

JUL 27 1977

The Honorable Elmer B. Staats
Comptroller General of the United States
General Accounting Office
Washington, D. C. 20510

Dear Mr. Staats:

In accordance with section 409 of Public Law 93-153 of November 17, 1973, and 4 CFR 10.9 of the regulations of the General Accounting Office, I am enclosing for the review of GAO copies of Standard Form 83 and the supporting statement covering §§71.51, 71.62(c), and 71.63(c) of 10 CFR Part 71.

This request is for approval of §§71.51, 71.62(c) and 71.63(c) which are in final form and have been approved by the Nuclear Regulatory Commission.

Sincerely,

(Signed) J. M. Felton

J. M. Felton, Director
Division of Rules & Records
Office of Administration

Enclosures:
As stated

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Enclosure 2

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CLEARANCE REQUEST AND NOTICE OF ACTION

(Under the Federal Reports Act and Office of Management and Budget Circular No. A-40, as amended)

IMPORTANT—READ INSTRUCTIONS BEFORE COMPLETING FORM.
 Submit the required number of copies of SF-83, together with the material for which approval is requested to:

CLEARANCE OFFICER
 OFFICE OF MANAGEMENT AND BUDGET
 WASHINGTON, D.C. 20503

PART A—REQUEST BY FEDERAL AGENCY FOR CLEARANCE

*Items marked with asterisk may be omitted for preliminary plans or recordkeeping requirements

<p>1. SEND "NOTICE OF ACTION" TO: (Name and mailing address)</p> <p>Mr. Joseph M. Felton, Director Division of Rules & Records Office of Administration U. S. Nuclear Regulatory Commission Washington, D. C. 20555</p>	<p>2. BUREAU AND DIVISION OR OFFICE ORIGINATING REQUEST</p> <p align="center">Office of Standards Development</p> <p>3. NAME(S), TITLE(S), AND TELEPHONE NO(S), OF PERSON(S) WHO CAN BEST ANSWER QUESTIONS REGARDING REQUEST</p> <p align="center">Robert J. Doda Transportation & Product Standards Branch, OSD (443-6910)</p>
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<p>4. TITLE OF FORM OR DOCUMENT SUBMITTED</p> <p align="center">10 CFR 71.51, 71.62(c), 71.63(c)</p> <p>6. TYPE OF FORM OR DOCUMENT</p> <p>1 <input type="checkbox"/> Application 2 <input type="checkbox"/> Program evaluation 3 <input checked="" type="checkbox"/> Other management report 4 <input type="checkbox"/> Statistical survey or report 5 <input checked="" type="checkbox"/> Record-keeping requirement 6 <input type="checkbox"/> Other Specify</p> <p>7. CURRENT (or former) OMB CLEARANCE NUMBER</p> <p>EXPIRATION DATE: _____</p> <p>8. REQUESTED EXPIRATION DATE</p> <p align="center">August 31, 1980</p> <p>9. TYPE OF REQUEST</p> <p>1 <input checked="" type="checkbox"/> New 2 <input type="checkbox"/> Revision 3 <input type="checkbox"/> Extension (No change) 4 <input type="checkbox"/> Reinstatement 5 <input type="checkbox"/> Preliminary plan or contract</p> <p>10. FREQUENCY OF USE</p> <p>1 <input checked="" type="checkbox"/> Single time 2 <input checked="" type="checkbox"/> On occasion 3 <input type="checkbox"/> Weekly 4 <input type="checkbox"/> Monthly 5 <input type="checkbox"/> Quarterly 6 <input type="checkbox"/> Semi-annually 7 <input type="checkbox"/> Annually 8 <input type="checkbox"/> Other (see instructions)</p> <p>11. RELATED FORMS OR DOCUMENTS (Give OMB Number. Enclose in parentheses any to be replaced.)</p> <p align="center">RO056</p> <p>12. CATALOG OF FEDERAL DOMESTIC ASSISTANCE PROGRAM NUMBER</p> <p align="center">---</p>	<p>5. AGENCY FORM NUMBER(S)</p> <p align="center">---</p>
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<p>*13A. COLLECTION METHOD (Check as many as apply)</p> <p>1 <input checked="" type="checkbox"/> Mail 2 <input type="checkbox"/> Personal interview 3 <input type="checkbox"/> Other—Describe</p> <p>14A. TYPE OF RESPONDENTS (Check predominant one)</p> <p>1 <input type="checkbox"/> Individuals or households 2 <input checked="" type="checkbox"/> Business firms (non-farm) 3 <input type="checkbox"/> Farms 4 <input type="checkbox"/> Government agencies 5 <input type="checkbox"/> Other—Describe</p> <p>*15A. ESTIMATED NUMBER OF RESPONDENTS</p> <p align="center">2,020</p> <p>15B. APPROXIMATE NUMBER IN UNIVERSE (If sample)</p> <p align="center">SEE SUPPORTING STATEMENTS</p> <p>15D. TOTAL ANNUAL RESPONSES (Item 15A x 15C)</p> <p align="center">SEE SUPPORTING STATEMENT</p> <p>*16A. IS REPORT FORM:</p> <p>1 <input type="checkbox"/> Voluntary? 2 <input checked="" type="checkbox"/> Required to obtain benefits? 3 <input type="checkbox"/> Mandatory?—Cite statute</p>	<p>*13B. COLLECTED BY—</p> <p>4 <input checked="" type="checkbox"/> Agency 5 <input type="checkbox"/> Contractor 6 <input type="checkbox"/> Other—Describe</p> <p>14B. BRIEF DESCRIPTION OF RESPONDENTS (i.e., "households in 50 largest SMSA's," "retail grocery stores")</p> <p align="center">NRC Licensees</p> <p>15C. REPORTS FILED ANNUALLY BY EACH RESPONDENT (Item 10)</p> <p align="center">SEE SUPPORTING STATEMENT</p> <p>15E. ESTIMATED AVERAGE NUMBER OF HOURS REQUIRED PER RESPONSE</p> <p align="center">SEE SUPPORTING STATEMENT</p> <p>15F. ESTIMATED TOTAL HOURS OF RESPONDENT BURDEN (Item 15D x 15E)</p> <p align="center">93,003</p> <p>16B. DOES YOUR AGENCY PLEDGE CONFIDENTIALITY?</p> <p align="center">1 <input type="checkbox"/> YES 2 <input checked="" type="checkbox"/> NO</p>
<p>17. In developing the report form or other documents, were consultations held with individuals or organizations outside your own agency?</p> <p align="center">1 <input checked="" type="checkbox"/> YES—Identify persons and describe outcome in SUPPORTING STATEMENT. (See instructions) 2 <input type="checkbox"/> NO</p>	

