

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

<b>MD 3.7</b>	<b>NUREG-SERIES PUBLICATIONS</b>	<b>DT-17-106</b>
<i>Volume 3,</i>	Information Management	
<i>Part 1:</i>	Publications, Mail, and Information Disclosure	
<i>Approved By:</i>	Mark A. Satorius Executive Director for Operations	
<i>Date Approved:</i>	March 24, 2014	
<i>Cert. Date:</i>	N/A, for the latest version of any NRC directive or handbook, see the <a href="#">online MD Catalog</a> .	
<i>Issuing Office:</i>	Office of Administration Division of Administrative Services	
<i>Contact Name:</i>	Kimberly Ferrell 301-415-6335	
<b>EXECUTIVE SUMMARY</b>		
Directive and Handbook 3.7 are revised in their entirety as follows:		
<ul style="list-style-type: none"><li>• Consolidate the content of existing Management Directive (MD) 3.7, “NUREG-Series Publications,” and those portions of MD 3.11, “Conferences and Conference Proceedings,” that deal with the publication of conference proceedings.</li><li>• Document the designating system for NUREG-series publications.</li><li>• Identify Office of Administration personnel and services available in support of the publishing process.</li><li>• Define interoffice responsibilities for coordinating NUREG creation so that the need for any such publication, any interoffice responsibilities, the possibility of duplication of effort between offices, and the need for interoffice concurrence may be assessed.</li><li>• Clearly identify and update the responsibilities of U.S. Nuclear Regulatory Commission managers, staff, and staff project officers and clarify their responsibilities concerning any legal instrument that requires, as a deliverable, a manuscript to be published in the NUREG series with regard to the NRC’s acquisition regulations and technical editing.</li></ul>		
MD 3.7 now includes that portion of MD 3.11 that deals with publishing conference proceedings. Consult MD 3.11 for further information on conference contracts, obtaining security, and other matters.		

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### I. POLICY

U.S. Nuclear Regulatory Commission policy requires that all manuscripts published in the NRC's formal publication series, the NUREG (NRC technical report designation) series, fulfill the following requirements:

- undergo review by program technical experts and managers;
- be authorized for publication by appropriate officials;
- bear appropriate designators; and
- comply with agency publishing policy and procedures as specified in this directive and handbook.

### II. OBJECTIVES

This management directive (MD) provides direction and guidance regarding the production and publication of NUREG-series documents as follows:

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- Ensure the “dissemination to the public of scientific and technical information relating to atomic energy...to provide...free interchange of ideas and criticism...essential to scientific and industrial progress and public understanding and to enlarge the fund of technical information” as mandated by Section 141 of the Atomic Energy Act of 1954, as amended.
  - Ensure that no classified or sensitive unclassified information is published in the series (see Section VIII, “Glossary,” of the directive handbook).
  - Ensure that NUREG-series publications contain only guidance; that is, they neither contain nor imply legally binding regulatory requirements, which are stated only in laws, NRC regulations, licenses (including technical specifications), or orders.
  - Require that all NUREG-series publications prepared by the staff or by contractors be consistent with the NRC’s plain language and editorial guidelines as specified in the directive handbook and in the “NRC Editorial Style Guide” (NUREG-1379), as part of the NRC’s commitment to attaining information quality.
  - Ensure compliance of the NUREG-series publications program with all documents listed in Section VI, “References,” of this directive.
  - Ensure that copyright and patent rights are not compromised.
  - Ensure that rights in interagency and international agreements and memoranda of understanding that involve a manuscript to be published in the NUREG series are observed.
  - Ensure that an agency publication designator system is established and appropriately administered to allow easy identification and retrieval of NUREG-series publications by librarians, the staff, and the public.
  - Ensure that designated managers oversee authors’ manuscripts for technical accuracy and for consistency with both agency and program policy and goals before authorizing publication of a manuscript.
  - Further the agency’s openness goal of ensuring that each publication is entered in the NRC’s Agencywide Documents Access and Management System (ADAMS) and declared an official agency record and is posted to either the external or the internal Web site.
  - Help achieve the agency goal of ensuring openness and to make each publication public, except for those publications intended only for staff use, through ADAMS, the U.S. Government Printing Office, and the National Technical Information Service as required by Federal law, interagency agreements, or NRC policy.

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- Ensure that a manuscript requesting information from stakeholders outside the NRC bears an Office of Management and Budget approval number.
  - Provide uniform publishing standards and procedures for publications in the NUREG series.
  - Ensure that offices originating NUREGs assess the need for such a publication in conjunction with other offices that may have an interest or a program responsibility for any related activity; avoid duplication of any existing publications; coordinate review among offices for technical accuracy; and properly plan for, schedule, and obtain concurrences from other offices as needed.
  - Centrally manage publication of all manuscripts in the NUREG series.
  - Ensure that proceedings of NRC-sponsored or -cosponsored conferences are compiled and made publicly available.

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

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

1. Consults with the Office of the General Counsel (OGC), as appropriate, and resolves, for publications prepared by the staff, differences about content issues or other issues that may arise between an office director or regional administrator and an author who prepares a manuscript for publication in the NUREG series.
2. With advice from the OGC, as appropriate, delegates to the office directors and regional administrators the authority to resolve, for publications prepared by the staff, differences about content issues or other issues that may arise between an office director under his or her purview and an author who prepares a manuscript for publication in the NUREG series.

#### **B. Chief Financial Officer (CFO)**

Ensures that the Office of the Chief Financial Officer (OCFO) staff complies with this MD when preparing a manuscript for publication in the NUREG series.

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

Advises the EDO and the office directors and regional administrators, if requested, and the Acquisition Management Division (AMD), Office of Administration (ADM), in accordance with the requirements in an NRC contract, grant, cooperative agreement, or memorandum of understanding, about any differences between the NRC and the holder of the governing legal instrument that requires, as a deliverable, a manuscript for publication in the NUREG series. Advice may include copyright, proprietary information, patent, content or any other concerns that may arise:

**D. Director of Office of Public Affairs (OPA)**

Writes or reviews each manuscript directed toward public outreach to ensure that the content conforms to the following standards:

1. The content is appropriate for public outreach.
2. The document is consistent with and not redundant to other agency outreach publications available to the public.
3. The text maintains a balanced perspective of responsibilities among agency offices and the regions and an appropriate regulatory tone.
4. The document is written in plain language.

**E. Director of Office of Administration (ADM)**

Ensures that any request for a procurement action presented to AMD, ADM that involves a contract, grant, cooperative agreement, or memorandum of understanding that requires, as a deliverable, a manuscript for publication in the NUREG series includes in the statement of work the appropriate terms and conditions governing publications.

**F. Office of Small Business and Civil Rights (SBCR)**

Provides advice on document projects intended for an audience consisting of individuals with limited English proficiency.

**G. Office Directors and Regional Administrators**

1. As delegated by the EDO and with advice from OGC as appropriate, resolve, for publications prepared by the staff, differences about content issues or other issues that may arise between personnel under his or her purview and an author who prepares a manuscript for publication in the NUREG series.
2. Delegate to office or regional managers under their purview the responsibility to authorize publication of manuscripts originated by their organization, except those directed toward public outreach, which are authorized by OPA.
3. Ensure that the agency office originating NUREGs plans the development of the NUREG-series document in accordance with the direction provided in the directive handbook.
4. Ensure that any request for a procurement action presented to ADM involving a contract, grant, or memorandum of understanding that requires, as a deliverable, a manuscript for publication in the NUREG series contains the appropriate terms and conditions governing publications.

5. Ensure that offices originating NUREGs assess the need for such a publication along with other offices that may have an interest or a program responsibility for any related activity, to avoid duplication of any existing publications, to coordinate review among offices for technical accuracy, and to properly plan, schedule, and obtain concurrences from other offices, as needed.
6. Inform the Chief of the Publications Branch (PB), Division of Administrative Services (DAS), ADM, in writing, of the levels of the officials in their organization delegated this authority.

**H. Director of Division of Administrative Services (DAS), Office of Administration (ADM)**

Provides editing and printing of NUREGs, as requested. As overseer of the NUREG-series publications program, delegates the responsibility for managing the publishing program to the Chief, PB, DAS, ADM.

**I. Director of Acquisition Management Division (AMD), Office of Administration (ADM)**

Awards and administers contracts, grants, and cooperative agreements resulting in manuscripts intended for publication in the NUREG series and obligating funds for conferences and providing for publication of conference proceedings. AMD will review a memorandum of understanding in the event there will be an impact on an interagency agreement, contract, grant, or cooperative agreement.

#### **IV. APPLICABILITY**

All NRC employees must follow the provisions of this directive and handbook. All NRC contractors should follow the provisions of this directive and handbook when the contract so requires.

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

Directive Handbook 3.7 identifies responsibilities and defines guidelines and procedures governing the NUREG document production life cycle, including document creation, document editing and formatting, acquisition of document concurrences, and document printing and distribution.

#### **VI. REFERENCES**

***Executive Orders***

Executive Order 12958, "Classified National Security Information," April 17, 1995, as amended.

Executive Order 13166, "Improving Access to Services for Persons with Limited English Proficiency," August 11, 2000.

### ***Federal Guidelines***

Federal Plain Language Guidelines, available at <http://www.plainlanguage.gov/>.

Joint Committee on Printing Rules, available at <http://www.house.gov/jcp/home.html>.

U.S. Nuclear Regulatory Commission, "Conversion to the Metric System," *Federal Register*, Vol. 57, No. 46202, October 7, 1992.

### ***Industry Codes and Standards***

American National Standards Institute/National Information Standards Organization, ANSI/NISO Z39.23-1997, "Standard Technical Report Number Format and Creation," American Nuclear Society, LaGrange Park, IL.

### ***Nuclear Regulatory Commission Documents***

COMSECY-02-0015, "Withholding Sensitive Homeland Security Information from the Public," April 4, 2002 (ADAMS Accession No. ML050620101), available at [http://www.nrc.gov/reading\\_rm/doc-collections/commission/comm-secy/2002/](http://www.nrc.gov/reading_rm/doc-collections/commission/comm-secy/2002/).

Management Directive<sup>1</sup>—

- 3.4, "Release of Information to the Public."
- 3.9, "NRC Staff and Contractor Speeches, Presentations, Papers, and Journal Articles on Regulatory and Technical Subjects."
- 3.11, "Conferences and Conference Proceedings."
- 3.13, "Reproduction and Distribution."
- 3.14, "U.S. Nuclear Regulatory Commission Public Web Site."
- 3.15, "Multimedia Services."
- 3.17, "NRC Information Quality Program."
- 3.53, "NRC Records and Document Management Program."
- 3.54, "NRC Collections of Information and Reports Management."
- 11.6, "Financial Assistance Program."

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<sup>1</sup> Send an e-mail message to "DISTRIBUTION" to request the latest version of an NRC management directive or a NUREG-series publication or access the document in ADAMS, using the number given after the title.

