the

*Code of Federal Regulations* (10 CFR 2.206). The NRC may grant a request for action, in whole or in part, take other action that satisfies the concerns raised by the requester, or deny the request. Requests that raise health and safety and other concerns without requesting enforcement-related action will be reviewed by means other than the 10 CFR 2.206 process.

## **II. OBJECTIVES**

- Ensure public health and safety through the prompt and thorough evaluation of any potential problem addressed by a petition filed under 10 CFR 2.206.
- Provide for appropriate participation by a petitioner in the NRC's decisionmaking activities related to a 10 CFR 2.206 petition.
- Ensure effective communication with the petitioner and other stakeholders on the status of a petition, including providing relevant documents and notification of interactions between NRC staff and a licensee or certificate holder relevant to the petition.

## **III. ORGANIZATIONAL RESPONSIBILITIES AND DELEGATIONS OF AUTHORITY**

### **A. Executive Director for Operations (EDO)**

Receives and assigns action for all petitions filed under 10 CFR 2.206.

### **B. Office of the General Counsel (OGC)**

1. Conducts the legal review and provides advice on a 10 CFR 2.206 petition and, upon specific request from the staff in a special case or where a petition raises legal issues, reviews the proposed and final director's decision.
2. Provides legal advice to the Commission, EDO, office directors, and staff on other matters related to the 10 CFR 2.206 process.

### **C. Director of the Office of Enforcement (OE)**

1. Provides enforcement and allegation program advice on a 10 CFR 2.206 petition and, upon specific request from the staff, reviews the proposed director's decision.
2. Provides enforcement and allegation program advice to the Commission, EDO, office directors, and staff on other matters related to the 10 CFR 2.206 process.

### **D. Director of the Office of Investigations (OI) and the Inspector General (IG)**

1. The Office of Investigations (OI) provides advice on a 10 CFR 2.206 petition upon specific request from the staff in a special case or where a petition raises any

allegation of wrongdoing by a licensee or certificate holder, applicant for a license or certificate, their contractor, or their vendor.

2. Any mention outside the NRC of an ongoing Office of Investigations (OI) or Office of the Inspector General (OIG) investigation requires the approval of the Director of OI or the IG, respectively.

**E. Directors of the Office of Nuclear Reactor Regulation (NRR), Office of New Reactors (NRO), Office of Nuclear Material Safety and Safeguards (NMSS) and Office of International Programs (OIP)**

1. Responsible for an assigned petition. Because 10 CFR 2.206 petitions request enforcement-related action against entities licensed or otherwise regulated by the NRC, petitions are assigned to the Office of Nuclear Reactor Regulation (NRR), the Office of Nuclear Material Safety and Safeguards (NMSS), or the Office of New Reactors (NRO), and the Office of International Programs.
2. Approve or deny a petitioner's request for immediate action.
3. Sign acknowledgment letters, *Federal Register* notices, and director's decisions.
4. Provide up-to-date information on all assigned petitions.
5. Appoint a petition review board (PRB) chairperson.
6. Designate a petition manager for each petition.
7. Request OGC involvement, where appropriate, through the Assistant General Counsel for Materials Litigation and Enforcement.
8. Promptly notify—
  - (a) OI when a petition contains any allegation of wrongdoing by a licensee or certificate holder, applicant for a license or certificate, their contractor, or their vendor; and
  - (b) OIG when a petition contains any allegation of wrongdoing by an NRC employee or NRC contractor.
9. Designate an Office 2.206 Petition Coordinator if applicable.

**F. Regional Administrators**

1. As needed, provide support and information for the preparation of an acknowledgment letter and a director's decision on a 2.206 petition.

2. Make the petition manager aware of information that is received or that is the subject of any correspondence relating to a pending petition.
3. Participate, as necessary, in meetings with the petitioner and public, in technical review of petitions and in deliberations of the PRB.

**G. Deputy Office Directors of the Office of Nuclear Reactor Regulation (NRR), Office of New Reactors (NRO), and Office of Nuclear Material Safety and Safeguards (NMSS), and Office of International Programs (OIP)**

1. Concur on PRB initial and final recommendations.
2. Concur on PRB decisions to consolidate similar petitions or to hold a petition in abeyance.

**H. Director, Division of Operating Reactor Licensing (DORL),Office of Nuclear Reactor Regulation (NRR)**

Appoints the Agency 2.206 Petition Coordinator, normally a project manager from the Division of Operating Reactor Licensing (DORL), NRR.

**I. 2.206 PRB Chairperson**

Each office that is assigned a petition will appoint a PRB Chairperson, generally a Senior Executive Service manager, who—

1. Convenes PRB meetings.
2. Ensures appropriate review of a petition in a timely manner.
3. Ensures appropriate documentation of PRB meetings.
4. Convenes periodic PRB meetings with petition managers to discuss the status of open petitions and to provide guidance for timely resolution.

**J. Agency 2.206 Petition Coordinator**

1. Provides support to each Office 2.206 Petition Coordinator to ensure consistency in implementing the 2.206 process throughout the agency.
2. Prepares a 2.206 status report, which is posted to the NRC public Web site.
3. Serves as NRR's 2.206 Petition Coordinator and performs the duties of the NRR 2.206 Petition Coordinator listed in Section III.K of this directive.

**K. Office 2.206 Petition Coordinator**

Each office that is assigned a petition will assign an Office 2.206 Petition Coordinator. The Office 2.206 Petition Coordinator for each office—

1. Provides direct support to the 2.206 PRB Chairperson by tracking the status of each petition within that office and providing guidance for timely resolution.
2. Ensures that PRB members and advisors follow the 2.206 process in accordance with MD 8.11.
3. Prepares a written summary of the internal PRB meetings for the PRB members' review, if requested by the PRB Chairperson.
4. Performs other office-specific tasks that may be assigned by the PRB Chairperson.
5. Provides support to assigned 2.206 Petition Managers.
6. Provides the current status of a petition, upon request, to the Agency 2.206 Petition Coordinator.

**L. 2.206 Petition Manager**

Each office that is assigned a petition assigns a 2.206 Petition Manager. The assigned petition manager—

1. Informs his or her Office 2.206 Petition Coordinator of receipt of a 10 CFR 2.206 petition.
2. Makes an initial screening as to whether the document is within the scope of the 10 CFR 2.206 process, in accordance with Section II of this handbook.
3. Informs the office allegations coordinator and the appropriate regional allegations coordinator of a petition that involves a potential allegation.
4. Contacts the petitioner to determine if he or she wants the request processed as a 10 CFR 2.206 petition and determines the correct process for any petition.
5. Identifies staff members to serve on the PRB.
6. Schedules PRB meetings.
7. Drafts the directors' decision.
8. Provides the current status of a petition, upon request, to the Office and/or Agency 2.206 Petition Coordinator.

9. Submits extension requests for review and approval in accordance with Office or OEDO procedures.
10. Refers to Exhibit 1, "Simplified 2.206 Process Flow Chart," and Exhibit 2, "Petition Manager Checklist," of this handbook for additional information on petition manager responsibilities.

#### **IV. APPLICABILITY**

The policy and guidance in this directive and handbook apply to all NRC employees.

#### **V. DIRECTIVE HANDBOOK**

Handbook 8.11 details the procedures for staff review and disposition of a petition submitted in accordance with 10 CFR 2.206.

#### **VI. DEFINITIONS**

##### **10 CFR 2.206 Petition**

A written request filed by any person to institute a proceeding pursuant to Section 2.202 to modify, suspend, or revoke a license, or for other action as may be proper (hereinafter referred to in this directive as to take enforcement-related action). The request must meet the criteria for accepting petitions for review under 10 CFR 2.206 (see Section III.D, "Criteria for Petition Evaluation," of this handbook).

##### **Licensee**

Throughout this MD, any references to a licensee shall be interpreted to include all licensees, certificate holders, applicants for licenses or certificates, or other person subject to the jurisdiction of the Commission.

#### **VII. REFERENCES**

##### ***Code of Federal Regulations***

10 CFR 2.202, "Orders."

10 CFR 2.206, "Requests for Action Under This Subpart."

10 CFR 2.309, "Hearing Requests, Petitions to Intervene, Requirements for Standing, and Contentions."

10 CFR 2.390, "Public Inspections, Exemptions, Requests for Withholding."

10 CFR 2.802, "Petition for Rulemaking."

32 CFR Part 2002, "Controlled Unclassified Information."

***Federal Register***

"Review of Management Directive 8.11," 75 *FR* 146 (July 30, 2010), available at <http://www.gpo.gov/fdsys/pkg/FR-2010-07-30/pdf/2010-18739.pdf>.

***U.S. Nuclear Regulatory Commission Documents***

Enforcement Petition (2.206) Documents:

<http://www.nrc.gov/reading-rm/doc-collections/petitions-2-206>.

External Comments Received in Response to the *Federal Register* Notice for MD 8.11  
Published on Friday, July 30, 2010 ([ML13029A648](#)).

Management Directive—

3.5, "Attendance at NRC Staff-Sponsored Meetings."

7.4, "Reporting Suspected Wrongdoing and Processing OIG Referrals."

8.8, "Management of Allegations."

Allegation Manual: <https://www.nrc.gov/docs/ML1700/ML17003A227.pdf>.

Memorandum of Understanding Between the NRC and the Department of Justice,  
December 14, 1988 (53 FR 50317):

<http://www.nrc.gov/about-nrc/regulatory/enforcement/moudoj.pdf>.

NRC Plain Language Action Plan:

<http://www.internal.nrc.gov/NRC/PLAIN>.

NRC Web Sites—

*Federal Register* Notice Template Library on SharePoint:

<http://fusion.nrc.gov/adm/team/DAS/RADB/rT/Templates/default.aspx>.

Sample template for—

"*Federal Register* notice of receipt" (ML14013A008).

"*Federal Register* notice for director's decision" (ML14013A007).

NRC Forms Library on SharePoint:

<http://fusion.nrc.gov/nrcformsportal/default.aspx>.

NRC Policy and Procedures for Handling, Marking, and Protecting Sensitive Unclassified Non-Safeguards Information (SUNSI):

<http://www.internal.nrc.gov/sunsi/>.

Operating Reactor Listserve:

<http://www.nrc.gov/public-involve/listserver/plants-by-region.html>.

Generic Communications Listserve:

<http://www.nrc.gov/reading-rm/doc-collections/gen-comm>.

NUREG-Series Publications—

NUREG-0750, "Nuclear Regulatory Commission Issuances," published semi-annually:

<http://www.nrc.gov/reading-rm/doc-collections/nuregs/staff/sr0750/>.

NUREG/BR-0200, Revision 5, "Public Petition Process":

<http://www.nrc.gov/reading-rm/doc-collections/nuregs/brochures/br0200/>.

Yellow Announcement

NRC Yellow Announcement YA-05-0077, "Policy Revision: NRC Policy and Procedures for Handling, Marking, and Protecting Sensitive Unclassified Non-Safeguards Information (SUNSI)," October 26, 2005 (ADAMS Accession No. [ML051220278](#)).