CERTIFICATION BY AUTHORIZED OFFICIALS SUBMITTING REQUEST—We certify that the form or other document submitted for approval is necessary for the proper performance of the agency's functions, that the proposed data collection represents the minimum burden on respondents consistent with the need for information, that the information collected is not available from any other source, to the best of our knowledge, that the collection instrument contains no burden identifiers, that the request complies with requirements of the Freedom of Information Act and the Privacy Act of 1974, and is consistent with applicable O.M.B. and agency policy directives. Signature and title of:

<p>APPROVING OFFICIAL FOR AGENCY</p> <p align="center">J. M. Felton</p>	<p>DATE</p> <p align="center">7/21/77</p>	<p>AGENCY CLEARANCE OFFICER OR OTHER AGENCY OFFICIAL</p> <p align="center">G. L. Hutton</p>	<p>DATE</p> <p align="center">7-26-77</p>
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STANDARD FORM 83 (Rev. 6-76)
 Prescribed by Office of Management and Budget Circular A-40

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SUPPORTING STATEMENT

FOR

10. CFR. 71.51, 71.62(c), 71.63(c)

1. Justification.

- (i) NRC regulations in 10 CFR Part 71 establish requirements for transportation and preparation for shipment of licensed material, and prescribe procedures, standards, quality assurance programs, and requirements for approval by NRC of packaging and shipping procedures for fissile material and for quantities of licensed material in excess of type A quantities.