11.8, "NRC Procedures for Placement and Monitoring of Work With Federal Agencies Other Than U.S. Department of Energy (DOE) Laboratory Work."

12.0, "Glossary."

12.2, "NRC Classified Information Security Program."

12.4, "NRC Telecommunications Systems Security Program."

12.6, "NRC Sensitive Unclassified Information Security Program."

12.7, "NRC Safeguards Information Security Program."

Memorandum of Agreement Between the Institute of Nuclear Power Operations and the U.S. Nuclear Regulatory Commission, December 6, 2010.

NUREG-Series Publications—

NUREG-0650, Revision 2, "Publishing Documents in the NUREG Series," January 1999 (ADAMS Accession No. ML041050294).

NUREG-1379, Revision 2, "NRC Editorial Style Guide" May 2009 (ADAMS Accession No. ML041050307).

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).

Web Sites—

NRC Forms Library in SharePoint:

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

NRC Glossary:

<http://www.nrc.gov/reading-rm/basic-ref/glossary.html>.

NRC Photo Gallery:

<http://www.nrc.gov/reading-rm/photo-gallery/>.

NRC's Plain Language Action Plan:

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

NRC Technical Editing Guidelines:

<http://www.internal.nrc.gov/ADM/techedit/techedit.html>.

Public Meetings & Involvement:

<http://www.nrc.gov/public-involve.html>.

SUNSI Handling Requirements:

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



***Securities and Exchange Commission***

“A Plain English Handbook: How to Create Clear SEC Disclosure Documents,” available in the Reference Library at the Security and Exchange Commission’s Web site, at: <http://www.sec.gov/news/extra/handbook.htm>.

***United States Code***

Atomic Energy Act of 1954, as amended (42 U.S.C. Sec. 141).

Copyright Law of the United States of America (U.S.C. Title 17).

Government Printing and Binding Regulations, No. 26, Joint Committee on Printing, Congress of the United States, February 1990.

Paperwork Reduction Act (44 U.S.C. Sec. 3501 et seq.).

Production and Procurement of Printing and Binding (44 U.S.C. Sec. 103, 501, and 502).

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

<b>DH 3.7</b>	<b>NUREG-SERIES PUBLICATIONS</b>	<b>DT-17-106</b>
<i>Volume 3,</i> <i>Part 1:</i>	Information Management Publications, Mail, and Information Disclosure	
<i>Approved By:</i>  <i>Date Approved:</i>  <i>Cert. Date:</i>	Mark A. Satorius Executive Director for Operations March 24, 2014 N/A, for the latest version of any NRC directive or handbook, see the <a href="#">online MD Catalog</a> .	
<i>Issuing Office:</i>	Office of Administration Division of Administrative Services	
<i>Contact Name:</i>	Kimberly Ferrell 301-415-6335	
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<p>Directive and Handbook 3.7 are revised in their entirety as follows:</p> <ul style="list-style-type: none"><li>• Consolidate the content of existing Management Directive (MD) 3.7, “NUREG-Series Publications,” and those portions of MD 3.11, “Conferences and Conference Proceedings,” that deal with the publication of conference proceedings.</li><li>• Document the designating system for NUREG-series publications.</li><li>• Identify Office of Administration personnel and services available in support of the publishing process.</li><li>• Define interoffice responsibilities for coordinating NUREG creation so that the need for any such publication, any interoffice responsibilities, the possibility of duplication of effort between offices, and the need for interoffice concurrence may be assessed.</li><li>• Clearly identify and update the responsibilities of U.S. Nuclear Regulatory Commission managers, staff, and staff project officers and clarify their responsibilities concerning any legal instrument that requires, as a deliverable, a manuscript to be published in the NUREG series with regard to the NRC’s acquisition regulations and technical editing.</li></ul> <p>MD 3.7 now includes that portion of MD 3.11 that deals with publishing conference proceedings. Consult MD 3.11 for further information on conference contracts, obtaining security, and other matters.</p>		

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## I. GENERAL

- A. This handbook defines roles and responsibilities and specifies procedures for preparing manuscripts to be published in the NUREG (U.S. Nuclear Regulatory Commission technical report designation) series.
- B. Section II presents procedural roles and responsibilities for NRC staff other than those specified in Management Directive (MD) 3.7.
- C. Section III presents general procedures common to manuscripts prepared either by NRC staff or by NRC contractors, grantees, or other holders of an NRC contract, grant, or memorandum of understanding that require as a deliverable a manuscript for publication in the NUREG series.
- D. Section IV presents procedures applicable only to manuscripts prepared by the staff.
- E. Section V presents procedures applicable only to manuscripts prepared by holders of a legal instrument requiring a manuscript.
- F. Section VI presents procedures applicable to publishing conference proceedings as a NUREG.

- G. Although financial assistance instruments (grants and cooperative agreements) do not usually anticipate the development of manuscripts for publication in the NUREG series, they may include such development.
- H. See also MD 11.6, "Financial Assistance Program," for additional information affecting grantees and cooperative agreement recipients.
- I. See also MD 3.11, "Conferences and Conference Proceedings," for additional information regarding conference proceedings.

## **II. PROCEDURAL ROLES AND RESPONSIBILITIES FOR NRC STAFF**

### **A. Office Directors and Regional Administrators**

1. Ensure that all NUREGs prepared by the staff undergo technical editing unless otherwise directed by the Office of the Executive Director for Operations (OEDO). NUREGs may include the following:
  - (a) overviews of information directed toward public outreach (e.g., "Regulating Nuclear Fuel," "Public Involvement in the Nuclear Regulatory Process," and "Nuclear Research Programs To Ensure Public Health and Safety");
  - (b) standard review plans;
  - (c) safety evaluation reports;
  - (d) environmental impact statements;
  - (e) regulatory analyses; and
  - (f) legislative and congressional reports (e.g., "Abnormal Occurrence Report").
2. Ensure that project officers who are responsible for a contract, grant, or memorandum of understanding that requires as a deliverable a manuscript to be published in the NUREG series work with the Acquisition Management Division (AMD), Office of Administration (ADM), include in the statement of work the appropriate terms and conditions governing publications.
3. Evaluate the proposed NUREG and its production according to the following criteria:
  - (a) Assess the need for such a publication in conjunction with other offices that may have an interest or a program responsibility for any related activity.
  - (b) Avoid duplication of any existing publications, so far as can be determined.
  - (c) Coordinate review among offices for technical accuracy, and obtain concurrences from other offices as required, negotiating realistic estimates of the

time required for obtaining concurrences and providing sufficient advance planning with all concurring parties.

- (d) Ensure that the NUREG is consistent with and not redundant to other agency outreach publications available to the public.
- (e) Ensure that the NUREG presents a balanced perspective of responsibilities among agency offices and the regions and an appropriate regulatory tone.
- (f) Ensure that the NUREG is written in plain language and adheres to NRC editorial guidelines.
- (g) Determine the need, if any, for the Publications Branch (PB), Division of Administrative Services (DAS), ADM services required during the production of this document, and communicate these needs to DAS before the service is needed, negotiating in advance deadlines for deliverables.

#### **B. Director of Acquisition Management Division, Office of Administration (ADM)**

Ensures that any request for a procurement action presented to AMD that involves a contract, grant, or memorandum of understanding that requires, as a deliverable, a manuscript for publication in the NUREG series includes the following in the statement of work:

1. The appropriate terms and conditions governing publications, including the technical editing of each manuscript submitted to the NRC for publication; and
2. A requirement to comply with MD 3.7 and the following documents to be found in the Agencywide Documents Access and Management System (ADAMS), or any other agency electronic document management system, or furnished by the NRC project officer overseeing the governing legal instrument:
  - (a) MD 3.13, "Reproduction and Distribution";
  - (b) NUREG-1379, Revision 2, "NRC Editorial Style Guide," issued May 2009; and
  - (c) NUREG-0650, Revision 2, "Preparing NUREG-Series Publications."

#### **C. Director of Division of Administrative Services (DAS), Office of Administration (ADM)**

Manages the NUREG-series publications program and performs the following tasks or delegates them to staff:

1. Centrally manages publication of all manuscripts in the NUREG series, consulting with OEDO, regional administrators, office directors, and division directors.

2. Produces all publications consistent with the agency's mission and the Government Printing and Binding Regulations, No. 26, February 1990 (44 U.S.C. Sections 103, 501, and 502), issued by the Joint Committee on Printing of the Congress of the United States (see also MD 3.13).
3. Establishes and appropriately administers an agency publication designator system, placing on each manuscript a registered agency designator in the NUREG series when preparing the cover, title page, and spine.
4. Responds to questions about the publication process from office and regional staff responsible for writing a manuscript or for overseeing a manuscript prepared by a contractor, a grantee or other nonprofit organization or another agency, a U.S. Department of Energy (DOE) national laboratory, or a foreign country.
5. Ensures that DAS staff identifies any document requesting information from a stakeholder outside the NRC and that such a document bears an appropriate Office of Management and Budget (OMB) control number (note that the Office of Information Services (OIS) is responsible for ensuring the document contains the correct OMB control number. See MD 3.54, "NRC Collections of Information and Reports Management," for details of this process).
6. Provides technical editing services that begin with an intake interview with the author to jointly determine the extent of the technical edit and is followed by collaboration with the author to ensure the quality, clarity, and consistency of the manuscript by applying all of the following techniques (for further information on these requirements, see NUREG-1379):
  - (a) organizing the message into a coherent and logical flow of ideas;
  - (b) correcting syntax, grammar, spelling, and punctuation;
  - (c) ensuring consistent use of terms, acronyms, abbreviations, and symbols;
  - (d) simplifying overly complex sentences (sentences that contain too many ideas);
  - (e) correcting disagreement of the subject and verb and faulty parallelisms;
  - (f) eliminating ambiguities, redundancy, wordiness, and overuse of the passive voice;
  - (g) verifying the consistency of equations;
  - (h) verifying the consistency and clarity of tables and figures and redesigning them (as required) to improve their visual effectiveness;
  - (i) verifying the accuracy of references and cross-references and the consistency of text, figure, and table headings with the table of contents; and