**U.S. NUCLEAR REGULATORY COMMISSION DIRECTIVE HANDBOOK (DH)**

**DH 8.11**

**REVIEW PROCESS FOR 10 CFR 2.206  
PETITIONS**

**DT-XX-XX**

<i>Volume 8:</i>	Licensee Oversight Programs
<i>Approved By:</i>	[Name and Title of Approving Official]
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<i>Issuing Office:</i>	Office of Nuclear Reactor Regulation Division of Operating Reactor Licensing
<i>Contact Name:</i>	Merrilee Banic

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- Clarify guidance regarding coordination and referral of allegations,
- Clarify and update roles and organizational responsibilities,
- Clarify and add guidance regarding referrals from adjudicatory boards and the Commission,
- Clarify guidance for a streamlined director’s decision in certain cases,
- Correct the addressee of the periodic 2.206 status report from the Commission to the Director of the Office of Nuclear Reactor Regulation,
- Revise the process to accelerate the PRB initial assessment prior to meeting with the petitioner,
- Add a timeliness goal for issuing the acknowledgement or closure letter,
- Add criteria for holding a petition in abeyance,
- Add guidance on requests to impose requirements outside of NRC jurisdiction, and
- Add the Office of International Programs to the offices responsible for petitions.

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## I. INTRODUCTION

### A. Title 10 of the *Code of Federal Regulations*, Section 2.206

1. Section 2.206 of Title 10 of the *Code of Federal Regulations* (10 CFR 2.206) has been a part of the U.S. Nuclear Regulatory Commission's regulatory framework since the NRC was established in 1975. Section 2.206 permits any person to file a petition to institute a proceeding pursuant to Section 2.202 of Title of the *Code of Federal Regulations* (10 CFR 2.202) to modify, suspend, or revoke a license, or for other action as may be proper (hereinafter referred to in this directive as to take enforcement-related action).
2. Section 2.206 requires that the petition be submitted in writing, specify the action requested, and set forth the facts that constitute the basis for the request.
3. NRC staff will not treat general opposition to nuclear power or a general assertion of a safety problem, without supporting facts, as a formal petition, as referenced in 10 CFR 2.206. The staff will treat general requests as allegations or routine correspondence.
4. In addition to receiving petitions as described in 10 CFR 2.206, the Commission or a licensing board may refer issues for consideration in the 2.206 process.

### B. Petitions Containing Allegations of Wrongdoing

1. Wrongdoing by NRC licensees or other regulated entities is defined as a willful violation of regulatory requirements (i.e., a violation involving either deliberate misconduct or careless disregard). Management Directive (MD) 8.8, "Management of Allegations," and the Allegation Manual provide NRC policy and guidance with regard to notifying the Office of Investigations (OI) of alleged wrongdoing by a licensee or other regulated entity, as well as initiating, prioritizing, and terminating investigations. Each petition manager should become familiar with the current

- version of these documents and follow their policies and procedures when dealing with allegations.
2. The Office of the Inspector General (OIG) addresses suspected wrongdoing by NRC employees and contractors such as mismanagement of agency programs that could adversely impact matters related to public health and safety. Staff requirements for reporting suspected wrongdoing to OIG are provided in MD 7.4, "Reporting Suspected Wrongdoing and Processing OIG Referrals."
  3. If a petition alleges wrongdoing on the part of a licensee or other regulated entity, NRC staff will coordinate with the appropriate Office Allegation Coordinator to enter the petition (or relevant portion thereof) in the Allegation Program.
  4. If the petition contains information of suspected wrongdoing involving an NRC employee, contractor, or vendor, NRC staff will follow the procedures in MD 7.4 for reporting to the OIG.
  5. Any mention outside the NRC of an ongoing OI or OIG investigation requires the approval of the Director of OI or the Inspector General (IG), respectively.

## II. INITIAL STAFF ACTIONS

### A. NRC's Receipt of a Petition

#### 1. Process Summary

After the NRC receives a request under 10 CFR 2.206, the Office of the Executive Director for Operations (OEDO) assigns it to the director of the appropriate office for evaluation and response. The original incoming petition is sent to the office, and a copy of the petition is sent to the Office of the General Counsel (OGC) and the Agency 2.206 Petition Coordinator. After a petition is assigned to the appropriate office and the staff determines that it should be entered into the 2.206 process, a Petition Review Board (PRB) will assess the petition to determine whether it should be accepted for review. If a petition is accepted for review, the official response is the office director's written decision addressing the issues raised in the petition. In that decision, the office director may grant, partially grant, or deny the petitioner's requested action. The Commission may, on its own initiative, review the office director's decision within 25 days of the date of the decision, although it will not entertain a request for review of the office director's decision.

#### 2. Assignment of Staff Action

##### (a) Initial Screening

- (i) An issue that is referred to the NRC staff for consideration under the 2.206 process by the Commission or a presiding officer in an adjudicatory proceeding will be entered in the 10 CFR 2.206 process as described in Section II.A.2(d) of this handbook.
- (ii) Petitions may be in the form of requests for an enforcement-related action that may or may not cite 10 CFR 2.206 and may initially be directed to staff other than the Executive Director for Operations. Upon receipt of a written request for an enforcement-related action, regardless of how received, the

staff will screen the petition to determine if it is within the scope of the 10 CFR 2.206 process.

- (iii) The staff will not enter a request into the 10 CFR 2.206 process, and will respond using general correspondence or as otherwise appropriate, in the following cases:

- General Assertions and Duplicative Requests for Action under 10 CFR 2.206

The petition is simply (1) a general statement of opposition to licensed activities, nuclear facilities or materials or (2) a general assertion without supporting facts. Examples include conclusory statements without support (e.g., that the quality assurance at a facility is inadequate), letters submitted to the NRC as a result of mass mailing campaigns, or letters of support for a 10 CFR 2.206 petition that is already under NRC consideration.

- Allegations of Wrongdoing

- If the petition alleges wrongdoing (see Section I.B of this handbook), the staff should refer to the allegation program guidance found in MD 8.8 and the Allegation Manual. As discussed in those guidance documents, allegations of wrongdoing on the part of licensees and other regulated entities must be expeditiously forwarded to the appropriate Office Allegation Coordinator for entry into the Allegation Program. The allegation guidance documents discuss the process for referring such wrongdoing issues to OI.
- If the staff determines that a petition (or portions thereof) contains allegations, those portions of the petition should remain non-public, and the identity of the petitioner should be protected to the extent practicable with respect to those portions of the petition. Portions of the petition that do not involve allegations should remain in the 2.206 process, and a public version of the document (with information pertaining to allegations redacted) should be created.
- If the staff identifies in a petition alleged wrongdoing on the part of a licensee or other regulated entity, the petition manager will inform the petitioner that the issue will be handled as an allegation and that his or her identity will be protected to the extent possible. Correspondence related to this issue is handled as prescribed in MD 8.8 and the Allegation Manual.
- If the staff determines that there is no alleged wrongdoing warranting transfer to the allegation program in the petition, and the petitioner continues to request identity protection, the petition manager will inform the requestor that the issue will be handled through another appropriate NRC process and prepare a closure letter. In such cases, the petition and response, as well as any related correspondence, should not be made public.

- Any information related to allegations or other sensitive information that makes up a part of the petition will be redacted from copies sent to the licensee or made available to the public.

- Requests for Non-Public Process or Identity Protection

If a petitioner requests at the outset that the petition remain non-public, and/or requests identity protection as part of the process, the staff should explain to the petitioner that the 2.206 process is a public process and, therefore, the petition and petitioner's identity must remain public. A petitioner who does not agree to these terms should be informed that the petition will be removed from the 2.206 process and told how it will be handled (e.g., as an allegation or through another appropriate NRC response mechanism, if not processed as an allegation). If the petition is transferred to the allegation program, coordinate with the Office Allegation Coordinator.

- No Request for Action in Accordance with 10 CFR 2.202

The petition does not seek an enforcement-related action that would involve initiating a proceeding in accordance with 10 CFR 2.202, "Orders." Petitions that do not seek any enforcement-related action that would involve initiating a proceeding in accordance with 10 CFR 2.202 (e.g., a proceeding to modify, suspend, or revoke a license or take such other action as may be proper by serving an order on the licensee or other person subject to the jurisdiction of the Commission) will not be considered under the 2.206 process. For example, a request to deny a pending licensing action (e.g., a requested license or license amendment) will not be considered under the 2.206 process (but may be considered as a hearing request if there is an opportunity to request a hearing). Also, some petitions may contain implied requests for enforcement-related action. For example, depending on the particular situation, a request to withdraw staff approval of an issued license or license amendment may be construed as a request to modify or revoke a license. The staff may interpret these as requests for enforcement-related action and accept them into the 2.206 process.

- Requests to impose a requirement that is outside of NRC jurisdiction

Requests to impose a requirement that is outside the jurisdiction of the Commission (e.g., a state or local ordinance or a requirement of another federal agency) will not be considered under the 2.206 process, but may be referred to the appropriate regulatory authority.

- Requests for Rulemaking

If a petition alleges deficiencies in existing NRC rules, and/or requests changes to existing NRC rules, the staff will consult with the appropriate rulemaking branch within the NRC. The petition manager will incorporate the rulemaking branch's input into the NRC's response to the petitioner. For example, in some cases the petition manager may explain how the issues raised by the petitioner were addressed previously in the

rulemaking process. In other cases, the petition manager may inform the petitioner that his or her petition has been referred for further evaluation under the criteria in 10 CFR 2.802, "Petition for Rulemaking."

- Issue(s) Under Review in an Adjudicatory Proceeding

If the issue(s) raised in a petition (or portions thereof) are the subject of a proffered or admitted contention in an ongoing adjudicatory proceeding regarding the same licensee and facility, those issues generally will not be considered in the 2.206 process (regardless of whether the 2.206 petitioner proffered the contention or is a party to the proceeding).

- (iv) Notwithstanding the screen-out criteria above, the staff, upon its own determination, may consider an issue for immediate action and/or inclusion in the 2.206 process.
- (b) Staff persons who are uncertain whether the document is within the scope of the 10 CFR 2.206 process should consult their Office 2.206 Petition Coordinator, their management, and/or the Assistant General Counsel for Materials Litigation and Enforcement in OGC for further guidance.
- (c) When a request does not cite 2.206, but the staff determines that it meets the initial screening criteria in Section II.A.2(a) of this handbook, the staff will attempt to contact the petitioner by telephone or email to determine if he or she wishes to pursue the 2.206 process.
- (d) A request for an enforcement-related action that is not screened out under Section II.A.2(a) will be entered into the 2.206 petition process and considered for acceptance as described in Section III.D of this handbook.
  - (i) Petitions sent directly to NRC staff will be forwarded to the Office of the Executive Director for Operations (OEDO) for assignment of action and tracking.
  - (ii) The OEDO will assign each petition to the appropriate office for action with timeframes reflecting those established in this handbook..
- (e) If the staff suspects that classified or safeguards information has been included in the petition, he or she should contact the Incident Response Team (301-415-6666 or e-mail [CSIRT@nrc.gov](mailto:CSIRT@nrc.gov)) in the NRC's Office of the Chief Information Officer (OCIO) and defer to the following MDs to ensure that this information is protected from unauthorized disclosure:
  - (i) MD 12.1, "NRC Facility Security Program";
  - (ii) MD 12.2, "NRC Classified Information Security Program";
  - (iii) MD 12.5, "NRC Cybersecurity Program"; or
  - (iv) MD 12.7, "NRC Safeguards Information Security Program."
- (f) A 2.206 petition is considered a document associated with correspondence received from the public on regulatory matters. In accordance with the Office of Management and Budget's (OMB) policy on personally identifiable information, it is not necessary to remove the petitioner's name, home address, or home e-mail

address from a petition. If the petitioner requests identity protection, see Section II.A.2(a)(iii), second bullet, “Requests for Non-Public Process or Identity Protection,” of this handbook for guidance.

### B. Office Action

1. Upon receipt of a ticket from the OEDO, office management will assign the petition to a petition manager, establish a PRB for petitions that are not screened out under Section II.A.2(a) of this handbook and ensure the Agency 2.206 Petition Coordinator is aware of the petition’s receipt.
2. The Agency 2.206 Petition Coordinator receives copies of all 2.206 petitions and tracks the status.

### C. Petition Manager Action

1. The petition manager who is assigned the petition will ensure that the appropriate actions have been taken, as described in Section II.A.2(a) of this handbook.
2. The petition manager is responsible for declaring the following documents in ADAMS as official agency records, and ensuring that the documents are publicly available except as discussed below (and to the extent appropriate):
  - (a) The petition, and
  - (b) Any additional documentation associated with the petition (including e-mails). (Additional guidance can be found in Exhibits 1 and 2 of this handbook.)
3. The petition manager should defer to the NRC’s sensitive unclassified non-safeguards information (SUNSI) policy to ensure that any SUNSI (if included in the petition) is properly handled, marked, and adequately protected from unauthorized disclosure. OCIO manages and implements the SUNSI Program and will continue to do so until that program is terminated in accordance with 32 CFR Part 2002, “Controlled Unclassified Information.” OCIO also manages the NRC’s implementation of the Controlled Unclassified Information (CUI) Program, including the NRC’s transition to that program, in accordance with 32 CFR Part 2002. Refer to—
  - (a) The “NRC Policy and Procedures for Handling, Marking, and Protecting Sensitive Unclassified Non-Safeguards Information (SUNSI),” available on the internal NRC Security Web site, at <http://www.internal.nrc.gov/sunsi>;
  - (b) MD 12.6, “NRC Sensitive Unclassified Information Security Program; and
  - (c) NRC Yellow Announcement YA-05-0077, “Policy Revision: NRC Policy and Procedures for Handling, Marking, and Protecting Sensitive Unclassified Non-Safeguards Information (SUNSI),” October 26, 2005 (ADAMS Accession No. [ML051220278](#)).
4. The petition manager will promptly review the petition and determine whether it contains sensitive information. Sensitive information includes safeguards or facility security information, proprietary or confidential commercial information, or information relating to allegations of wrongdoing. The timing of this step is particularly important for petitions that are not addressed to the EDO. Usually, these documents have been

entered into ADAMS through the Document Processing Center and are released to the public after a specified period of time. The delay allows the staff time to review the petition for sensitive information. If the petition manager determines that a document contains sensitive information, then he or she should immediately contact ADAMS IM to prevent the release of the document to the public.

5. The petition manager will promptly review the petition to determine if it requests short-term immediate action (e.g., a request to shut down an operating facility or prevent restart of a facility that is ready to restart) or if an issue raised in the petition may warrant immediate action (even if not requested).
6. Before the petition is released to the public and before the PRB meeting, the petition manager will inform the petitioner that, because the 2.206 petition process is a public process, the petition and all the information in it, including the petitioner's identity, will be made public.
7. After the initial contact with the petitioner, the petition manager will promptly advise relevant licensee(s) of the petition, send the appropriate licensee(s) a copy of the petition for information.
8. See Exhibit 1, "Simplified 2.206 Process Flow Chart," and Exhibit 2, "Petition Manager Checklist," for further information on petition manager actions.

### **III. PETITION REVIEW BOARD (PRB)**

#### **A. Petition Review Board Composition**

1. The PRB consists of—
  - (a) A PRB chairperson (generally a Senior Executive Service manager).
  - (b) The Office 2.206 Petition Coordinator.
  - (c) A 2.206 petition manager.
  - (d) Cognizant management and staff, as necessary.
  - (e) A cognizant regional representative (e.g., a regional branch chief or higher, if there is a concern involving a potential violation).
  - (f) A representative from OI, if recommended by the petition manager.
  - (g) A representative from the Office of Enforcement (OE) if recommended by the petition manager. The OE representative should address both the enforcement and allegation programs and should be able to inform the PRB if the petition involves an issue that is already in the allegation program.
  - (h) The petition manager may also recommend that his or her Office Enforcement Coordinator be included in the PRB.
2. (i), a representative from OGC will participate, if recommended by the petition manager.

**B. Schedule for PRB Meeting**

1. If the petition requests immediate action or the petition manager determines that immediate action may be necessary, the petition manager will convene the PRB as soon as possible, to decide whether immediate action is warranted. The petition manager may hold an in-person meeting of the PRB or use other means (email, teleconference) to obtain the PRB's decision. In such cases, an additional PRB meeting (see Section III.B.3 of this handbook) will be held to assess the petition. In extremely urgent cases that do not enable formation of a PRB, the petition manager will consult with office management to ensure the need for immediate action is appropriately addressed.
2. The assigned office will convene a PRB meeting to assess the 2.206 petition. The PRB meeting should be held as quickly as possible, but should be held within 3 weeks of OEDO assignment of the petition.

**C. Preparation for the PRB Meeting**

1. The petition manager will provide copies of the petition to the PRB and schedule the review board meeting. The petition manager will also arrange for cognizant technical staff members to attend the meeting, as necessary, and prepare a presentation for the review board. In assigning technical staff members to the petition, management will consider any potential conflict from assigning a staff person who was previously involved with the issue that gave rise to the petition.
2. The petition manager's presentation to the PRB should include the following:
  - (a) A discussion of the safety significance of the issues raised;
  - (b) Recommendations as to whether or not the petition—
    - (i) Meets the criteria for acceptance under 10 CFR 2.206,
    - (ii) Requires any immediate action (requested or not);
  - (c) A request for confirmation concerning referral to OI or the OIG, as appropriate; and
  - (d) The proposed schedule, including the review schedule for the affected technical branches.

**D. Criteria for Petition Evaluation**

The staff will use the criteria in this section to determine how to process a petition.

**1. Criteria for Accepting Petitions Under 10 CFR 2.206**

The staff will accept a petition for review under the requirements of 10 CFR 2.206 if the request meets both of the following criteria:

- (a) The petition specifies the facts that constitute the basis for taking the requested action under 10 CFR 2.202, and those facts are sufficient to provide support for the requested action. The petitioner must provide more than a bare assertion that the NRC should take action. The supporting facts must be sufficient to warrant further inquiry.

- (b) The petition falls within one of the following categories:
- (i) The issues raised by the petitioner have not previously been the subject of a facility-specific or generic NRC staff review, or
  - (ii) The issues raised have previously been the subject of a facility-specific or generic NRC staff review, and at least one of the following circumstances applies:
    - The prior review did not resolve the issues raised by the petitioner.
    - The resolution of the issues in the prior review does not apply to the facts provided by the petitioner to support the requested action.
    - The petition provides significant new information that the staff did not consider in the prior review.
- (c) For the criterion in Section III.D.1(b)(ii) above:
- (i) If the prior review occurred in the allegation process, the petition (or portion thereof) would not be accepted in the 2.206 process. Rather, the staff's prior conclusion would be shared publicly without reference to the related allegation.
  - (ii) In other cases involving prior reviews, the staff should determine, in its technical judgment, whether or not the listed circumstances in Section III.D.1(b)(ii) apply. In most cases, if the staff determines that an issue has been resolved, the staff should identify its supporting documentation.
- (d) If the petition raises multiple issues, the staff should accept the petition only with respect to those issues that satisfy the criteria in Sections III.D.1(a) and (b) above.

## 2. Criteria for Consolidating Petitions

Generally, all requests submitted by different individuals will be treated and evaluated separately. When two or more petitions request action against the same licensee, specify essentially the same bases, provide adequate supporting information, and are submitted at about the same time, the PRB must weigh the benefit of consolidating the petitions against the potential for diluting the importance of any single petition. The PRB will recommend whether consolidation is or is not appropriate, and the assigned office director will make the final determination.

## 3. Criteria for Holding a Petition in Abeyance

- (a) When the PRB recommends accepting a petition for review, there may be circumstances in which it would be appropriate to hold the petition in abeyance pending the outcome of a related staff review outside of the 2.206 process. For example, certain petitions may relate to events that have generated widespread public interest, and for which the Commission has directed the staff to formally assess the safety significance of the events and take appropriate action (e.g., the Fukushima events).

- (b) Other petitions may raise issues that are currently under review in another process (e.g., an ongoing inspection of a licensee's facility). In such situations, the PRB may determine that it would be appropriate to hold the petition in abeyance pending completion of the review outside of the 2.206 process.
- (c) The staff should not hold a petition in abeyance merely to allow a petitioner to develop additional supporting information not provided with the original petition. For example, if a petitioner submits a Freedom of Information Act (FOIA) request in parallel with the 2.206 petition, the staff generally should not hold the petition in abeyance until the FOIA process is completed. (The petition should be evaluated based on the information provided, and if rejected, the petitioner would be free to submit another 2.206 petition after receiving documents under FOIA). However, a petitioner should be allowed a reasonable time to compile and submit existing and readily available additional information to the PRB for consideration prior to the PRB making its final recommendation. The staff may hold a petition in abeyance if—
  - (i) The issues raised in the petition are the subject of ongoing or imminent review,
  - (ii) The review is not expected to be completed in the near future, and
  - (iii) The staff needs the results of the review in order to reach an informed decision on the issues raised in the petition.
- (d) If the petition raises multiple issues, the PRB should hold in abeyance only those portions of the petition that meet the criteria in Section III.D.3 of this handbook.
- (e) When the PRB decides to hold all or part of a petition in abeyance—
  - (i) The PRB Chairperson will ensure that the office director, or designee, is informed of the PRB's decision and he or she concurs.
  - (ii) The petition manager will then inform the petitioner of the PRB decision and its basis.
  - (iii) The petition manager will also inform the petitioner when the PRB expects to resume its review of the 2.206 petition. For example, the petition manager might explain that the PRB will resume its review of the petition after the staff completes an inspection of the facility that is the subject of the 2.206 petition. The petitioner may choose to withdraw the petition and resubmit it at a later time.
  - (iv) If a petition is held in abeyance, the petition manager will notify the petitioner that status updates will occur at least every 120 days (unless another time period is agreed upon with the petitioner) as described in Section IV.C of this handbook.
  - (v) When the staff review related to the petition is completed, the petition manager will notify the petitioner.

**E. Initial PRB Assessment**

1. The PRB ensures that an appropriate petition assessment process in reviewing the petition against the acceptance criteria is followed. The PRB—
  - (a) Determines whether the petitioner's request meets the criteria for accepting petitions for review (see Section III.D.1 of this handbook).
  - (b) Determines whether there is a need for immediate action (whether requested or not).
  - (c) Establishes a schedule for responding to the petitioner in a timely manner (see Section IV of this handbook for guidance regarding schedules).
  - (d) Determines whether the petition should be consolidated with another petition.
  - (e) Determines when a referral to the Allegation Program or OIG is appropriate, if there is some question from members about previous screening.
  - (f) Determines whether the licensee should be asked to respond to the petition.
  - (g) Adds review board meetings when reviewing a complex petition to ensure that suitable progress is being made.
  - (h) Addresses the possibility of issuing a partial director's decision.
2. PRB meetings to consider immediate actions, assess the petition against the evaluation criteria, or to review the petition are closed and separate from any meeting with the petitioner and the licensee.
  - (a) At the meeting, the petition manager briefs the PRB on the petitioner's request(s), any background information, the need for an independent technical review, and a proposed plan for resolution, including target completion dates.
  - (b) The petition manager, with the assistance of the Office 2.206 Petition Coordinator, ensures appropriate documentation of all PRB recommendations in the summary of the PRB meeting.
3. The OGC representative provides legal review and advice on 10 CFR 2.206 petitions.