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- (j) rewriting, as necessary, to ensure that the document complies with the NRC's Plain Language and Editorial Guidelines specified in Section III.G of this handbook.
7. Performs a quality assurance review of the final copy of a document to ensure or verify that the office or regional publishing authorizing official has provided for the following requirements:
- (a) It contains no classified or sensitive unclassified information and is consistent with Commission Staff Requirements Memorandum COMSECY-02-0015, "Withholding Sensitive Homeland Security Information from the Public," dated April 4, 2002.
  - (b) It contains no information that would violate copyright or patent rights.
  - (c) It complies with the publishing guidance in the latest revision of NUREG-0650.
  - (d) It lists only references available to the public.
  - (e) The requested distribution for the publication includes the following:
    - (i) internal agencywide electronic distribution through the NRC announcement system;
    - (ii) printed distribution within the agency as requested (NUREG project officer must provide the NRC printing officer with completed mailing labels for required internal distribution);
    - (iii) up to 50 printed copies for a contractor, a grantee, or other nonprofit organization that prepared the manuscript;
    - (iv) printed copies as requested by the Government Printing Office (GPO); and
    - (v) printed copies for the DOE, a foreign state or organization with which the NRC has an interagency or international agreement or a memorandum of understanding, or other recipients as specified by the NUREG project officer (NUREG project officer must provide the NRC print officer with completed mailing labels for the distribution list).
  - (f) NRC Form 426, "Authorization To Publish a Manuscript in the NUREG Series," (available in the NRC Forms Library on SharePoint at <http://portal.nrc.gov/nrcformsportal/default.aspx>) is complete and bears the signatures of the following:
    - (i) a reviewer from the Customer Service Division (CSD), OIS to ensure that any manuscript requesting information from a stakeholder outside the NRC has received review and approval by OMB, if applicable (Block 5.2);

- (ii) the Office of the General Counsel's (OGC) Division of Legal Counsel, Legislation and Special Projects for legal review (note that the NRC does not maintain designated patent counsel), if applicable (Block 5.3);
  - (iii) a contractor, a grantee, or other nonprofit organization, if applicable (Block 5.4);
  - (iv) the project officer (Block 5.1);
  - (v) a member of the Office of Public Affairs (OPA) if the manuscript is directed toward public outreach (Block 5.5); and
  - (vi) the appropriate official authorizing publication (Block 5.6).
- (g) NRC Form 335, "Bibliographic Data Sheet," is complete and complies with the instructions for its completion (available on the NRC Forms Library in SharePoint).
- (h) A manuscript for a book receives peer review (defined in the Glossary) before its publication.
8. Submits each publication to the ADAMS Document Processing Center (DPC) for entry as an official agency record in ADAMS.
  9. Ensures that each publication, except those publications intended only for staff use, is made public through ADAMS, GPO, and the National Technical Information Service (NTIS), as required by Federal law, interagency agreements, memoranda of understanding, international agreements, or NRC policy.
  10. Ensures that manuscripts contain only guidance; that is, they neither contain nor imply legally binding regulatory requirements, which are stated only in laws, NRC regulations, licenses (including technical specifications), or orders.

#### **D. Office or Regional Publishing Authorizing Officials**

Conducts the following activities before authorizing a manuscript to be published:

1. Assesses the need for a proposed publication in conjunction with other offices and regions that may have an interest or a program responsibility for any activity or topic discussed in the draft manuscript to avoid duplication of existing material.
2. Coordinates review among offices for technical accuracy, and obtains concurrences from other offices, as needed, negotiating realistic estimates of the time required for obtaining concurrences and providing sufficient advance planning with all concurring parties.
3. Ensures that any manuscript containing content specified in Section II.A of this handbook receives technical editing as described and complies with NUREG-1379, Revision 2 (see also Section III.G of this handbook).

4. Ensures that the manuscript contains no classified or sensitive unclassified information and is consistent with COMSECY-02-0015.
5. Ensures that the manuscript contains only guidance; that is, it neither contains nor implies legally binding regulatory requirements, which are stated only in laws, NRC regulations, licenses (including technical specifications), or orders.
6. Ensures that each manuscript is technically accurate and contains current organizational policy, positions, and information.
7. Ensures that the manuscript is consistent with both agency and program policy and goals.
8. Ensures that the manuscript violates no copyright or patent rights, consulting first with the DAS, ADM, staff, and then with OGC, if necessary.
9. Ensures that the manuscript does not compromise any rights in an interagency or international agreement, memorandum of understanding, or cooperative agreement.
10. Ensures that the manuscript complies with the NRC's Plain Language and Editorial Guidelines specified in Section III.G of this handbook.
11. Ensures that the manuscript complies with all applicable documents in the reference section of MD 3.7.
12. Ensures that a manuscript requesting information from stakeholders outside the NRC bears an OMB control number.
13. Ensures that if an office originates a manuscript directed toward public outreach, the staff of that office has OPA review the manuscript before its submission to the PB, DAS, ADM, staff for authorization to publish.
14. Evaluates the merits of book proposals from NRC staff to ensure that the proposed book has a unique technical purpose, that it serves an industrywide need, and that its contents will be broadly valid and applicable for at least 5 years after publication.
15. Ensures that the project officer completes the requisite forms before submitting the manuscript to the PB, DAS, ADM, staff for publication (NRC Forms 426 and 335 are available in the NRC Forms Library on SharePoint).

### **III. GENERAL PROCEDURES**

#### **A. Manuscripts**

The staff follows the procedures specified in Section III, as applicable, and in Section IV of this handbook. A contractor, grantee, or other holder of an NRC contract, grant, or memorandum of understanding requiring as a deliverable a manuscript for publication in the series follows the procedures in Section V in addition to those instructions in Section III

as necessary. All manuscripts must meet the NRC's Plain Language and Editorial Guidelines specified in Section III.G. This information applies to all manuscripts intended for publication as a NUREG-Series Publication.

## **B. Information Published in the NUREG Series**

1. No classified or sensitive unclassified information is published in the NUREG series, and the information published in the series is not legally binding. In a NUREG publication, the NRC staff may suggest a course of action, but the regulated community may use other approaches to satisfy a regulatory requirement. No regulatory requirements may be stated or implied in a NUREG-series publication. Requirements are stated only in laws, NRC regulations, licenses (including technical specifications), or orders.
2. Appropriate content for a publication in the NUREG series includes the following:
  - (a) public outreach information;
  - (b) support for regulatory and licensing decisions;
  - (c) results of technical analyses and research;
  - (d) action plans and guidance for meeting NRC requirements;
  - (e) resolution of generic technical issues;
  - (f) a team report on a specific topic;
  - (g) proceedings of a conference or a workshop;
  - (h) managerial, budgetary, and administrative plans and analyses;
  - (i) general programmatic information; and
  - (j) guidance and instructions for employees.

## **C. Identifying Publications**

1. Formulating Designators
  - (a) The NRC uses a system consistent with American National Standards Institute/National Information Standards Organization (ANSI/NISO) Z39.23-1997, "Standard Technical Report Number Format and Creation," that governs the designators for technical reports. The standard recommends two essential elements:
    - (i) the **Report Code** designates the issuing organization or corporate entity.
    - (ii) the **Sequential Group** in a designator may contain three parts as follows:
      - the four digits of the year of publication;

- a sequential Hindu-Arabic number; and
  - uppercase alphabetic characters and Hindu-Arabic numbers pertaining to volumes, books, supplements, revisions, drafts, and so on.
- (b) The central authority that coordinates and monitors the report code portion of the alphanumeric designator for use on an organization's technical reports is currently the NTIS. Because another organization was using the obvious designator "NRC," the NRC registered "NUREG," derived from Nuclear Regulatory.
- (c) The NRC designates its formal publications using the format NUREG-NNNN, where NNNN is a four-digit number composed of Hindu-Arabic numerals. For example, a designator for the first NRC NUREG publication would be NUREG-0001, while a designator for the twelfth publication issued in the series would be NUREG-0012. Sequence numbers need not be continuous, and NUREG sequence numbers may be reserved. The year of publication is not an element in the NRC's NUREG designation system.
- (d) "NUREG-" plus its sequential number are the permanent parts of the designator and do not change. Under this system, reports issued periodically retain their original sequence number and add a volume number. For example, an annual report once assigned NUREG-0001 would retain that designator for each subsequent year it was issued but would append volume designators as NUREG-0001, Volume 1; NUREG-0001, Volume 2; and so on. NUREGs published more often than annually may have more than one volume per year.
- (e) A nonperiodic NUREG issued in two or more parts may be identified by book, for example, NUREG-0015, Book 1 and Book 2. This designator may be combined with volume designators, if necessary, as, for example, with NUREG-0015, Volume 30, Book 1 and Book 2.
- (f) A single NUREG issued as a revision to an earlier NUREG is identified by revision number, for example, NUREG-0015, Revision 1, which supersedes the original NUREG-0015 and might in turn be superseded by NUREG-0015, Revision 2.
- (g) Some classes of NUREGs include additional characters in the report code portion of the designator as follows:
- (i) A NUREG prepared by NRC staff and intended for distribution as a brochure bears the alphabetic designator NUREG/BR before the numeric series number (for example, "NUREG/BR-0001").
  - (ii) A NUREG prepared by NRC staff and intended as a conference proceeding bears the alphabetic designator NUREG/CP before the numeric series number (for example, "NUREG/CP-0001").

- (iii) A NUREG prepared by a contractor bears the alphabetic designator NUREG/CR before the numeric series number (for example, "NUREG/CR-0001").
- (iv) A NUREG resulting from an international agreement bears the alphabetic designator NUREG/IA before the numeric series number (for example, "NUREG/IA-0001").
- (v) A NUREG prepared by NRC staff and intended as a Knowledge Management document bears the alphabetic designator NUREG/KM before the numeric series number (for example, "NUREG/KM-0001").
- (h) NUREG sequence numbers are not sufficient to identify a report without the report code, and so sequence numbers may be repeated provided the report code is distinct. For example, there may be a NUREG-0050, and a NUREG/CR-0050, each a distinct, unrelated report.
- (i) PB, DAS, ADM, staff assigns the designators at the end of the preparation process (see the next item).

## 2. Assigning Designators

- (a) The NRC assigns a unique designator to a manuscript when it is ready for printing, that is, at the end of the preparation process. PB, DAS, ADM, staff assigns the manuscript a NUREG-series designator and places the designator on the cover, title page, and spine when preparing the document for printing.
- (b) The PB, DAS, ADM, staff sends the preparer the designator for the publication. While a manuscript is being developed, it should simply be referred to by its draft title when it is referenced in other documents.

## D. Availability Notices and Disclaimers

1. The PB, DAS, ADM, staff inserts and publishes on the inside front cover of its publications an availability notice containing information about obtaining publications in the NUREG series. The staff also inserts and publishes on the inside front cover an appropriate disclaimer approved by OGC for any publication that is prepared by a holder of an NRC contract, grant, or memorandum of understanding requiring, as a deliverable, a manuscript for publication in the NUREG series or in accordance with an international agreement.
2. See also "Peer Review When a Nonprofit Organization is Publisher," in Section III.H.2(b) of this handbook, concerning nonprofit organizations as publishers of books funded by the NRC.

**E. Dates**

On each publication, the PB, DAS, ADM, staff places the month and year a manuscript is published on the spine and the following two dates on the title page:

1. the month and year the manuscript is completed; and
2. the month and year it is published.