**F. Informing the Petitioner of the Results of the Initial PRB Assessment**

1. After the PRB assesses the petition against the evaluation criteria in Section III.D. of this handbook, and before meeting with the petitioner, the PRB Chairperson will inform the office director, or designee, of the results of the PRB's initial assessment..
2. The petition manager will then inform the petitioner of the following:
  - (a) Whether or not the petition, as submitted, meets the criteria for acceptance under 10 CFR 2.206,
  - (b) The disposition of any request for immediate action,
3. How the review will proceed. If the staff plans to take an action that is contrary to an immediate action requested in the petition before issuing either the closure letter or

- acknowledgment letter, then the petition manager should informally notify the petitioner promptly of the pending staff action. Reasons for the staff's action will be documented in the closure or acknowledgement letter.
4. The petitioner will not be advised of an on-going investigation of wrongdoing being conducted by OI, but would be informed if the petition contained an assertion of wrongdoing that was being referred to the Allegation Program for possible investigation.

#### **G. Meeting With the Petitioner**

1. After informing the petitioner of the results of the PRB initial assessment, the petition manager will offer the petitioner an opportunity to clarify or supplement the petition based on the results of the PRB's initial assessment. This opportunity will be either a teleconference between the petitioner and the PRB, or a public meeting, if the petitioner wishes to address the PRB in person. The meeting or teleconference should be scheduled so as not to adversely affect the established petition review schedule.
  - (a) If the petitioner chooses to address the PRB by telephone, it is not considered a public meeting, and no public notice is necessary. The teleconference is recorded and transcribed. The petition manager will establish a mutually agreeable time and date and arrange to conduct the teleconference on a recorded line through the NRC Headquarters Operations Center (301-816-5100). The digital recording from the Operations Center is converted to a printed transcript that is sent to the petitioner and the same distribution list as the original petition. The petition manager will arrange for transcription service by submitting an NRC Form 587, "Request for Court Reporting Service," to the Atomic Safety and Licensing Board Panel (ASLBP) staff.
  - (b) Any in-person meeting between the PRB and the petitioner will be held as a public meeting at NRC headquarters in Rockville, Maryland. If the petitioner selects this option, the petition manager will establish a mutually agreeable time and date for the public meeting with the petitioner. For the meeting, the petition manager will follow the prior public notice period and other provisions of MD 3.5, "Attendance at NRC Staff-Sponsored Meetings." However, the time constraints associated with this type of meeting may dictate that the 10-day public notice period described in MD 3.5 will not be met. MD 3.5 allows for fewer than 10 days of public notice, if necessary, with appropriate management concurrence. The meeting should be referred to as a meeting between the NRC staff, the petitioner, and the licensee (unless the licensee chooses not to participate). Other members of the public can attend in person or by phone. The meeting will be recorded by the NRC Headquarters Operations Center (301-816-5100) and a transcript will be created and distributed as described in Section III.G.1(a) of this handbook.

2. This public meeting or teleconference, if held, is an opportunity for the petitioner to provide any relevant additional explanation and support for the request in light of the PRB's initial assessment. The petitioner's statements at the meeting or teleconference will be evaluated in terms of whether the petitioner supports the bases for taking enforcement-related action set forth in the petition itself. The PRB will consider the petitioner's statements made at the meeting or teleconference, along with the original petition, in evaluating whether to accept the petition using the criteria in Section III.D.1 of this handbook.
3. The staff will consider the transcript of the teleconference or meeting as a supplement to the petition insofar as the petitioner provides additional relevant explanation or clarification of the issues raised in the petition or additional relevant facts supporting the petitioner's view of the issues. (Other documents submitted by the petitioner to supplement a petition are addressed in Section III.J of this handbook.) The public meeting or teleconference is not an opportunity for the petitioner to amend the petition or submit a new petition. To the extent that the petitioner's statements to the PRB add new issues, request additional enforcement-related actions, or otherwise expand the scope of the original petition, the PRB may consider such statements as amending the petition and decline to consider them in the petition review process. If the petitioner presents significant new information to the NRC staff, the PRB may determine that this new information constitutes a new petition that will be treated separately from the initial petition.
4. The petition manager will invite the licensee to participate in any meeting or teleconference with the petitioner to ensure that the licensee understands the concerns about its facility or activities. The licensee may also ask questions to clarify the issues raised by the petitioner.
5. The PRB members may ask questions to clarify their understanding of the petitioner's request. If staff decisions on any of the petitioner's immediate action requests are required before the petitioner's presentation can be scheduled, those decisions will not be delayed.
6. The petition manager will ensure that all NRC staff at the meeting or teleconference are aware of the need to protect sensitive information from disclosure.
7. The petitioner may request that a reasonable number of associates be permitted to assist him or her in addressing the PRB concerning the petition. The petition manager will—
  - (a) Discuss this request with the petitioner,
  - (b) Determine the number of speakers, and
  - (c) Allot a reasonable amount of time for the presentation so that the staff can acquire the information needed for its review in an efficient manner.
  - (d) Ask if other members of the public will be listening but not presenting during a teleconference.
8. At the meeting or teleconference, the PRB Chairperson will provide a brief summary of the 2.206 process, the petition, and the purpose of the discussion that will follow.

The NRC staff and the licensee will have an opportunity to ask the petitioner questions for purposes of clarification.

9. The PRB may meet in closed session immediately after the meeting or teleconference with the petitioner to develop its recommendations with respect to the petition.
10. The petition manager will review the meeting or teleconference transcript and, where necessary, edit it to ensure it accurately reflects what was said in the meeting or teleconference. Corrections are only necessary for errors that affect the meaning of the text of the transcript. The petition manager is not expected to correct inconsequential errors.
11. After editing, the petition manager will ensure that the transcript receives the same distribution (petitioner, licensee, publicly available, etc.) as the original petition. This step should be accomplished by referencing the ADAMS Accession Number for the transcript in either an acknowledgment or closure letter.
12. After the meeting or teleconference with the petitioner, the PRB will consider the supplemental information presented during the meeting or teleconference together with the original petition, against the acceptance criteria in Section III.D.1 of this handbook to determine if the petition, as supplemented, should be accepted for review. Before issuing either an acknowledgment or closure letter, the PRB Chairperson will ensure that the office director, or designee, is informed of the PRB's recommendations and that he or she concurs.

#### **H. Response to the Petitioner**

The petitioner will be notified promptly of NRC staff decisions on any immediate action requests, which may occur prior to the PRB finalizing its recommendation on whether to accept the petition for review. After the PRB finalizes its recommendations, the petition manager will inform the petitioner by e-mail or telephone whether the petition meets the criteria for review, and if accepted, how the review will proceed, and then prepare a written response to the petitioner. The final recommendations will be included in either a closure letter or acknowledgment letter. The closure letter or acknowledgment letter will address any supplemental information provided by the petitioner, comments the petitioner made concerning the initial PRB assessment and the NRC staff's response.

##### **1. Requests That Do Not Meet the Criteria For Acceptance**

- (a) If the PRB, with office-level management concurrence, determines that the petition does not meet the criteria for acceptance as a 10 CFR 2.206 petition, the petition manager then prepares a closure letter that—
  - (i) Explains why the request is not being reviewed under 10 CFR 2.206, and
  - (ii) Responds, to the extent possible at that time, to the issues in the petitioner's request.

- (b) The PRB Chairperson (either a division director, or if delegated, a deputy division director) signs the closure letter. See Exhibit 3, "Sample Closure Letter for Requests That Do Not Meet the 2.206 Acceptance Criteria," in this handbook.
  - (c) The petition manager will ensure that the original petition, supplements, and any enclosure(s) referenced in the closure letter are placed in ADAMS.
  - (d) The closure letter should include the appropriate Office Allegation Coordinator or a member of the Office of Enforcement on distribution to review the petition for potential allegations. The list of allegation coordinators is on OE's office Web site at <https://drupal.nrc.gov/sites/default/files/oe-coordinators.pdf>.
2. Requests That Meet the Criteria for Acceptance
- (a) If the PRB finds that the petition meets the criteria for acceptance as a 10 CFR 2.206 petition, the petition manager prepares an acknowledgment letter and associated *Federal Register* notice (see Exhibit 4, "Sample Acknowledgment Letter," of this handbook and the "*Federal Register* notice of receipt" available at the FRN Template Library on SharePoint at <http://fusion.nrc.gov/adm/team/DAS/RADB/rt/Templates/default.aspx>).
  - (b) The letter should acknowledge the petitioner's efforts in bringing issues to the staff's attention. If the petition contains a request for immediate action by the NRC (for example, a request for immediate suspension of facility operation until final action is taken on the request), then the acknowledgment letter must explain the staff's response to the immediate action requested and the basis for that response.
  - (c) The petition manager ensures that references to (e.g., ADAMS Accession number or Web site address of) MD 8.11 and NUREG/BR-0200, Rev. 5, "Public Petition Process," prepared by the Office of Public Affairs (OPA), are included with the acknowledgment letter. The acknowledgment letter also should include the name, e-mail address, and telephone number of the petition manager, identify the technical staff organizational units that will participate in the review, and provide the planned schedule for the staff's review. A copy of the acknowledgment letter must be sent to the appropriate licensee and the docket service list(s). Some program offices within the NRC no longer maintain a service list, but rely upon a listserve to distribute NRC correspondence to external stakeholders. (A service list is a list of interested parties that is manually compiled by the agency. A listserve is an electronic system through which the public can subscribe and receive an e-mail notification when a document is issued.) If the program office relies on a listserve, then the petition manager should instruct the petitioner on how to subscribe to the appropriate listserve(s).
  - (d) The petition manager ensures that the original petition, supplements, and any enclosure(s) referenced in the acknowledgment letter are placed in ADAMS.
  - (e) If the petition meets the criteria for acceptance but does not raise any new safety or security issues that have not been addressed by the staff, the staff may be prepared to respond to the merits of the petition immediately. For example, this may occur in a case where a petition's supporting information consists

almost entirely of NRC-generated information (e.g., inspection reports, generic letters) or information well-known to the NRC (e.g., news reports, licensee event reports). In these cases, a proposed director's decision would not be issued, and the acknowledgement letter would be accompanied by the final director's decision

### I. Providing Documents to the Petitioner

1. If the PRB determines that the 2.206 petition will be accepted for review, then the petition manager will—
  - (a) Add the petitioner to the service list(s) for the topic (if one exists). If a listserve is used, the petition manager will inform the petitioner how to join the listserve to receive electronic versions of publicly available NRC outgoing correspondence. The Operating Reactor listserve can be accessed on the NRC public Web site, at <http://www.nrc.gov/public-involve/listserver/plants-by-region.html>.
  - (b) Send copies electronically of any future correspondence from the licensee related to the petition to the petitioner, with due regard for proprietary, safeguards, and other sensitive information.
  - (c) Ensure that the petitioner is placed on distribution for other NRC correspondence relating to the issues raised in the petition, to the extent that the petition manager is aware of these documents, including relevant NRC generic communications (i.e., generic letters, regulatory issue summaries, information notices, or bulletins) that are issued while the NRC considers the petition. The petition manager will inform the petitioner how to join the listserve to receive electronic versions of publicly available NRC generic communications. The Generic Communications listserve can be accessed on the NRC public Web site, at <http://www.nrc.gov/reading-rm/doc-collections/gen-comm/>. NRC correspondence or documentation related to an OI or OIG investigation will not be released outside NRC without the approval of the Director of OI, or the IG, respectively.
2. These three actions will remain in effect until 90 days after the director's decision is issued if the petitioner desires it.

### J. Supplements to the Petition

A petitioner will occasionally submit a written supplement to his or her petition.

1. When a supplement is provided, the petition manager will review the supplement promptly and determine whether or not it contains sensitive information, which must be handled according to appropriate information security policies and procedures. When a supplement is provided, the project manager will take appropriate actions listed in Section II.C of this handbook. If the supplement contains allegations of wrongdoing, the petition manager will follow the guidance in Section II.A.2(a)(iii), first bullet, "Allegations of Wrongdoing," of this handbook. If all or part of the supplement is treated as an allegation, this fact will be documented in the allegation acknowledgment letter (see MD 8.8 and the Allegation Manual). For more detailed information on petition manager action, see Section II.C of this handbook.

2. The petition manager will ensure that the supplement receives the same distribution as the petition and will forward a copy of the supplement to the PRB members. The PRB members will review the supplement and determine whether they need to meet formally to discuss it and, if so, whether or not to offer the petitioner an opportunity to discuss the supplement with the PRB. In deciding whether a formal PRB meeting is needed, the PRB members will consider the safety significance and complexity of the information in the supplement. Clarification of previous information will generally not require a new PRB meeting. If a new PRB meeting is not convened, the petition manager will include the supplement in the ongoing petition review and no further action is necessary.
3. Once a supplement is received, the petition manager will contact the petitioner to determine if this is the final written supplement to the petition. If the petitioner states that additional supplements will be submitted to the PRB for review, the petition manager will inform the petitioner of the PRB's schedule and advise the petitioner that additional supplements could delay or result in a revised schedule. Because prompt action may be needed to address any concerns, the schedule will generally not be revised or delayed to allow a petitioner to submit a supplement. Supplements will be considered to the extent practical if provided prior to the PRB completing its review. In addition, the petition manager will inform the petitioner that, depending upon the timing of the NRC's receipt of any supplements, the PRB may not be able to consider supplemental information provided after the petition was submitted. Any impacts to the petition review schedule should be kept to a minimum.
4. The PRB will review supplements for additional relevant explanation or clarification of the issues raised in the original petition or additional relevant facts supporting the petitioner's view of the issues. To the extent that supplemental information provided by the petitioner raises new issues, requests additional enforcement-related actions, or otherwise expands the scope of the original petition, the PRB may consider such information as amending the petition and decline to consider the supplemental information in the petition review process. If the petitioner presents significant new information to the NRC staff, the PRB may determine that the supplement constitutes a new petition that will be treated separately from the initial petition.
5. If a new PRB meeting is convened, the PRB members will determine whether—
  - (a) There is a need for any immediate actions based on the supplemental information (whether requested or not).
  - (b) The supplement should be consolidated with the existing petition.
  - (c) To issue a partial director's decision.
  - (d) To revise the review schedule for the petition based on the supplement (see Section IV, "Petition Review Activities," of this handbook for guidance regarding schedules).
  - (e) To send a letter acknowledging receipt of the supplement. A letter should be sent if the supplement provides significant new information, causes the staff to reconsider a previous determination, or requires a schedule change beyond the original 120-day goal.

- (f) To offer the petitioner a meeting or teleconference with the PRB to discuss its recommendations with respect to the supplement. (See III.G, "Meeting with the Petitioner," of this handbook for information on this type of meeting or teleconference.)
- 6. If the staff determines that the schedule for the petition must be extended beyond the original 120-day goal as a result of the supplement, the assigned office should send an acknowledgment letter to the petitioner, reset the 120-day clock to the date of the new acknowledgment letter, and inform the OEDO.
- 7. If the PRB determines that the supplement will be treated as a new petition (i.e., not consolidated with the existing petition), the assigned office must contact OEDO for a new tracking number.

## IV. PETITION REVIEW ACTIVITIES

This section describes the activities that take place after a petition has been accepted for review.

### A. Reviewing the Petition

- 1. Interoffice Coordination
  - (a) The petition manager coordinates all information required for the petition review. The petition manager also advises his or her management of the need for review and advice from OGC regarding a petition in special cases. When appropriate, the Deputy Director for Reactor Safety Programs and Mission Support in the Office of Nuclear Reactor Regulation (NRR), a Division Director in the Office of Nuclear Material Safety and Safeguards (NMSS), a Division Director in the Office of New Reactors (NRO), or the Director of OE requests OGC involvement through the Assistant General Counsel for Materials Litigation and Enforcement.
  - (b) All information related to a wrongdoing or staff misconduct investigation by OI or OIG, or even the fact that an investigation is being conducted, will receive limited distribution within the NRC and will not be released outside the NRC without the approval of the Director of OI, or the IG, respectively (see MD 8.8 and MD 7.4). Within the NRC, access to this information is limited to those having a need-to-know.
- 2. Request for Licensee Input
  - (a) If appropriate, the petition manager will request the licensee to provide a voluntary response to the NRC on the issues specified in the petition, usually within 30 days. This staff request usually will be made in writing. The petition manager will advise the licensee that the NRC will make the licensee's response publicly available and will provide a copy of the response to the petitioner. The licensee may also voluntarily submit information related to the petition, even if the NRC staff has not requested this information.
  - (b) Unless necessary for NRC's proper evaluation of the petition, the licensee should avoid using proprietary or personal privacy information that requires protection from public disclosure. If this information is necessary to completely respond to the petition, the petition manager ensures the information is protected in

accordance with 10 CFR 2.390, "Public Inspections, Exemptions, Requests for Withholding."

### 3. Technical Review Meeting With the Petitioner

A technical review meeting with the petitioner will be held whenever the staff believes that a meeting (whether requested by the petitioner, the licensee, or the staff) would be beneficial to the staff's review of the petition. Meeting guidance is provided in MD 3.5. The petition manager will ensure that the meeting does not compromise the protection of sensitive information. A meeting will not be held simply because the petitioner claims to have additional information and will not present it in any other forum.

### 4. Additional PRB Meetings

Additional PRB meetings may be scheduled for complex issues. Additional meetings also may be appropriate if the petition manager finds that significant changes must be made to the original plan for the resolution of the petition.

## B. Schedule

### 1. Planning the Schedule

- (a) The first goal is to issue the acknowledgement or closure letter within 90 days of the OEDO's assigning the petition.
- (b) The second goal is to issue the proposed director's decision for comment within 120 days after issuing the acknowledgment letter. The proposed director's decision for uncomplicated petitions should be issued in less than 120 days.
- (c) The third goal is to issue the final director's decision within 45 days of the end of the comment period for the proposed director's decision. The actual schedule should be shorter if the number and complexity of the comments allow.
- (d) The OEDO tracks the target date for issuance of the proposed director's decision. Once the assigned office sets the target date for the end of the comment period, the OEDO tracks the target date for the final director's decision. Any change of the target date requires approval by the EDO.
  - (i) Enforcement actions that are prerequisites to a director's decision should be expedited, if feasible, in an attempt to meet the 120-day goal.
  - (ii) If the staff can respond to some portions of the petition without the results of the investigation, then a proposed partial director's decision should be issued for comment within the original 120 days.

### 2. Considering an Extension of the Schedule

- (a) If the proposed director's decision cannot be issued in 120 days for other reasons (e.g., very complex issues), the appropriate level of management in the assigned office determines the need for an extension of the schedule and requests the extension from the EDO. In addition, the petition manager will contact the petitioner promptly to explain the reason(s) for the delay and will maintain a record of the contact.

- (b) For petitions held in abeyance, the timeliness goals are not likely to be met and extension will likely be needed. Extensions should be requested as specified in Section III.B.2(a) of this handbook.
3. Scheduling Updates

After the comment period closes on a proposed director's decision, the assigned office will review the comments received and provide the schedule to issue the director's decision to the Agency 2.206 Petition Coordinator.

#### C. Keeping the Petitioner Informed

The petition manager ensures that the petitioner is notified at least every 60 days of the status of the petition, or more frequently if a significant action occurs. In cases where a petition is being held in abeyance, the petition manager ensures that the petitioner is notified at least every 120 days (or other timeframe agreed upon with the petitioner), and when the associated staff review is completed. The petition manager provides updates to the petitioner by telephone and/or e-mail. The petition manager should speak directly to the petitioner if reasonably possible. The petition manager must monitor the status of the petition so that reasonable detail can be provided. However, the update to the petitioner will not identify or discuss—

1. An ongoing OI or OIG investigation, unless approved by the Director of OI or the IG;
2. The referral of the matter to the Department of Justice (DOJ); or
3. Enforcement action under consideration.

#### D. Updating NRC Management and the Public

1. On a quarterly basis, the Division of Operating Reactor Licensing (DORL), NRR, will issue a status report of 2.206 petitions to the Director of NRR. Periodically, the Agency 2.206 Petition Coordinator will contact all petition managers regarding the status of their petitions and will compile the status report. The Agency 2.206 Petition Coordinator also ensures the status report is added to ADAMS and made publicly available. Once the status report is publicly available, the Agency 2.206 Petition Coordinator e-mails a copy to [NRRWebServices.Resources@NRC.gov](mailto:NRRWebServices.Resources@NRC.gov) for placement on the NRC public Web site.
2. The NRC Web site provides the director's decisions issued and other related information. Enforcement Petition (2.206) Documents are available at <http://www.nrc.gov/reading-rm/doc-collections/#nuregs>. Director's decisions are also published in NUREG-0750, "Nuclear Regulatory Commission Issuances," available at <http://www.nrc.gov/reading-rm/doc-collections/nuregs/staff/sr0750/>.

### V. THE DIRECTOR'S DECISION

A director's decision is the official agency response to a 2.206 petition that is accepted for review. The director's decision may grant, partially grant, or deny the action requested by the petitioner. In most cases, the staff prepares a proposed director's decision, which is distributed to the petitioner and licensee for comment. After receiving any comments, the

staff revises the director's decision as appropriate. The director's decision is then issued and published in the *Federal Register*.

#### A. Content and Format

1. The petition manager prepares a proposed director's decision on the petition and the associated *Federal Register* notice for the office director's consideration. These documents are coordinated with the appropriate staff supporting the review. The petition manager also prepares letters to the petitioner and the licensee requesting comment on the proposed director's decision (enclosed within the letters). These letters will be routed with the proposed director's decision for concurrence (see Exhibit 5, "Sample Letters Requesting Comments on the Proposed Director's Decision," and Exhibit 6, "Sample Director's Decision and Cover Letter," and the "*Federal Register* notice of director's decision" in the [FRN Template Library](#)).
2. If the staff issues a streamlined director's decision, the steps related to a proposed director's decision may be omitted (See Section III.H.2(e) of this handbook).
3. The proposed director's decision will clearly describe the issues raised by the petitioner, provide a discussion of the safety significance of the issues, and clearly explain the staff's disposition for each issue. The petition manager will bear in mind the broader audience (i.e., the public) when preparing the explanation of technical issues. Refer to the NRC Plain Language Action Plan, available on the internal Web site at <http://www.internal.nrc.gov/NRC/PLAIN/> for further guidance. In addition, the petition manager will ensure that any documents referenced in the decision are available to the public. If a partial director's decision was issued previously, the final director's decision will refer to, but does not have to repeat the content of, the partial director's decision. After management's review, the petition manager incorporates any proposed revisions in the decision.
4. The petition manager will obtain OE's review of the proposed director's decision for potential enforcement implications. The petition manager also will provide a copy of the proposed director's decision to his or her Office Enforcement Coordinator.
5. The petition manager will coordinate OGC legal review of director's decisions, as appropriate.