**F. Publications as Official Agency Records**

When a publication has been released for distribution, PB, DAS, ADM, staff submits a print-ready PDF of the publication to the DPC for entry as an official agency record in ADAMS. All publications are made publicly available in ADAMS except those intended only for staff use, such as "Renting Smart: Car Rental Facts for the NRC Traveler." However, all NUREG-series publications are available to the public upon request.

**G. The NRC's Plain Language and Editorial Guidelines****1. Plain Language**

- (a) Numerous sources of information for complying with Federal guidelines for plain language are available at <http://www.plainlanguage.gov/>. See also the Security and Exchange Commission's (SEC's) "A Plain English Handbook: How to Create Clear SEC Disclosure Documents," in the Reference Library at the SEC's Web site at <http://www.sec.gov/news/extra/handbook.htm>. See also the NRC's Plain Language Action Plan at <http://www.internal.nrc.gov/NRC/PLAIN/index.html>. The tips included in these sources may prove useful for attaining plain language in a manuscript. NUREG-1379, Revision 2, includes additional guidance.
- (b) To achieve consistency with the NRC's plain language guidelines for NUREG-series manuscripts, the following issues must be considered. This list is not to be regarded as comprehensive:
  - (i) Present complex information clearly, in lay terms.
  - (ii) Eliminate jargon.
  - (iii) Limit use of defined technical terms.
  - (iv) Use as few acronyms as possible.
  - (v) Plan the scope of the publication, presenting only the information needed for the stated purpose.
  - (vi) Use words economically to achieve conciseness.
  - (vii) Eliminate any redundancy.
  - (viii) Present general information before specific information.

- (ix) Use the active voice whenever possible (e.g., “The NRC conducts inspections,” rather than “Inspections are conducted by the NRC”).
- (x) Use verbs rather than hiding verbs in nouns (e.g., “The staff will implement the directive by August 30,” rather than “The staff is to complete implementation of the directive by August 30”).
- (c) To make each page more appealing and easier to understand as a part of plain language, do the following:
  - (i) Intersperse dense text with headings.
  - (ii) Use lots of white space on a page.
- (d) Documents intended for an audience consisting of individuals with limited English proficiency may require special consideration, as specified in Executive Order 13166, "Improving Access to Services for Persons with Limited English Proficiency," August 11, 2000. If the document meets these requirements, program managers should consult with the Office of Small Business and Civil Rights (SBCR) to obtain information on language assistance services available to Federal agencies.

## 2. Technical Editing

Follow the guidelines in the latest version of the “NRC Editorial Style Guide” (NUREG-1379, Revision 2) when writing the manuscript. Ensure that manuscripts receive the type of technical editing specified in Section III of this handbook. The editorial requirements for a holder of an NRC contract, grant, or memorandum of understanding requiring a manuscript for publication as a deliverable are specified under the responsibilities of AMD, ADM, in Section V of this handbook. Sections III and IV specify the editorial requirements for the NRC staff.

## H. Book Manuscripts

1. Books are usually published in a 6- by 9-inch format of more durable materials (i.e., case-bound or a hardback) than used for other publications in the NUREG series, but they may also be issued in paperback. Consult PB, DAS, ADM, staff before beginning a book (“book” is defined in the Glossary).
2. A nonprofit organization or the NRC may publish a book. All books funded by the NRC undergo stringent peer review. See Management Directive and Handbook 3.17, “NRC Information Quality Program,” for additional details.
  - (a) Peer Review When the NRC Is Publisher

If the NRC both prepares and publishes a book, it bears a NUREG-series designator. The staff must not only follow all the guidelines given for other



publications in preparing the manuscript but must also arrange for peer review. (See Section III.H.2(c).)

(b) Peer Review When a Nonprofit Organization Is Publisher

- (i) The NRC may arrange to have a book manuscript published by a nonprofit organization even though the NRC funds the time to write and edit the book manuscript. However, the Joint Committee on Printing, U.S. Congress, must authorize such an arrangement.
- (ii) If a nonprofit organization publishes the NRC-funded book, it may not bear an NRC NUREG-series designator. The publisher assumes all costs for publishing, marketing, and distributing the book. Any royalties for the book are returned to the Treasury of the United States through the NRC. As with other NRC publications, copies are sent to GPO for optional selection by the Federal Depository Library Program.

(c) Peer Review

- (i) A reviewer is an expert in the subject matter covered by a book manuscript but is independent of the production of the manuscript. Reviewers critically evaluate the technical content of a manuscript to judge whether the author successfully accomplished the intended purpose and the facts are accurate to the best of the reviewer's knowledge. Reviewers may be from within or outside the NRC. Internal reviewers may be assigned by the office sponsoring the NUREG. Criteria for internal and external reviewers appear below. Outside reviewers may come from academia, national laboratories, professional societies, corporations, or other Federal agencies. The NRC office sponsoring the book selects the reviewers and may select only one reviewer per organization.
- (ii) When selecting reviewers, the staff should screen them for demonstrated competence and achievement in a specific discipline, such as the quality of research accomplished, published articles in journals, and honors received. The reviewers selected should have no apparent or real conflict of interest (that is, they could not profit financially by influencing whether the information is published). In the case of the NRC, selecting a licensee, a licensee consultant, or an expert from an intervener group as a peer reviewer would not be appropriate.

### 3. Grants

The NRC sometimes funds grants for educational and nonprofit institutions, State and local governments, and professional societies for the expansion, exchange, and transfer of knowledge and ideas. The U.S. Congress characterizes the relationship between a Federal agency and a grant recipient as one in which "the recipient can

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expect to run the project without agency collaboration, participation, or intervention as long as it is run in accordance with the terms of the grant.”

(a) Publications

- (i) The NRC or the grantee may publish the results of the award. Each grant specifies any publication requirements of the award.
- (ii) If the grantee publishes the results, the grantee gives the Government a royalty-free, nonexclusive, irrevocable license to reproduce, translate, publish, and use the published results. The grantee also must dispose of all material for which a copyright could be obtained that the grantee produced or composed under the grant.

(b) Journal Articles

If the grantee prepares an article to be published in a journal under the grant, the grantee follows the procedures in MD 3.9, “NRC Staff and Contractor Speeches, Papers, and Journal Articles on Regulatory and Technical Subjects.”

4. International Agreement Publication Manuscripts

The NRC has cooperative nuclear safety research programs governed by agreements with foreign governments and organizations. These agreements include monetary contributions, exchange of information, and comments on program plans and results. The agreements allow for transmitting technical information that is not classified or sensitive unclassified from foreign participants to the NRC for publication in the NUREG series. The interests of all international program participants are best served by formal dissemination of information acquired or developed in these programs as publications. Any international agreement publication manuscript intended for publication as a NUREG should be prepared consistently with the general procedures for other manuscripts indicated in Sections II, III, and IV of this handbook.

#### **IV. GUIDELINES FOR MANUSCRIPTS PREPARED BY NRC STAFF**

This section details instructions for preparing all NUREGs except conference proceedings. (See Section VI of this handbook for instructions on publishing conference proceedings.)

##### **A. Organization and Components**

The organization and components of NRC publications will vary, depending on their purpose and scope. The author needs to answer the following questions, many of them before the writing process begins (see also Section 3, “Planning Your Document,” and Section 4, “General Format and Content,” of NUREG-0650 and Section III of this handbook):

1. Who is the primary audience?

2. What is the purpose of the manuscript?
3. What is its scope?
4. Will it become a draft publication issued for public comment?
5. Will the references be available to the public?
6. Will it include information that is copyrighted or patented?
7. Has it been reviewed to ensure that it contains no classified or sensitive unclassified information?
8. Will it contain a glossary?
9. Does the manuscript comply with the NRC's Plain Language and Editorial Guidelines specified in Section III?
10. Will it contain measurement and weight values?
11. Will it require the additional services of PB, DAS, ADM, beyond those specified elsewhere in this handbook, such as editing or graphics support?
12. Will it require or be enhanced by the use of color photographs or figures?
13. Will it require a specially designed cover rather than the standard NRC cover?
14. Will this publication be one in a series?
15. In what media will the publication be distributed? Paper? Compact disc? Internet?
16. How long will printing and distribution take?
17. Does publication of the manuscript require completed forms?
18. Is the schedule for producing and publishing the manuscript realistic?
19. What are the criteria for posting a publication to the external or internal Web site?

**B. Who is the primary audience? What is the purpose of the manuscript? What is its scope?**

Consider whether the publication will have to be understood by a technical expert, a technician, a nontechnical audience, or a combination of these. The way in which the document presents the topic depends on whether the intention is to present analyses and results of research, general information, instructions, and so forth. Decide what measure of available information should be included (the scope of the manuscript). One good way to accomplish this goal is to begin with an outline of all possible ideas pertinent to the topic and then refine the outline. If the document's audience will consist substantially of non-English reading individuals, consider the draft U.S. Nuclear

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Regulatory Commission Limited English Proficiency Plan Implementing Executive Order 13166 to address the publication of documents in languages other than English.

**C. Will it become a draft publication issued for public comment?**

The NRC frequently issues draft publications for comment. Types of draft publications include licensing documents, such as standard review plans, environmental impact statements, safety evaluation reports, technical evaluation reports, and standard technical specifications. After the staff considers the comments received, it usually revises the draft, as deemed appropriate, and publishes a final version. See Public Meetings & Involvement, Documents for Comment, on the NRC's external Web site ([www.nrc.gov/public-involve/doc-comment.html](http://www.nrc.gov/public-involve/doc-comment.html)).

**D. Will the references be available to the public?**

The public must be able to access all references listed in a publication. Do not discuss in the text or include in the list of references an Institute of Nuclear Power Operations (INPO) document without prior approval from INPO. (See memorandum of agreement between INPO and the NRC, as amended, December 6, 2010.) Attach any such INPO approval to NRC Form 426, the authorization to publish a manuscript. Authors may create a separate list of references for proprietary versions of a document if the public can obtain a nonproprietary version (see Section 4.2.4 of NUREG-0650). Proprietary versions may contain trade secrets, confidential research, or development, commercial, or financial information.

**E. Will it include information that is copyrighted or patented?**

The manuscript author or authors determine whether the manuscript contains information that may be copyrighted or patented. See 17 U.S.C., "Copyrights." Contact OGC, Division of Legal Counsel, Legislation and Special Projects, if the document presents a potential copyright or patent question. Obtain permission from the copyright holder before using copyrighted material in a manuscript, and attach such permission to NRC Form 426 (see also Section 3.8 of NUREG-0650).

**F. Has it been reviewed to ensure that it contains no classified or sensitive unclassified information?**

The author or authors determine that the manuscript contains no classified or sensitive unclassified information. The author will certify this by signing NRC Form 426 authorizing publication. If uncertain about the sensitivity of any content, the staff contacts the Office of Nuclear Security and Incident Response (NSIR). The staff also ensures by its signature on this form that the manuscript is consistent with COMSECY-02-0015 "Withholding Sensitive Homeland Security Information from the Public," April 4, 2002 (ADAMS Accession No. ML050620101).