#### B. Granting the Petition

The NRC may grant a petition for enforcement-related action, either in whole or in part, and it also may take other action to address the concerns raised by the petitioner. Once the staff has determined that a petition will be granted, in whole or in part, the petition manager will prepare a "Director's Decision Under 10 CFR 2.206" for the office director's signature. The decision will explain the bases upon which the petition has been granted and identify the actions that NRC staff has taken or will take to grant all or that portion of the petition. The decision also should describe any actions the licensee took voluntarily that address aspects of the petition. A petition is characterized as being granted in part when the NRC grants only some of the actions requested and/or takes actions other than those requested to address the underlying problem. If the petition is granted in full, the director's decision will explain the bases for granting the petition and state that the NRC's action resulting from the director's decision is outlined in the NRC's order or other appropriate communication. If the petition is

granted in part, the director's decision will clearly indicate the portions of the petition that are being denied and the staff's bases for the denial.

### C. Denying the Petition

When the staff has determined that a petition will be denied, the petition manager will prepare a "Director's Decision Under 10 CFR 2.206" for the office director's signature. The decision will explain the bases for the denial and discuss all matters raised by the petitioner in support of the request.

### D. Final Versus Partial Director's Decision

1. If all of the issues in the petition can be resolved together in a reasonable amount of time, then the staff will issue one director's decision addressing all of the issues. The staff will consider preparing a partial director's decision when some of the issues associated with the 2.206 petition are resolved in advance of other issues and if significant schedule delays are anticipated before resolution of the entire petition.
2. The format, content, and method of processing a partial director's decision are the same as that of a proposed director's decision and an accompanying *Federal Register* notice would still be prepared (see Exhibit 6, "Sample Director's Decision and Cover Letter," in this handbook and the "*Federal Register* notice for director's decision" in the [FRN Template Library](#)). However, the partial director's decision should clearly indicate those portions of the petition that remain open, explain the reasons for the delay to the extent practical, and provide the staff's schedule for the final director's decision.
3. Once a partial director's decision has been issued, the petition manager will prepare an extension request to extend the due date to support the resolution of any remaining issues. The extension request to the OEDO should contain the ticket number, current due date, new due date, and justification. After completing its review of the remaining issues, the staff will issue a final director's decision addressing those issues. As noted in Section V.A.3 of this handbook, the final director's decision will refer to, but does not have to repeat the content of, the partial director's decision.

### E. Issuing the Proposed Director's Decision for Comment

1. After the assigned office director has concurred on (but not signed) the proposed director's decision, the petition manager will issue letters to the petitioner and the licensee enclosing the proposed director's decision and requesting comments on it. The letters, with the enclosure, will be made available to the public through ADAMS.
2. The intent of this step is to give the petitioner and the licensee an opportunity to share any concerns they may have with the decision. The letters will request comments within a set period of time, typically 2 weeks. The amount of time allowed for comments may be adjusted depending on circumstances. For example, for very complex technical issues it may be appropriate to allow more time for the petitioner and licensee to develop their comments. The letters, including the proposed director's decision, should be transmitted to the recipients electronically or by fax, if possible.

#### F. Comment Disposition

1. After the comment period closes on the proposed director's decision, the assigned office will review the comments received and provide the schedule to issue the director's decision to the Agency 2.206 Petition Coordinator. The petition manager will then evaluate any comments received on the proposed decision, obtaining the assistance of the technical staff, as appropriate. Although the staff requested comments from only the petitioner and the licensee, comments from other sources (e.g., other members of the public) may be received. These additional comments should be addressed in the same manner as the comments from the petitioner and licensee. A copy of the comments received and the associated staff responses will be included in the director's decision. An attachment to the decision will generally be used for this purpose.
2. If no comments are received on the proposed decision, the petition manager will include in the director's decision a reference to the letters that requested comments and a statement that no comments were received.
3. If the comments from the petitioner include new information, the PRB will reconvene to determine whether to treat the new information as part of the current petition or as a new petition.

#### G. Issuing the Director's Decision

1. A decision under 10 CFR 2.206 consists of a letter to the petitioner, the director's decision, and the *Federal Register* notice. The petition manager will obtain a director's decision number (i.e., DD-YY-XX) from the Office of the Secretary (SECY). A director's decision number is assigned to each director's decision in numerical sequence. This number is included on the letter to the petitioner, the director's decision, and the *Federal Register* notice. Note that the director's decision itself is not published in the *Federal Register*; only the notice of its availability, containing a summary of the substance of the decision, is published (see Exhibit 6 of this handbook and the "*Federal Register* notice for director's decision" in the [FRN Template Library](#)).
2. The petition manager will prepare a letter to transmit the director's decision to the petitioner and will also prepare the associated *Federal Register* notice. If the staff's response to the petition involves issuing an order, the petition manager will prepare a letter to transmit the order to the licensee. The petition manager will include a copy of the order in the letter to the petitioner. When the director's decision has been signed, the petition manager will promptly send a copy of the decision, electronically or by fax if possible, to the petitioner. Copies of the director's decision and *Federal Register* notice that are sent to the licensee and individuals on the service list(s) are dispatched simultaneously with the petitioner's copy. Before dispatching the director's decision (or partial decision), the petition manager will inform the petitioner of the imminent issuance of the decision and the substance of the decision. The petition manager will also ask the petitioner whether he or she wishes to continue receiving documents related to the petition.
3. The assigned office director will sign the cover letter, the director's decision, and the *Federal Register* notice. After the notice is signed, the staff forwards it to the Rules, Announcements, and Directives Branch (RADB), Division of Administrative Services

(DAS), Office of Administration (ADM), for transmittal to the Office of the Federal Register for publication. The staff shall NOT include a copy of the director's decision in the package that is sent to RADB. RADB will transmit only the *Federal Register* notice to be published. In addition, the petition manager should send an e-mail the same day to [hearingdocket@nrc.gov](mailto:hearingdocket@nrc.gov) to inform SECY that the director's decision has been signed.

## H. Administrative Issues

1. The administrative staff of the assigned office will review the 10 CFR 2.206 package before it is dispatched and determine appropriate distribution. On the same day, the administrative staff will hand-carry the documents listed below to the identified offices and provide the other listed documents to the petitioner.
  - (a) Rulemakings and Adjudications Staff, SECY

The following documents also should be e-mailed immediately to [hearingdocket@nrc.gov](mailto:hearingdocket@nrc.gov):

    - (i) One copy of the director's decision,
    - (ii) One courtesy copy of the entire decision package including the distribution and service lists, and
    - (iii) One copy of the incoming petition and any supplement(s).
  - (b) Petitioner

The following documents also should be promptly dispatched to the petitioner:

    - (i) Signed original letter,
    - (ii) Signed director's decision, and
    - (iii) A copy of the *Federal Register* notice.
  - (c) Chief, RADB, DAS, ADM
    - (i) Original signed *Federal Register* notice only (do not include the director's decision), and
    - (ii) The ADAMS Accession Number of the *Federal Register* notice.
2. The staff must fulfill these requirements promptly because the Commission has 25 calendar days from the date the decision is signed by the director, which is considered the issuance date, to determine whether or not the director's decision should be reviewed.
3. The staff will use the following guidelines when distributing copies internally and externally—
  - (a) When action on a 2.206 petition is completed, the petition manager will ensure that all publicly releasable documents are available to the public in ADAMS.
  - (b) The assigned office will determine the appropriate individuals and offices to include on the distribution list.

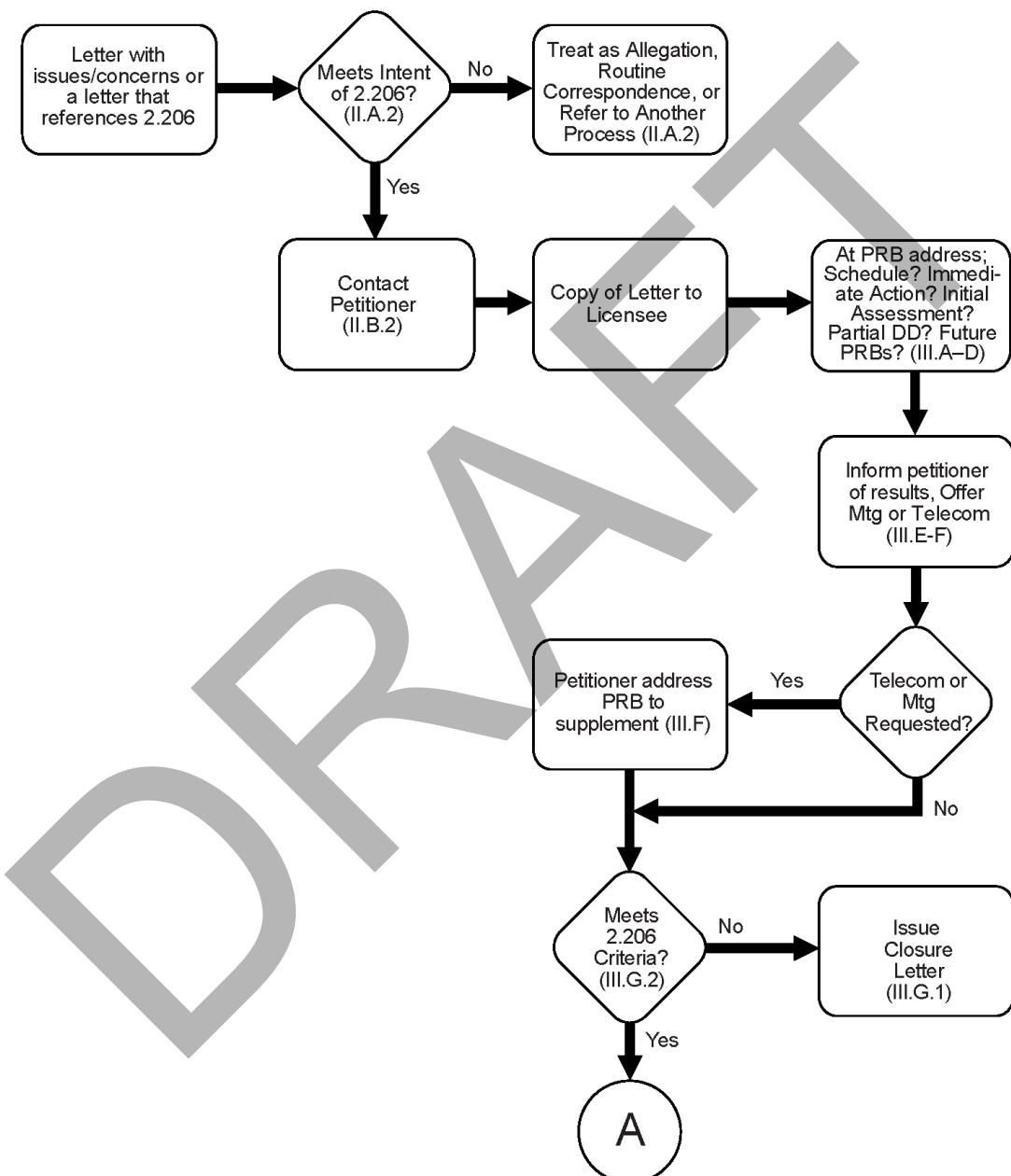
4. The administrative staff of the assigned office will complete the following actions within 2 working days of issuance of the director's decision:
  - (a) Provide a copy of the director's decision to the Assistant General Counsel for Materials Litigation and Enforcement.
  - (b) E-mail the final version of the director's decision to the NRC Issuances (NRCI) Project Officer, Publications Branch (PB), DAS, ADM, at [NRC\\_Issuances.Resource@nrc.gov](mailto:NRC_Issuances.Resource@nrc.gov) and copy the Agency 2.206 Petition Coordinator, for notification. If other information (opinions, partial information (including errata), or footnotes) is included in the e-mail, clearly identify the director's decision number at the beginning of each file to avoid administrative delays and improve the technical production schedule for proofreading, editing, and composing the documents.
  - (c) E-mail a signed, dated, and numbered copy of the director's decision to [NRRWebServices.Resource@nrc.gov](mailto:NRRWebServices.Resource@nrc.gov) for posting on the NRC Web site. The e-mail will include the ADAMS Accession Number of the director's decision.
5. The petition manager will prepare headnotes, which are a summary of the petition, consisting of no more than a few paragraphs describing what the petition requested and how the director's decision resolved or closed out the petition. The petition manager will e-mail the headnotes to the NRCI Project Officer, PB, DAS, ADM, at [NRC\\_Issuances.Resource@nrc.gov](mailto:NRC_Issuances.Resource@nrc.gov), for monthly publication in the NRCIs, NUREG-0750. The headnotes should reach PB before the 5th day of the month following the issuance of the director's decision. Past examples of director's decision headnotes may be found in most volumes of the NRCIs. See NRC Issuances ([NUREG-0750, "Nuclear Regulatory Commission Issuances,"](#) for examples).
6. Finally, 90 days after issuance of the director's decision, the petition manager will remove the petitioner's name from distribution and/or the service list(s) and stop sending documents associated with the petition to the petitioner.

## I. Commission Actions

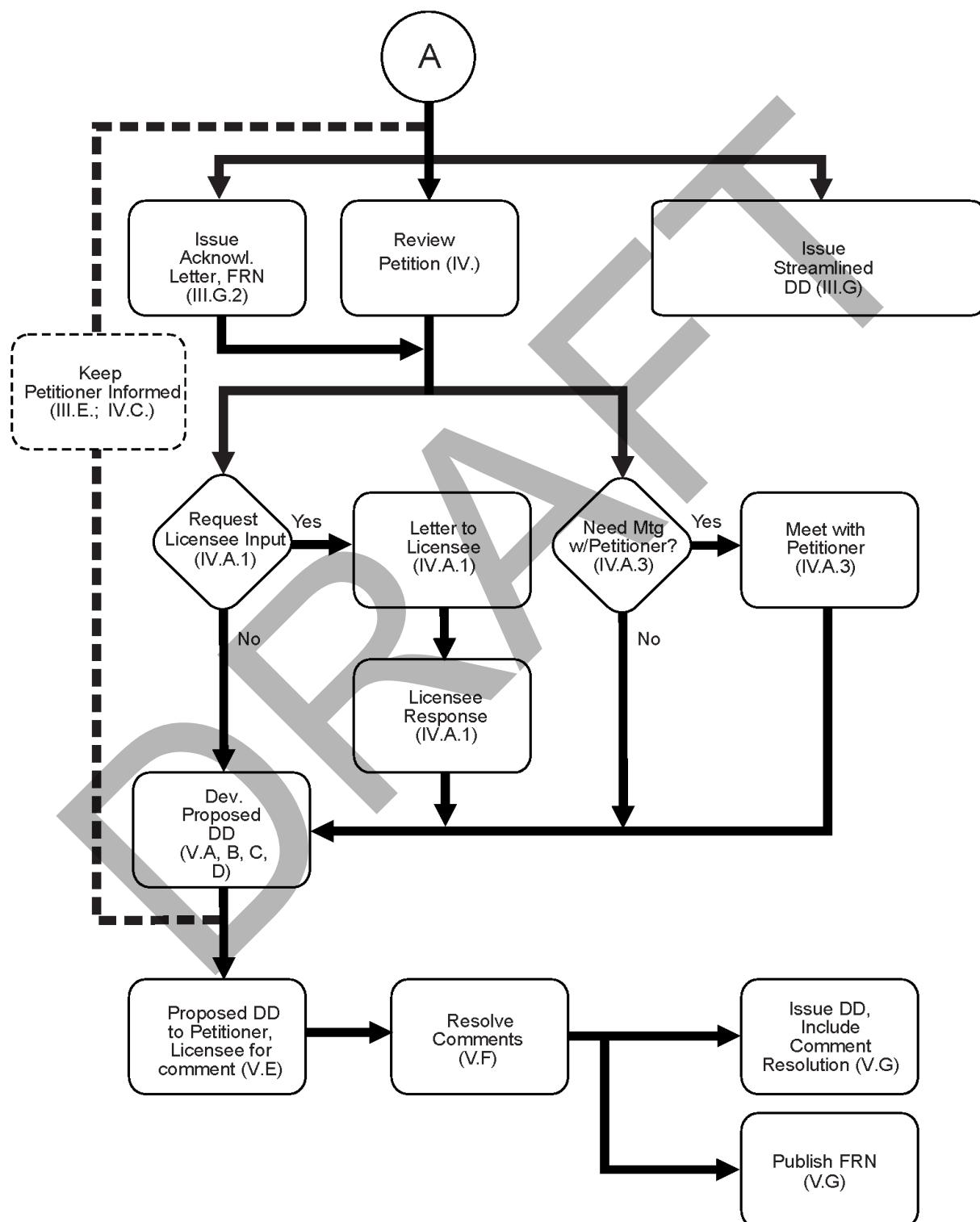
SECY will inform the Commission of the availability of any partial or final director's decision. The Commission, at its discretion, may decide to review the director's decision within 25 days of the date of the decision and may direct the staff to take action other than that in the director's decision. If the Commission does not act on the director's decision within 25 days (unless the Commission extends the review time), the director's decision becomes the final agency action, and SECY sends a letter to the petitioner informing the petitioner that the Commission has taken no further action on those portions of the petition addressed in the director's decision.

## EXHIBITS

### EXHIBIT 1 Simplified 2.206 Process Flow Chart



1. Parenthetical Information is associated Handbook paragraph number

**EXHIBIT 1 Simplified 2.206 Process Flow Chart (2 of 2)**

**EXHIBIT 2 Petition Manager Checklist****Within 1 week of the OEDO assigning the petition:**

- Screen the petition to determine if it falls within the scope of the 10 CFR 2.206 process.
- If the petition is screened out of the process, respond using general correspondence or as otherwise appropriate.
- Review the petition for sensitive material. If sensitive, prevent releasing the document to the public.
- Determine whether or not any immediate actions by staff (whether requested or not) are required.
- Contact the petitioner and discuss the public nature of the process.
- Send a copy of the incoming petition with redactions as appropriate to the licensee and declare it public.
- Prepare a PRB presentation. Include the following information:
  - What are the issues and their safety significance?
  - Does the request meet the criteria for acceptance under 2.206?
  - Is there a need for immediate action (whether requested or not)?
  - Is there a need for OE, OI, OIG, or OGC involvement?
  - What schedule is proposed?

**Within 3 weeks of the OEDO assigning the petition:**

- Address the PRB at its meeting to initially assess the petition.
- Ensure assigned office management is informed of the PRB's initial assessment.

**Within 30 days of the OEDO assigning the petition:**

- Inform the petitioner of the PRB's initial assessment. Offer the petitioner a meeting or teleconference with the PRB.
- If a meeting or teleconference with the petitioner is held, notice it (meeting only) and arrange for it to be recorded and transcribed. Prepare for the meeting with the petitioner and arrange the follow-up meeting for the PRB to develop its recommendations.
- Hold the meeting or teleconference with the petitioner.
- Ensure the transcript of the meeting or teleconference, if held, is added to ADAMS and made publicly available. This step can be done by referencing the accession number for the transcript in either an acknowledgement or closure letter.
- Hold the meeting for the PRB to develop its final recommendations.
- Ensure assigned office management agrees with the PRB final recommendations.

**EXHIBIT 2 Petition Manager Checklist (2 of 3)****Within 90 days of the OEDO assigning the petition:**

- If the assigned office's management agrees with the PRB that the petition should not be accepted for review, send a closure letter to the petitioner and, include the appropriate Office Allegation Coordinator on distribution to review the concerns for potential allegations, treat any open issues under the appropriate process (e.g., rulemaking).
- If the assigned office's management agrees with the PRB that the petition should be accepted for review, continue with this checklist.
- Add petitioner to appropriate service list(s) or inform petitioner of the process to obtain documents through the appropriate NRC listserve.
- Issue acknowledgment letter and associated *Federal Register* notice.
- In the case of a streamlined director's decision, issue the acknowledgement letter and final director's decision with the *Federal Register* notice at the same time. Continue with steps below relating to post-signature of the director.

**Within 120 days of issuance of the acknowledgement letter:**

- If requesting licensee input follow the established process for requests for information, demands for information and so forth.
- If further petitioner input is needed, arrange for a technical review meeting.
- Make periodic status updates to the petitioner.
- Prepare the proposed director's decision. Address all of the following information:
  - Each of the petitioner's issues.
  - The safety significance of each issue.
  - The staff's evaluation of each issue and actions taken.
- Ensure all referenced documents are added to ADAMS and made publicly available.
- Send the proposed director's decision to the petitioner and licensee for comment.

**EXHIBIT 2 Petition Manager Checklist (3 of 3)****Within 45 days from the end of the comment period:**

- After the comment period closes, give the schedule for the director's decision to the Agency 2.206 Petition Coordinator for inclusion of status purposes.
- Include comments received and their resolution in the director's decision.
- Prepare the *Federal Register* notice for the director's decision.
- As soon as the director's decision is signed:
  - Inform the petitioner of the substance of the decision and that issuance is imminent.
  - E-mail [hearingdocket@nrc.gov](mailto:hearingdocket@nrc.gov) the full package (including the incoming(s) and distribution and service lists) and hand-carry one copy to the Rulemakings and Adjudications Staff in SECY.
  - Hand-carry or mail the original signed *Federal Register* notice (ONLY) to the Rules and Directives Branch. Do NOT include the director's decision in this package.
  - Immediately dispatch the signed original letter and decision and a copy of the *Federal Register* notice to the petitioner.
- Within 2 working days of issuing the director's decision:
  - Provide a copy of the director's decision to the Assistant General Counsel for Materials Litigation and Enforcement.
  - E-mail the final director's decision to [NRC\\_Issuances.Resource@nrc.gov](mailto:NRC_Issuances.Resource@nrc.gov) and copy the Office 2.206 Petition Coordinator.
  - E-mail a signed, dated, and numbered copy of the director's decision to [NRRWebServices.Resource@nrc.gov](mailto:NRRWebServices.Resource@nrc.gov).
- Within 5 working days of the month following the director's decision issue, e-mail headnotes on the petition to the NRC Issuances Project Officer in Publications Branch, DAS, ADM at [NRC\\_Issuances.Resource@nrc.gov](mailto:NRC_Issuances.Resource@nrc.gov).

**EXHIBIT 3    Sample Closure Letter for Requests That Do Not Meet the 2.206 Acceptance Criteria**

[Petitioner's Name]  
[Petitioner's Address]

Dear Mr. [Petitioner's Name]:

Your petition dated [insert date] and addressed to the [insert addressee] has been referred to the Office of [insert] pursuant to 10 CFR 2.206 of the NRC's regulations. You request [state petitioner's requests]. As the basis for your request, you state that [insert basis for request].