**G. Will it contain a glossary?**

Glossary terms in a publication must be consistent with those in the glossary on the NRC's external Web site. If the manuscript includes a glossary, use the definitions in the NRC's external Web site Glossary, available at <http://www.nrc.gov/reading-rm/basic-ref/glossary.html>, unless the definition is not suitable for the context of the document. Send any conflicting definition for a term to the Web staff editor. The editor will include the NUREG author's perspective in the resolution process. In addition, send any terms in the glossary not found in the Web Glossary to the Web staff editor for addition to the Web Glossary.

**H. Does the manuscript comply with the NRC's Plain Language and Editorial Guidelines specified in Section III?**

Review the manuscript to ensure that it is consistent with the editorial guidelines in Section III of this handbook. See also Section II of this handbook to ensure that the publication manuscripts listed receive technical editing as specified.

**I. Will the document contain measurement and weight values?**

If the answer is "yes," according to the NRC's Policy Statement "Conversion to the Metric System" (*Federal Register*, Vol. 57, No. 46202, October 7, 1992), ensure that measurement and weight values are converted to the International System of Units, followed by the English units in parentheses except that "documents specific to a licensee...will be in the system of units employed by the licensee."

**J. Will the NUREG require PB, DAS, ADM, services beyond those specified elsewhere in this handbook, such as editing or graphics support?**

Contact the Chief, PB, DAS, ADM, for complete information about publishing services and service levels (i.e., what support the staff can offer in a given amount of time). See the discussion of service levels and scheduling issues available at <http://www.internal.nrc.gov/ADM/techedit/techedit.html>. After preliminary reviews within the author's office are complete, the author initiates an intake interview with an editor if the manuscript type appears on the list under "Office Directors and Regional Administrators" of Section II. Work with the editor to decide on the figures the document will be using and to request graphics support. Sometimes the graphics staff can produce figures while the document is being edited. If the graphics staff will be laying out the entire manuscript, be sure any editing is complete before the graphics staff begins, in order to expedite overall publication production. See also Section II of this handbook and the response to "Is the schedule for producing and publishing this manuscript realistic?" in this section.

**K. Will the document require or be enhanced by the use of color photographs or figures? Will it require a specially designed cover rather than the standard NRC cover?**

Printing in color is sometimes necessary (e.g., to show rust or degradation of a reactor component) or desirable (e.g., to promote the agency goal of ensuring openness in our regulatory mission); however, printing in color is considerably more expensive than printing in black and white. Printing in color is often appropriate for public outreach publications. Publishing color documents on compact discs is less expensive than printing paper documents in color. In the planning stage, request permission to use color from the Chief, PB, DAS, ADM, in order to determine if funds are available or if another option could serve the same purpose. (See also MD 3.13 for more specific information.)

**L. Does the document include information collections and require additional review and a burden/Paperwork Reduction Act Statement?**

The Paperwork Reduction Act (PRA) requires that a burden statement be included on all information gathering devices (e.g., surveys) that are approved by OMB as specified in MD 3.54, "NRC Collections of Information and Reports Management." In addition, it is the NRC's policy as stated in MD 3.54, "NRC Collections of Information and Reports Management," that all documents containing information collections must have a PRA Statement. These documents include, but are not limited to, NUREG Series, Rules, Policy Statements, Generic Communications, Regulatory Guides, Surveys, Questionnaires, and Orders. Documents which require a PRA Statement require additional review as specified on NRC Form 426, completed by the author before the document is submitted for printing. If the document does not contain an information collection, no statement or additional review is required with the exception of Rules and Generic Communications, which require a negative declaration in Block 4.4 on the completed NRC Form 426.

**M. Will this publication be one in a series?**

If the document is one in a series of ongoing publications, prepare a list of all previous publications in the series, including each publication's designator and issuance date. The list can span more than a single page and would be placed after the title page (see Table 4.1 in NUREG-0650). An example of such a series is the NUREG-1556 series, concerning materials licensees (see NRC Library, Document Collections, and then select NUREG-Series Pubs (<http://www.nrc.gov/reading-rm/doc-collections/#nuregs>), on the NRC external Web site).

**N. In what media will the publication be distributed? Paper? Compact disc? Internet?**

Discuss printing and distribution of this publication with the Chief, PB, DAS, ADM, before beginning. After a manuscript is printed in paper, compact disc, or a combination of these media, the NRC enters each NUREG-series publication into ADAMS and declares

it an official agency record. All publications are made publicly available in ADAMS, except those intended only for staff use. However, all NUREG-series publications are posted to either the internal or the external Web sites. All NUREG-series publications are available to the public or upon request. NUREG/KM-series publications may include multimedia components, and so may be available in a wide variety of formats, including audio or video recording, compact disc, DVD, eBook files, or others. A very few NUREG publications, including some NUREGs published through international agreements or as newsletters, may only be published electronically. Consult with the PB, DAS, ADM, print specialist for details.

**O. How long will printing and distribution take?**

After a manuscript has undergone a quality assurance review by PB, DAS, ADM, staff, printing and distribution of an average size (i.e., 150 to 200 pages), black-and-white or two-color (e.g., blue and white) softcover manuscript typically takes 10 to 12 workdays. The time required to print color manuscripts varies. Hardbound printing requires considerably more time. Consult the Chief, PB, DAS, ADM, for more specific information.

**P. What forms are required to publish the manuscript?**

The NRC requires two completed forms to publish a manuscript: NRC Form 426, "Authorization to Publish a Manuscript in the NUREG Series," and NRC Form 335, "Bibliographic Data Sheet." NRC Form 426 is required of all NUREGs, and NRC Form 335 is required of all NUREGs except NUREG/BRs. Both forms are available on the NRC's internal (<http://fusion.nrc.gov/Pages/default.aspx>) and external (<http://www.nrc.gov/reading-rm/doc-collections/forms/>) Web sites and should be completed before presenting the manuscript to PB, DAS, ADM, for prepublication review.

1. NRC Form 426

Answer the questions and obtain the signatures required to authorize publication of the manuscript. Instructions for completing the form are on page 2 of the form.

2. NRC Form 335

Place an abstract of 200 or fewer words in Block 11 of the form, and complete all other blocks except 13 through 16 (see NUREG-0650). Concisely summarize the contents of the publication in the abstract so that a reader can determine whether to read the entire document. Omit details in the abstract to the extent possible.

3. NRC Forms 20 and 379

Additionally, once the camera-ready copy of the publication is prepared for printing, PB, DAS, ADM, will require completion of NRC Form 20, "Request for Printing and Copying Services," and NRC Form 379, "Report Processing," also available on the NRC's internal Web site.

**Q. Is the schedule for producing and publishing the document realistic?**

1. The author should factor into the schedule for publishing a document the time needed to complete the following tasks:
  - (a) write and revise;
  - (b) resolve and incorporate comments from reviewers;
  - (c) obtain any CSD, OIS, or PB, DAS, ADM, services;
  - (d) complete forms; and
  - (e) obtain necessary reviews and signatures authorizing publication.
2. PB, DAS, ADM, offers the following services to help in preparing a manuscript:
  - (a) professional technical editing;
  - (b) graphics services;
  - (c) quality assurance review of manuscripts;
  - (d) reproduction and distribution;
  - (e) publishing, printing, and posting on the Intranet or Internet; and
  - (f) declaring the publication an official agency record in ADAMS.
3. For each service offered, PB, DAS, ADM, has service levels to help the author plan the production and publication of the manuscript. Allow sufficient time for these tasks, which can be labor intensive. Information on editing levels and the time required for their completion is available on the internal Web site at <http://www.internal.nrc.gov/ADM/techedit/techedit.html>. Consult with the PB, DAS, ADM, staff for a realistic estimate of the time required for editing and other PB, DAS, ADM, services.

**R. Can NUREGs be used to disseminate sensitive unclassified information?**

1. PB, DAS, ADM, can design or reproduce for the staff suitable first pages for appropriately marked sensitive unclassified information for dissemination to those with a "need to know" but does not publish such information in the NUREG series. Contact the Chief of PB, DAS, ADM, to obtain one or more of these services. Before disseminating such material to those with a "need to know," consult MD 12.2, "NRC Classified Information Security Program"; MD 12.6, "NRC Sensitive Unclassified Information Security Program"; NRC Yellow Announcement YA-05-0077, "Policy Revision: NRC Policy and Procedures for Handling, Marking, and Protecting Sensitive Unclassified Non-Safeguards Information (SUNSI)"; and MD 12.7, "NRC Safeguards Information Security Program."



2. If the originator has prepared the manuscript without using PB, DAS, ADM, editing, composition, or graphics services, but seeks printing, submit the manuscript with a signed authorization to print (NRC Form 426), the Bibliographic Data Sheet (NRC Form 335), and NRC Forms 20 and 379 to the Chief of PB, DAS, ADM, for review and publication outside the NUREG series. Contact OIS at [Webwork.Resource@nrc.gov](mailto:Webwork.Resource@nrc.gov) to be directed to the Web staff for Intranet or Internet publishing.

**S. What are the criteria for posting a publication to the external or the internal Web site?**

After each publication is entered into ADAMS, OIS posts it to either the internal or the external Web site. Generally, a publication is posted to the internal Web site if it serves a staff need. All others are posted to the external Web site (see also MD 3.14, "U.S. Nuclear Regulatory Commission Public Web Site"). However, all NUREG-series publications are available to the public upon request. See Management Directive 3.4, "Release of Information to the Public."

**T. Does the document require peer review?**

The NRC requires peer-review of all books published by the agency or by a nonprofit associate (See Section III.H.2 of this handbook for additional information). See Management Directive and Handbook 3.17, "NRC Information Quality Program," for additional details.

Additionally, OMB has issued guidelines on peer-reviewing information products that qualify as "influential scientific information" and "highly influential scientific assessments." This policy applies to scientific information products disseminated to the public on or after June 16, 2005. Should the NUREG include influential scientific information or a highly influential scientific assessment as defined by OMB, the NUREG may require peer review. See "Applying OMB Peer Review Guidelines" (ADAMS Accession No. ML051600303) on the NRC Web site at <http://www.internal.nrc.gov/announcements/pdf/ml051600303.pdf>.

**V. PROCEDURES FOR MANUSCRIPTS PREPARED BY A CONTRACTOR, A GRANTEE, OR OTHER HOLDER OF AN NRC CONTRACT, GRANT, OR MEMORANDUM OF UNDERSTANDING**

A contractor, a grantee, or other holder of a memorandum of understanding requiring, as a deliverable, a manuscript for publication in the NUREG series must meet the conditions and terms of the legal instrument and work with the NRC project officer to deliver the manuscript in accordance with the policy and procedures in MD 3.7 and this handbook.

**A. Project Officer Responsibilities**

The NRC project officer overseeing a publication manuscript prepared by a contractor, a grantee, or other holder of an NRC contract, grant, or memorandum of understanding performs the following tasks:

1. Works with the Contracting Officer of AMD, ADM to specify applicable publication requirements in the proposed statement of work for the governing legal instrument.
2. Acts as liaison between the contractor, grantee, or other holder of an NRC contract, grant, or memorandum of understanding and the staff of PB, DAS, ADM.
3. Submits manuscript to the CSD, OIS for review to ensure either that the NRC has obtained an OMB control number authorizing the NRC to request information from a stakeholder outside the NRC or that the manuscript contains no such request, and requests that the IRSD reviewer sign Block 5.2 on NRC Form 426.
4. Responds to any questions from the organization preparing the publication, consulting with the Chief of PB, DAS, ADM, or the PB, DAS, ADM, staff as necessary.
5. Assists the preparing organization in identifying who should receive copies of the publication.
6. Ensures that the contractor, grantee, or nonprofit organization receives 50 free copies of each publication produced in accordance with the Joint Committee on Printing's regulations, unless the preparer requests fewer copies.
7. Approves the final manuscript before instructing the contractor, grantee, or other holder of an NRC contract, grant, or memorandum of understanding to send the final manuscript to the PB, DAS, ADM, staff for review and publication.
8. Works with PB, DAS, ADM, staff to have the manuscript published (i.e., reviewed, revised as necessary, printed, and distributed).

**B. Responsibilities of Contractor, Grantee, or Other Holder of an NRC Contract, Grant, or Memorandum of Understanding****1. General Responsibilities**

When the procurement requires that a deliverable be developed as a manuscript for publication in the NUREG series, the contractor, grantee, or holder of a memorandum of understanding performs the following tasks:

- (a) Prepares by the due date, as specified in the governing legal instrument, the number of draft and final manuscripts required as deliverables until the NRC deems a manuscript publishable.

- (b) Revises each manuscript as necessary until the NRC deems it publishable by the due date.
- (c) Ensures that the final manuscript receives technical editing as specified in the statement of work in the governing legal instrument.
- (d) Prepares manuscripts in accordance with the policy and guidance in MD 3.7 and this handbook.
- (e) Sends only a manuscript approved by the project officer to the PB, DAS, ADM, staff for review and publishing.
- (f) Refers all questions to the project officer, who may, in turn, contact the PB, DAS, ADM, staff for information.
- (g) Prepares stick-on address labels for any individual designated to receive a copy of a publication but who does not appear on one of the NRC's automated distribution mailing lists.

## 2. Preparing the Manuscript

The organization and components of NRC publications will vary, depending on their purpose and scope. The author should answer the questions below, many of them before the writing process even begins (see also Section 3, "Planning Your Document," and Section 4, "General Format and Content," of NUREG-0650).

- (a) Who is the primary audience?
- (b) What is the purpose of the manuscript?
- (c) What is its scope?
- (d) Will it become a draft publication issued for public comment?
- (e) Will the references be available to the public?
- (f) Will it include information that is copyrighted or patented?
- (g) Has it been reviewed to ensure that it contains no classified or sensitive unclassified information?
- (h) Will it contain measurement and weight values?
- (i) Will it contain a glossary?
- (j) Does the manuscript comply with the NRC's Plain Language and Editorial Guidelines specified in Section III?
- (k) Will it require or be enhanced by the use of color photographs or figures?
- (l) Will it require a specially designed cover rather than the standard NRC cover?

(m) Will this publication be one in a series?

(n) Is it consistent with all applicable NRC guidance furnished?

(o) What forms are required to publish the manuscript?

**C. Who is the primary audience? What is the purpose of the manuscript? What is its scope?**

Consider whether the publication will have to be understood by a technical expert, a technician, a nontechnical audience, or a combination of these. The way in which the author presents the topic depends on whether the document presents analyses and results of research, general information, instructions, and so forth. Decide what measure of available information should be included (the scope of the manuscript). One good way to accomplish this goal is to begin with an outline of all possible ideas pertinent to the document and then refine the outline with the project officer. If the document's audience will consist of substantially non-English reading individuals, consider the draft U.S. Nuclear Regulatory Commission Limited English Proficiency Plan Implementing Executive Order 13166 to address the publication of documents in languages other than English.

**D. Will it become a draft publication issued for public comment?**

The NRC frequently issues draft publications for comment. Types of draft publications include licensing documents, such as environmental impact statements, or technical evaluation reports. After the preparer considers the comments received and revises the draft, as deemed appropriate, the NRC publishes a final version. See the Public Meetings & Involvement, Documents for Comment page, on the NRC's external Web site.

**E. Will the references be available to the public?**

The public must be able to access all references listed in a publication. Do not discuss in the text or include in the list of references an INPO document without prior approval from INPO. (See INPO memoranda of agreement.) Attach any such INPO approval to NRC Form 426. Authors may create a separate list of references for proprietary versions of a document if the public can obtain a nonproprietary version (see Section 4.2.4 of NUREG-0650). Proprietary versions may contain trade secrets, confidential research, or development, commercial, or financial information.

**F. Will it include information that is copyrighted or patented?**

If the preparer is uncertain whether the manuscript contains information that may be copyrighted or patented, consult the NRC project officer who may, in turn, contact the NRC's OGC about copyright or patent questions. Obtain permission from the copyright holder before using copyrighted material in a manuscript, and attach such permission to NRC Form 426 (see also Section 3.8 of NUREG-0650 and 17 U.S.C.). Should NRC staff

use images or photographs for which OPA has previously received permission, staff will not have to resubmit permission. These images are located in the NRC photo gallery Web site found at <http://www.internal.nrc.gov/OPA/photolibrary.html> and are used in OPA publications.

**G. Has it been reviewed to ensure that it contains no classified or sensitive unclassified information?**

By signing NRC Form 426, the NRC project officer attests that the manuscript contains no classified or sensitive unclassified information; if uncertain about the sensitivity of any content, the project officer contacts NSIR. The staff also ensures by its signature on this form that the manuscript is consistent with COMSECY-02-0015.

**H. Will it contain a glossary?**

Glossary terms in a publication must be consistent with those in the glossary on the NRC's external Web site. If the manuscript includes a glossary, the author should use the definitions in the NRC's external Web site Glossary unless the definitions are not correct for the document. Send any conflicting definition for a term to the project officer who, in turn, will send the conflicting terms to the Web staff editor. The editor will include the project officer in the resolution process. In addition, send any terms in the document's glossary not found in the Web Glossary to the project officer, who, in turn, will send them to the Web staff editor to add to the Web Glossary.

**I. Does the manuscript comply with the NRC's Plain Language and Editorial Guidelines specified in Section III?**

Review the document to ensure that it is consistent with the guidelines in Section III of this handbook. Ensure that the manuscript receives technical editing as specified in Section II of this handbook under responsibilities of the Director of AMD, ADM.

**J. Will the manuscript require or be enhanced by the use of color photographs or figures? Will it require a specially designed cover rather than the standard NRC cover?**

Printing in color is sometimes necessary (e.g., to show rust or degradation of a reactor component) or desirable (e.g., to promote the agency goal of ensuring openness about our regulatory mission); however, printing in color is considerably more expensive than printing in black and white. Publishing color documents electronically or on compact discs is less expensive than printing paper documents in color. In the planning stage, request permission to use color through the project officer to see if funds are available or if another option could serve the same purpose (see also MD 3.13).

**K. Will it contain measurement and weight values?**

If the answer is “yes,” according to the NRC’s Policy Statement “Conversion to the Metric System” (57 FR 46202; October 7, 1992), the author should ensure that measurement and weight values are converted to the International System of Units, followed by the English units in parentheses except that “documents specific to a licensee...will be in the system of units employed by the licensee.”

**L. Will this publication be one in a series?**

If the manuscript is one in a series of ongoing publications, prepare a list of all previous publications in the series, including each publication’s designator and issuance date. The list can span more than a single page and would be placed after the title page (see Table 4.1 in NUREG-0650). An example of such a series is the NUREG-1556 series concerning materials licensees (see Electronic Reading Room, Document Collections, and then select NUREG-Series Pubs, on the NRC external Web site).

**M. Is it consistent with all applicable NRC guidance furnished?**

Before submitting the final manuscript to the project officer, ensure that it complies with MD 3.7 and this handbook and with NUREG-1379 and NUREG-0650.

**N. What forms are required to publish the manuscript?**

The NRC requires two completed forms to publish a manuscript, both available on the NRC’s internal and external Web sites: NRC Form 426, “Authorization to Publish a Manuscript in the NUREG Series,” and NRC Form 335, “Bibliographic Data Sheet.” Consult the NRC project officer about using these forms:

**1. NRC Form 426**

Answer the questions, have the authorizing official sign the form, and send the completed form to the project officer to obtain the signatures required to authorize publication of the manuscript.

**2. NRC Form 335**

Place an abstract of 200 or fewer words in Block 11 of the form, and complete all other blocks except 13 through 16 (see NUREG-0650). Concisely summarize the contents of the manuscript in the abstract so that a reader can determine whether to read the entire report. Omit details in the abstract to the extent possible.

## **VI. PROCEDURES FOR COMPILING AND PUBLISHING PROCEEDINGS OF NRC-SPONSORED OR NRC-COSPONSORED CONFERENCES**

### **A. General**

The prompt publication and dissemination of scientific and technical information reported at meetings, conferences, and symposia sponsored or cosponsored by the NRC are required. This section gives guidance designed to help persons responsible for compiling proceedings of these conferences. PB, DAS, ADM, will assist, within the constraints of staff availability, if requested by a Division Director or more senior manager by e-mail or memorandum. See MD 3.11.

1. The Multimedia Communications Branch (MCB), DAS, ADM, staff is available for video recording special meetings when requested by a Division Director or more senior manager. See the following Management Directives and Handbooks for further information regarding multimedia and NUREGs: Management Directive 3.15, "Multimedia Services," See also Management Directive 3.4, "Release of Information to the Public," and Management Directive 3.53, "NRC Records and Document Management Program."
2. Recording a meeting session and preparing a transcript of this recording is an expensive service that can be justified only in special cases. If a Division Director or a more senior manager approves the need for a written transcript, such as for a question-and-answer session, the NUREG author should request this service from the Atomic Safety and Licensing Board Panel (ASLBP), which manages a blanket NRC contract to provide transcription services. The requestor must complete a Request for Court Reporting Services (NRC Form 587) which can be found in the NRC Forms Library. The NUREG author should submit the completed form electronically to [Courtreporter@nrc.gov](mailto:Courtreporter@nrc.gov). The ASLBP will review the request, issue a work order number, and then submit it to the contractor for services. The ASLBP does not approve requests, but manages them to ensure they are fulfilled. Approval must come from the NUREG author's Division Director or higher authority. The ASLBP will process the transcript work order request for transcription services automatically, pending availability of funding.