[Our petition review board has reviewed your submittal]. The staff has concluded that your submittal does not meet the criteria for consideration under 10 CFR 2.206 because [explain our basis, addressing all aspects of the submittal and making reference to the appropriate criteria in this MD]. On (date), you were informed [by telephone or e-mail] of the PRB's initial assessment. [You met with our petition review board (PRB) on [insert date] to discuss the PRB's initial assessment. The results of that discussion have been considered in the PRB's final determination regarding your request for immediate action and whether or not the petition meets the criteria for consideration under 10 CFR 2.206]. **OR**

**[Provide the staff's response, if available, to the issues raised]. AND/OR [Explain what further actions, if any, the staff intends to take in response to the request (e.g., treat it as an allegation or routine correspondence)].**

Thank you for bringing these issues to the attention of the NRC.

Sincerely,

[Insert PRB Chairperson's Name]  
Office of [insert Office Name]

Docket Nos. [ ]  
**cc: [Licensee (w/copy of incoming 2.206 request) & Service List]**

**EXHIBIT 4 Sample Acknowledgment Letter (Accepting Petition for Review)**

[Petitioner's Name]  
[Petitioner's Address]

Dear Mr. [Petitioner's Name]:

Your petition dated [insert date] and addressed to the [insert addressee] has been referred to me pursuant to 10 CFR 2.206 of the NRC's regulations. You request [state petitioner's requests]. As the basis for your request, you state that [insert basis for request]. I would like to express my sincere appreciation for your effort in bringing these matters to the attention of the NRC.

[Our petition review board has reviewed your submittal]. The staff has concluded that your submittal meets the criteria for acceptance under 10 CFR 2.206 because [explain our basis, addressing all aspects of the submittal and making reference to the appropriate criteria in this MD]. On (date), you were informed [by telephone or e-mail] of the PRB's initial assessment. [You met with our Petition Review Board (PRB) on [insert date] to discuss your petition. The results of that discussion have been considered in the PRB's determination regarding [your request for immediate action and in establishing] the schedule for the review of your petition]. Your request to [insert request for immediate action] at [insert facility name] is [granted or denied] because [staff to provide explanation].

As provided by Section 2.206, we will take action on your request within a reasonable time. I have assigned [first and last name of petition manager] to be the petition manager for your petition. Mr. [last name of petition manager] can be reached at [301-415-extension of petition manager]. Your petition is being reviewed by [organizational units] within the Office of [name of appropriate Office]. [If necessary, add: I have referred to the NRC Office of the Inspector General (OIG) those allegations of NRC staff misconduct contained in your petition].

## EXHIBIT 4 Sample Acknowledgment Letter (Accepting Petition for Review) (2 of 2)

I have enclosed for your information a copy of the notice that is being filed with the Office of the Federal Register for publication.

Sincerely,

[Office Director]

Enclosures: *Federal Register* Notice

cc: [Licensee (w/copy of incoming 2.206 request) & Service List]

DRAFT

**EXHIBIT 5 Sample Letters Requesting Comments on the Proposed Director's Decision**

(Note: For clarity, separate letters will need to be sent to the petitioner and the licensee. This sample provides guidance for both letters.)

[Insert petitioner's address]

Dear [Insert petitioner's name]

Your petition dated [insert date] and addressed to the [insert addressee] has been reviewed by the NRC staff pursuant to 10 CFR 2.206 of the NRC's regulations. The staff's proposed director's decision on the petition is enclosed. I request that you provide comments to me on any portions of the decision that you believe involve errors or any issues in the petition that you believe have not been fully addressed. The staff is making a similar request of the licensee. The staff will then review any comments provided by you and the licensee and consider them in the final version of the director's decision with no further opportunity to comment.

Please provide your comments by [insert date, within 14 days of the date of this letter].

Sincerely,

[Signed by Division Director]

Docket Nos. [ ]

cc w/o encl: [Service List]

**EXHIBIT 5    Sample Letters Requesting Comments on the Proposed Director's Decision  
(2 of 2)**

[Insert licensee's address]

Dear [Insert licensee's name]

By letter dated [insert date], [insert name of petitioner] submitted a petition pursuant to 10 CFR 2.206 of the NRC's regulations with respect to [insert name(s) of affected facilities]. The petition has been reviewed by the NRC staff and the staff's proposed director's decision on the petition is enclosed. I request that you provide comments to me on any portions of the decision that you believe involve errors or any issues in the petition that you believe have not been fully addressed. The staff is making a similar request of the petitioner. The staff will then review any comments provided by you and the petitioner and consider them in the final version of the director's decision with no further opportunity to comment.

Please provide your comments by [insert date, within 14 days of the date of this letter].

Sincerely,

[Signed by Division Director]

Docket Nos. [ ]

cc w/encl: [Service List]

**EXHIBIT 6 Sample Director's Decision and Cover Letter**

[Insert petitioner's name & address]

Dear [insert petitioner's name]:

This letter responds to the petition you filed with [EDO or other addressee of petition] pursuant to Section 2.206 of Title 10 of the *Code of Federal Regulations* (10 CFR 2.206) on [date of petition] as supplemented on [dates of any supplements]. In your petition you requested that the NRC [list requested actions].

On [date of acknowledgment letter] the NRC staff acknowledged receiving your petition and stated pursuant to 10 CFR 2.206 that your petition was being referred to me for action and that it would be acted upon within a reasonable time. You were also told that [staff response to any request for immediate action].

[You met with the petition review board on [date(s) of the pre- and/or post-PRB meeting(s)] to clarify the bases for your petition. The transcript(s) of this/these meeting(s) was/were treated as (a) supplement(s) to the petition and are available in ADAMS for inspection at the Commission's Public Document Room, located at One White Flint North, 11555 Rockville Pike (first floor), Rockville, Maryland, and from the ADAMS Public Library component on the NRC Web site, <http://www.nrc.gov> (the NRC Library)].

[By letter dated [insert date], the NRC staff requested [name of licensee] to provide information related to the petition. [Name of licensee] responded on [insert date] and the information provided was considered by the staff in its evaluation of the petition].

In your petition you stated that [summarize the issues raised]. [Briefly summarize the safety significance of the issues and the staff's response].

[The NRC issued a Partial Director's Decision (DD-YY-XX) dated [insert] which [explain what aspects of the petition were addressed]. [Explain which issues remained to be addressed in this director's decision and briefly explain the reason for the delay on these issues]].

The staff sent a copy of the proposed director's decision to you and to [licensee(s)] for comment on [date]. [You responded with comments on [date] and the licensee responded on [date]. The comments and the staff's response to them are included in the director's decision]. OR the staff did not receive any comments on the proposed director's decision].

**EXHIBIT 6 Sample Director's Decision and Cover Letter (2 of 4)**

**[Summarize the issues addressed in this director's decision and the staff's response]**

A copy of the Director's Decision (DD-YY-XX) will be filed with the Secretary of the Commission for the Commission to review in accordance with 10 CFR 2.206(c). As provided for by this regulation, the decision will constitute the final action of the Commission 25 days after the date of the decision unless the Commission, on its own motion, institutes a review of the decision within that time. [The documents cited in the enclosed decision are available in ADAMS for

inspection at the Commission's Public Document Room, located at One White Flint North, 11555 Rockville Pike (first floor), Rockville, Maryland, and from the ADAMS Public Library component on the NRC's Web site, <http://www.nrc.gov> (the NRC Library) (cite any exceptions involving proprietary or other protected information)].

I have also enclosed a copy of the notice of "Issuance of the Director's Decision Under 10 CFR 2.206" that has been filed with the Office of the Federal Register for publication.

**[If appropriate, acknowledge the efforts of the petitioner in bringing the issues to the attention of the NRC].** Please feel free to contact [petition manager name and number] to discuss any questions related to this petition.

Sincerely,

**[Insert Office Director's Name]**

Docket Nos. [ ]

Enclosures: Director's Decision YY-XX  
*Federal Register Notice*

**EXHIBIT 6 Sample Director's Decision and Cover Letter (3 of 4)**

DD-YY-XX

**UNITED STATES OF AMERICA  
NUCLEAR REGULATORY COMMISSION  
OFFICE OF [INSERT]  
[Office Director Name], Director**

In the Matter of ) Docket No(s). [Insert]  
                  )  
                  )  
                  )  
[LICENSEE NAME] ) License No(s). [Insert]  
                  )  
                  )  
([Plant or facility name(s)]) ) (10 CFR 2.206)

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**DIRECTOR'S DECISION UNDER 10 CFR 2.206**

I. Introduction

By letter dated [insert date], as supplemented on [dates of supplements], [petitioner names and, if petition is submitted on behalf of an organization, name of the represented organizations] filed a Petition pursuant to Title 10 of the *Code of Federal Regulations*, Section 2.206. The petitioner(s) requested that the U.S. Nuclear Regulatory Commission (NRC) take the following actions: [list requests]. The bases for the requests were [describe].

In a letter dated [insert], the NRC informed the Petitioners that their request for [list immediate actions requested] was approved/denied and that the issues in the Petition were being referred to the Office of [insert] for appropriate action.

[The Petitioner(s) met with the (assigned office abbreviation) petition review board on [date(s) of post-PRB meeting(s)] to clarify the bases for the Petition. The transcript(s) of this/these meeting(s) was/were treated as (a) supplement(s) to the petition and are available in ADAMS for inspection at the NRC's Public Document Room, located at One White Flint North, 11555 Rockville Pike (first floor), Rockville, Maryland, and from the ADAMS Public Library component on the NRC Web site, <http://www.nrc.gov> (the NRC Library)].

**EXHIBIT 6 Sample Director's Decision and Cover Letter (4 of 4)**

[By letter dated [insert date], the NRC staff requested [name of licensee] to provide information related to the petition. [Name of licensee] responded on [insert date] and the information provided was considered by the staff in its evaluation of the petition].

[The NRC issued a Partial Director's Decision (DD-YY-XX) dated [insert] which [explain what aspects of the petition were addressed]. [Explain which issues remained to be addressed in this director's decision and briefly explain the reason for the delay on these issues]].

The NRC sent a copy of the proposed director's decision to the Petitioner and to [licensee(s)] for comment on [date]. [The Petitioner responded with comments on [date] and the licensee(s) responded on [date]. The comments and the NRC staff's response to them are included in the director's decision]. OR [The staff did not receive any comments on the proposed director's decision].

## II. Discussion

**[Discuss the issues raised, the significance of the issues (or lack thereof), and the staff's response with supporting bases. Acknowledge any validated issues, even if the staff or the licensee decided to take corrective actions other than those requested by the petitioner. Clearly explain all actions taken by the staff or the licensee to address the issues, even if these actions were under way or completed before the petition was received. This discussion must clearly present the staff response to all of the valid issues so that it is clear that they have been addressed].**

## III. Conclusion

**[Summarize the staff's conclusions with respect to the issues raised and how they have been, or will be, addressed].**

As provided in 10 CFR 2.206(c), a copy of this Director's Decision will be filed with the Secretary of the Commission for the Commission to review. As provided for by this regulation, the decision will constitute the final action of the Commission 25 days after the date of the decision unless the Commission, on its own motion, institutes a review of the decision within that time.

Dated at Rockville, Maryland, this [insert date] day of [insert month, year].

[Office director's name], Director  
Office of [insert]