### **B. Assigning a Conference Compiler**

For planning and organizing a conference, designate a "compiler." The compiler is responsible for requesting that the speaker or the author prepare each paper according to the instructions in this handbook. These instructions are designed to ensure uniformity among the papers so that the compilation can be printed directly from papers submitted.

### C. Instructions for the Compiler

1. For NRC-sponsored conferences, obtain written papers in advance of the conference to ensure the availability of the written papers needed to prepare the proceedings. Supply instructions to each participant on the requirements for submittal of a camera-ready copy of each presentation paper (see “Instructions for Authors of Conference Papers,” below in this document).
2. For NRC-cosponsored conferences, the NRC and the cosponsor should determine the requirements for compiling and publishing proceedings. The following guidance may be useful in the discussions to develop the requirements, but the mutually agreed-upon requirements should be given to each NRC participant.
3. Using the following instructions, prepare a publication schedule for the conference proceeding:
  - (a) At the earliest practical date, give each speaker a copy of “Instructions for Authors of Conference Papers,” below in this document.
  - (b) Advise each speaker where, when, and to whom to send a completed paper and a completed copy of NRC Form 390, “Release to Publish Unclassified NRC Staff Speeches, Presentations, Papers, and Journal Articles” (available in the NRC Forms Library on SharePoint), if an NRC staff member, or NRC Form 390A, “Release to Publish Unclassified NRC Contractor Speeches, Presentations, Papers, and Journal Articles” (available in the NRC Forms Library on SharePoint), if an NRC contractor, or a signed letter release (Exhibit 1), if a non-NRC staff member or contractor. This form or letter authorizes publication of the paper in a Government publication, which is in the public domain. Each speaker should submit the appropriate form or a letter with the conference paper to the compiler.
  - (c) The compiler retains all forms submitted by the speakers and prepares and submits one NRC Form 426 to PB, DAS, ADM, which covers the entire compilation, with the manuscript of the compilation for printing. Entries on the form indicate essential clearances and other information and instructions.
  - (d) Prepare a cover sheet for the compilation that provides the following information and submit it with the compilation of papers to PB, DAS, ADM:
    - (i) report number (obtained from PB, DAS, ADM);
    - (ii) title of meeting;
    - (iii) place of meeting;
    - (iv) inclusive dates of meeting;
    - (v) sponsor or cosponsors;



- (vi) compiler's name and other credits, such as the conference proceedings editor; and
- (vii) any special requests relating to cover design.

PB, DAS, ADM, prepares the cover and title page from this information. (See the sample cover and the sample title page prepared by the NRC, Exhibits 2 and 3.)
- (e) Prepare a table of contents listing the title and author of each paper in order. The agenda often suggests a logical sequence (that is, the order in which each paper is presented) by session. (See the sample contents, Exhibit 4.)
- (f) As a final check, review all material to ensure that each paper includes the following:
  - (i) an accurate title that is short and descriptive;
  - (ii) each author's name, affiliation, and if pertinent, the contract under which the work reported was performed;
  - (iii) an abstract of 200 or fewer words to appear between the title and the body of the text (see the sample first page of a conference proceedings paper, Exhibit 5);
  - (iv) a title for each table and a caption for each figure, with tables and figures properly referred to by number in the text; and
  - (v) reproducible art for each figure, photograph, and table that is referenced in the text. Supply the best available original line drawings, or clear copies of them, and black-and-white glossy prints of photographs because the publication will be printed by the photo-offset printing process.
- (g) To identify and protect classified and sensitive unclassified information, such as Safeguards Information, ensure that papers or materials presented by NRC staff members or representatives working under contract to the NRC are reviewed, as required, by an authorized classifier or by NSIR, for classified information and by a manager or designee for sensitive unclassified information.
- (h) When a representative of another government or a company operating in another country is presenting a paper, the compiler may have to obtain not only a personal release from the author but also a release from the foreign company or organization before the paper can be published in a U.S. Government publication. Releases from foreign governments will be coordinated through the Office of International Programs (OIP) and NSIR.
- (i) Reference to INPO documents may not be made without prior approval from INPO. A copy of INPO's approval to reference INPO documents must be submitted with an NRC Form 426, along with any other permission to use

copyrighted material. (See Memorandum of Agreement Between the Institute of Nuclear Power Operations and the U.S. Nuclear Regulatory Commission, December 6, 2010.)

- (j) When speakers do not represent a company working under contract to the NRC, merely obtain a signed letter release from the author as indicated in Section VI.C.5.
- (k) If the papers include any copyrighted material, obtain a signed copyright release from the copyright holder before publishing the compilation.
- (l) Transmit the complete compilation of papers and filled-out NRC Form 426 and Form 335 (available in the NRC Forms Library on SharePoint) for the compilation to the following address, unless other arrangements have been made:  
  
U.S. Nuclear Regulatory Commission  
Publications Branch  
Office of Administration  
Mail Stop O-P1 33  
Washington, DC 20555-0001
- (m) Label the package with the following notice: "Special handling—contains camera-ready material."
- (n) The compiler is responsible for maintaining the file of NRC Forms 390 or 390A or letter releases, including any copyright permission, ensuring that each paper may be published in a Government publication, which is in the public domain.
- (o) Direct inquiries about how to obtain publishing services and assistance to the preceding address. Contact PB, DAS, ADM, with any questions about compiling proceedings.
- (p) Coordinate with OGC in accordance with MD 3.11 and on other matters for which OGC guidance is desired.

#### **D. Instructions for Authors of Conference Papers**

##### **1. Preparing a Paper for Publication**

Most often, the NRC publishes or assists in the publication of compilations of papers presented at meetings, conferences, and symposia in which the NRC participates as a sponsor or cosponsor. If this is the case, the author should prepare the paper for publication according to the following instructions. These instructions will ensure uniformity among the papers so that the compilation can be printed directly from the papers submitted.

## 2. Content of a Paper

(a) The paper must include the following:

- (i) a meaningful title that is short and descriptive;
- (ii) each author's name, affiliation, and, if pertinent, the contract under which the work reported was performed;
- (iii) an abstract of 200 or fewer words to appear between the title and the body of text (see Exhibit 5);
- (iv) a title for each table and a caption for each figure, with tables and figures properly referred to in the text; and
- (v) reproducible art for each figure, photograph, and table that is referenced in the text. Supply the best available original line drawings, or clear copies of them, and black-and-white glossy prints of photographs because the publication will be printed by the photo-offset printing process.

(b) A conference paper may not include any reference to INPO documents without prior approval from INPO. (See INPO memoranda of agreement.) A copy of INPO's approval to reference INPO documents must be submitted with NRC Form 390 or 390A (both accessible on the online forms icon) or a signed letter release (see Exhibit 1).

(c) A proprietary report can be referred to in a footnote but may not be included in a list of references.

## 3. Format of a Paper

The NRC publishes papers presented at technical meetings as soon as possible after these meetings have been held. Early printing is possible if each paper is prepared using the following instructions:

- (a) Leave a 1-inch margin on all sides of each page for printing and binding purposes.
- (b) Begin the first page with the title below the 1-inch margin; place the author names and their affiliations two lines below the title; place the 200-word abstract two lines below the author names; begin the paper two lines below the abstract (see the sample first page of a conference proceedings paper, Exhibit 5).
- (c) Begin typing all subsequent pages 1 inch from the top of the page. Single-space all text, and leave several lines of space above and below equations, tables, and figures.

- (d) The NRC prefers the following fonts: Arial 11 for text in the body of the report, Arial 14 for headings, and Arial 9 for footnotes.

Examples: Arial 11, **Arial 14**, Arial 9

#### 4. Submitting a Paper for Publication

- (a) An NRC employee submits a completed publication release (NRC Form 390) and any copyright permission or signed letter releases with each paper presented at the conference to the compiler (see Exhibit 1).
- (b) An NRC contractor employee submits a completed publication release (NRC Form 390A) and any copyright permission or signed letter releases with each paper presented at the conference to the compiler (see Exhibit 1).
- (c) A non-NRC employee or contractor submits a signed letter release and any copyright permission with each paper presented at the conference to the compiler (see Exhibit 1).
- (d) Information essential to proper handling of the paper appears on NRC Forms 390 and 390A and the sample letter release.
- (e) In addition to completing, if applicable, the patent clearance provision on NRC Form 426, if restrictions other than patent restrictions apply, an author briefly describes these restrictions on the bottom of the form. The author is also responsible for ensuring that the paper contains no classified or sensitive unclassified information (e.g., proprietary information, unclassified Safeguards Information, etc.). Refer any questions about whether the paper contains information in these categories to an appropriate authorized classifier or NSIR.
- (f) Refer to Section VI.D.3 for instructions about formatting the paper for the compilation so that it can be printed directly from the paper submitted.

## **VII. GUIDANCE FOR DEVELOPING KNOWLEDGE MANAGEMENT (NUREG/KM SERIES) NUREGS**

- A.** Knowledge management (KM) is the practice of capturing critical historical and procedural information in order to provide the regulatory community with background, history, and context for the existing regulatory and procedural environment. Material suitable for inclusion and discussion in NUREG/KM series publications includes, but is not limited to, databases, electronic reading rooms, formal and informal training, interviews, procedures, desk references, communities of practice, Web sites, and portals. KM is part of the strategic management of human capital along with strategic workforce planning, recruitment, and training and development.

**B.** The NRC has established the NUREG/KM category of NUREGS in order to collect, compile, and interpret historical information and references on technical topics to assist future, current, and former staff in understanding how the agency's regulatory system and technical knowledge have evolved. NUREG/KM documents should provide an understanding of the general bases for significant regulatory decisions. NUREG/KM publications should complement other agency KM tools, including multimedia resources. NUREG/KM documents are generally subject to the rules and standards described in this management directive and handbook. However, because NUREG/KM publications may include components as varied and non-traditional as multimedia components, this discussion is limited to general definitions only. Details of NUREG/KM development are not within the scope of this handbook, but the author of a NUREG/KM should discuss the production of the NUREG/KM with PB, DAS, ADM, print specialists well in advance of completing the project in order to ensure no difficulties with the printing and distribution of NUREG/KM materials. NUREG/KM publications are intended to be available in various multimedia formats such as compact disk, DVD, etc.

1. Information Published in the NUREG/KM Series

The NUREG/KM series follows the same guidelines for appropriate content for a publication in a NUREG series as outlined in this directive and handbook. This includes all sections detailing policy, objectives, organizational responsibilities and delegations of authority, and applicability. Examples of appropriate content for a NUREG/KM series publication include the following:

- (a) documentation of a significant historical event and/or process;
- (b) transcripts of speeches and interviews; and
- (c) historical documents meriting preservation.

2. Existing Examples of NUREG/KMs

The following documents were originally published as NUREG/BRs, because the NUREG/KM series did not exist at the time of their publication:

- (a) Fire Protection and Research Knowledge Management Digest – NUREG/BR-0465, Rev. 1;
- (b) A Short History of Nuclear Regulation, 1946-1990 – NUREG/BR-0175;
- (c) A Short History of Fire Safety Research Sponsored by the U.S. NRC, 1975-2008 – NUREG/BR-0364;
- (d) The Browns Ferry Nuclear Plant Fire of 1975 and the History of NRC Fire Regulations – NUREG/BR-0361;

- (e) Norm Lauben's Summary of the ECCS Rulemaking Hearings of 1973; and
- (f) Equipment Qualification Manual based on Paul Shemanski's paper.

## VIII. GLOSSARY

### **Book**

A publication intended as a permanent reference (a textbook) or as a major critical review of a technical or regulatory topic. Its content should be applicable for at least 5 years after publication and meet an industrywide need.

### **Classified information**

At the U.S. Nuclear Regulatory Commission, material that meets the requirements for designation as Confidential, Secret, or Top Secret in accordance with an Executive Order (currently Executive Order 12958, "Classified National Security Information," as amended) or the Atomic Energy Act of 1954, as amended. See MD 12.2 for more information.

### **Manuscripts directed toward public outreach**

Manuscripts that contain general regulatory information about the NRC or general technical information about a specific topic, which are often prepared by the Office of Public Affairs (e.g., "NRC: Regulator of Nuclear Safety" (NUREG/BR-0164), the "Public Petition Process" (NUREG/BR-0200), the "Citizen's Guide to U.S. Nuclear Regulatory Commission Information" (NUREG/BR-0010), and "Regulating Nuclear Fuel" (NUREG/BR-0280)).

### **NUREG-series publication**

Nonsensitive information related to the NRC's mission that does not contain regulatory requirements and is published in a formal agency series to ensure the "dissemination to the public of scientific and technical information relating to atomic energy..." as mandated by the Atomic Energy Act of 1954, as amended. Each publication bears an agency designator (NUREG number and sometimes a revision number).

### **Peer review**

Critical evaluation of the technical content of a book manuscript by independent experts to judge whether the author successfully accomplished the intended purpose. The independent experts must not be able to profit financially by influencing whether the information is published and can have no appearance of conflict of interest, such as, in the case of the NRC, a licensee.

**Project officer**

The member of the NRC staff responsible for overseeing the legal instrument that requires as a deliverable a manuscript to be published in the NUREG series.

**Sensitive unclassified information**

This information includes unclassified Safeguards Information, Official Use Only information, and Proprietary information. It also includes unclassified information from other Government agencies and sources outside of the NRC and its contractors and licensees that requires special protective measures. Markings used by these agencies and sources include, for example, For Official Use Only, Company Confidential, and Private. (See MD 12.4, "NRC Telecommunications Systems Security Program," and the Glossary in Management Directive Volume 12, "Security," for a complete definition of "sensitive unclassified information.")

**Technical editing**

Collaboration between a technical editor and an author to improve the quality, clarity, and consistency of a manuscript.

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**EXHIBITS****Exhibit 1 Sample Signed Letter Release**

Date

Compiler's Name  
Compiler's Address

Dear Compiler:

Enclosed is my paper for the conference to be published in the proceedings of the conference scheduled for April XX, XXXX. I hereby relinquish any property, title, and interest I may have in the enclosed paper. I understand that my paper will be published in a U.S. Government publication. I further understand that U.S. Government publications are in the public domain and that these publications are not copyrighted.

My paper does not discuss any patented information or product.

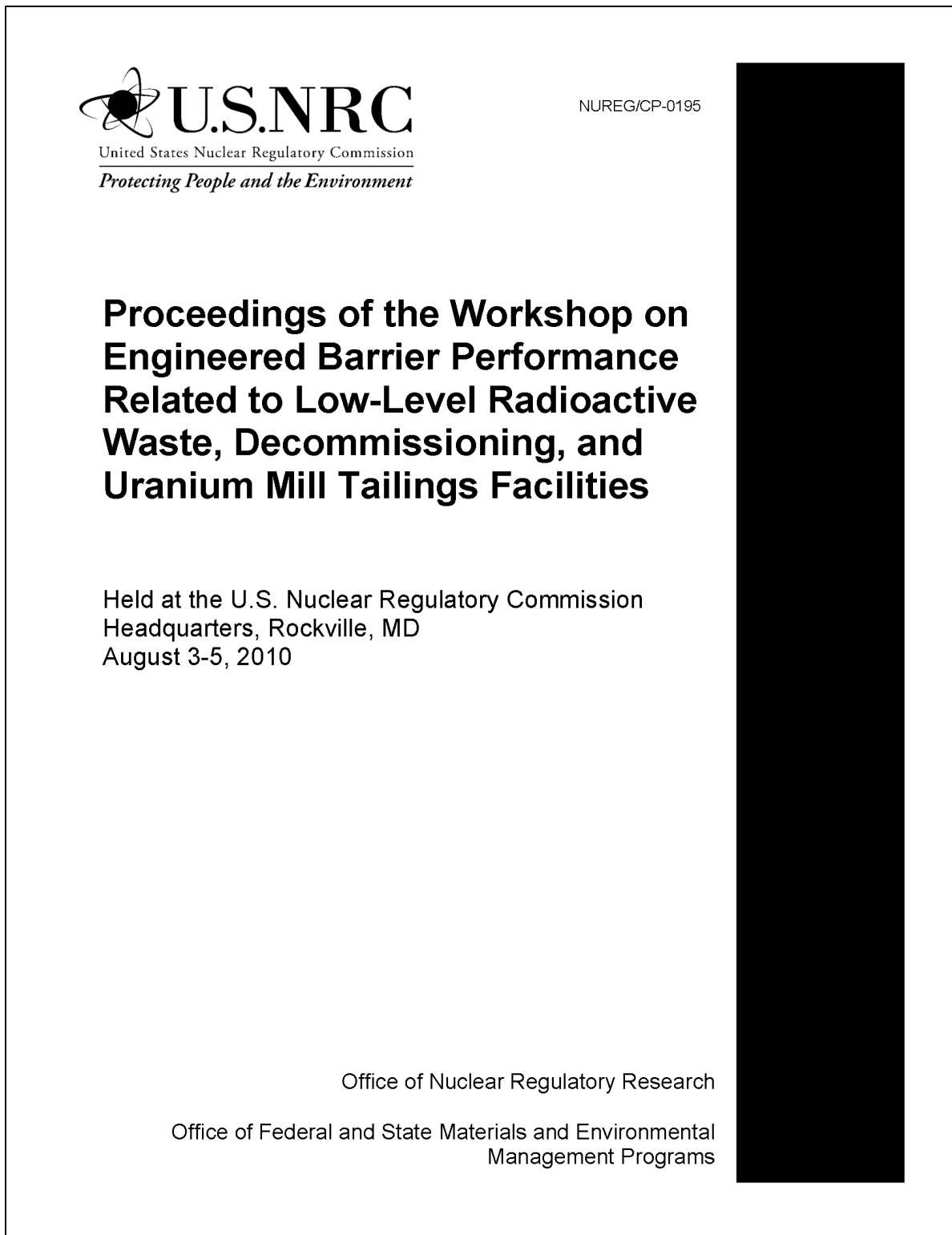
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**Exhibit 2 Sample Conference Proceeding Cover**



**Exhibit 3 Sample Conference Proceeding Title Page**



NUREG/CP-0195

**Proceedings of the Workshop on  
Engineered Barrier Performance  
Related to Low-Level Radioactive  
Waste, Decommissioning, and  
Uranium Mill Tailings Facilities**

Held at the U.S. Nuclear Regulatory Commission  
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T. J. Nicholson and H.D. Arlt

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Management Programs

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**Exhibit 5 Sample First Page of a Conference Proceedings Paper****1.1 Background to the Engineered Barrier Performance Workshop**

The concept of engineered barriers to isolate waste began to take hold roughly fifty years ago in the United States, and only recently that sufficient data has been gathered to begin to assess performance of engineered surface covers and bottom liners. Research results from various organizations, such as the States, the National Academies, DOE, EPA, NRC, and many others, have allowed a better understanding of engineered barrier performance. These include: the National Research Council of the National Academies publishing "Assessment of the Performance of Engineered Waste Containment Barriers" in 2007; DOE sponsoring the "Alternative Landfill Cover Demonstration" project on conventional and alternative cover designs; EPA conducting the "Alternative Cover Assessment Program" (ACAP) to evaluate the performance of alternative landfill covers beginning in 1998; and DOE hosting a "landfill" workshop in 2008 involving various DOE organizations, National Laboratories, NRC, and Academia to assess the state-of-the-practice of engineered covers. Previous workshops and meetings on engineered surface covers and bottom liners have produced informed recommendations and useful insights. However, there was a need for a broader group of cooperating organizations to focus on longer time periods, covering a wider range of environmental conditions, waste forms, and field experiences.

**1.2 Engineered Barrier Performance Workshop**

The workshop was held August 3–5, 2010 at the U.S. Nuclear Regulatory Commission (NRC) Headquarters Auditorium, 11545 Rockville Pike, Rockville, Maryland. The Workshop was coordinated with the States (i.e., Texas, South Carolina, Utah, Colorado, Washington, and New York), Native American Indian Tribes, and Federal agencies (e.g., U.S. Department of Energy [DOE], U.S. Environmental Protection Agency [EPA], DOE/ARS, U.S. Geological Survey [USGS], and DOE National Laboratories). The workshop technical topics focused on engineered surface covers and bottom liners designed to isolate waste by impeding surface-water infiltration into the waste systems and mitigating the migration of contaminants from the waste disposal site. Topics were divided into technical sessions and included engineered barrier performance, modeling, monitoring, and regulatory experiences at low-level radioactive waste, decommissioning, and uranium mill tailings sites. The workshop objectives included: (1) Facilitation of communication among Federal and State staff and contractors and selected experts on current engineered barrier issues and technical and regulatory experiences. (2) Discussion of lessons learned and approaches for monitoring and modeling. (3) Preparation of recommendations to address maintenance of engineered barrier performance over time. (4) Identification of topics for future research and the potential need to update technical guidance.

In the introductory session, the workshop objectives, technical themes, and topics were presented. This was followed by a presentation on descriptions of the various engineered barrier types by function and design and, finally, an overview of NRC's experience with engineered barrier performance in research, licensing, and regulatory compliance. At the end of each working session, a technical panel of the presenters and selected experts responded to questions. Technical reporters captured significant insights and recommendations from these panelists that were reported during the final session. At the end of each day's sessions, the public was provided an opportunity to make comments or to provide questions. Recommendations and insights given during session presentations, panel debates, and the discussions that followed were documented by technical reporters and included in this report.