Section 71.51 requires a licensee to file a description of the general quality assurance program which he applies to packages for the shipment of radioactive material. This general quality assurance program includes and satisfies the applicable criteria contained in Appendix E to 10 CFR Part 71.

Section 71.62(c) requires the licensee to maintain, for the life of the packaging to which they pertain, quality assurance records which furnish documentary evidence of the quality of the packaging.

Section 71.63(c) requires that the licensee notify the Director of Inspection and Enforcement before fabrication of a package to be used for the shipment of radioactive material which has decay heat loads or operating pressure in excess of specified values.

- (ii) Section 71.51. This information is required to determine the adequacy of the general quality assurance program under which a transportation package is designed, manufactured, tested, used, maintained and modified. The information is used to provide a basis for a safety evaluation of the packaging and for issuing approvals for each proposed packaging design and method of transport. Without this information, the Commission would be unable to determine the adequacy of the general quality assurance program for transportation packages. In addition, if a general quality assurance program were not approved, the Commission would be required to evaluate the safety-related characteristics of each packaging on a case-by-case basis.

Section 71.62(c). These records are required in order to furnish documentary evidence of the quality of the packaging and of the components of the packaging which have safety significance. The records are subject to inspection by Commission personnel, and must be maintained for the life of the packaging to which

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they pertain. Without this information, the Commission would be unable to inspect a licensee for conformance to the quality assurance program (which had been approved by the Commission for the particular package under consideration). All licensees maintain some records concerning the quality of their transportation packages and methods of transport. This section would produce a uniformity of and completeness of quality assurance provisions for transportation packages and activities.

Section 71.63(c). This information is required to furnish the Commission with advance notification before fabrication of packages having decay heat loads or operating pressures in excess of specified values. The information would facilitate communication between the licensee and the Commission to resolve any differences in the adequacy of the safety aspects of the packaging before significant expenditures were committed to such packaging. Without this notice the Commission would be unable to inspect the critical manufacturing aspects of the transportation packages which are most significant with respect to safety.

- (iii) The information to be recorded or furnished to the Commission is available only to the particular licensees involved and is not otherwise available to the NRC or other agencies.

2. Description of Survey Plan.

Section 71.51. This is a one-time reporting requirement whereby a licensee is required to have a general quality assurance program based on the criteria contained in Appendix E to 10 CFR Part 71. This is a new requirement where the pertinent criteria of Appendix E should be applied to an extent consistent with their importance to safety.

Section 71.62(c). These quality assurance records are to be maintained for the life of the packaging to which they pertain. The details required in these records are judged to be necessary for an NRC inspector to verify compliance with the licensee's approved quality assurance program. The information is required to be maintained on file for inspection. The regulation does not specify how the information is to be collected by the licensee for inclusion in his files; he is free to choose the most efficient method, which may include standardized reporting forms.

Section 71.63(c). NRC staff considers packages covered under this section (those having a decay heat load in excess of 5 kW or those with an operating pressure in excess of 15 psig) to be of sufficient significance with respect to safety so as to require notification prior to fabrication. This will facilitate resolving problems with the adequacy of package safety prior to fabrication and will provide for planned inspections during fabrication.

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3. Tabulation and Publication Plans.

There are no plans to publish the information received by the NRC or recorded by the licensee pursuant to 10 CFR Part 71.

4. Time Schedule for Data Collection and Publication.

Not applicable.

5. Consultations Outside the Agency.

Section 71.51. No persons outside NRC were consulted and cost estimates were made by the NRC staff. Licensees were advised of the reporting requirement and given the opportunity to comment on it by publication in the Federal Register.

Section 71.62(c). No persons outside of NRC were consulted. Since all transportation licensees maintain controls and records to varying degrees on their transportation packaging activities, this requirement is not expected to present implementation difficulties to licensees. None of the comments received on the proposed rule which was published in the Federal Register on December 28, 1973 objected to the record-keeping provisions of this proposed section.

Section 71.63(c). Since the costs, both to the licensees and to NRC, of implementing this reporting requirement are small, no persons outside of NRC were consulted. The estimates were made jointly by standards and inspection staff. Persons were advised of the reporting requirement, by publication of a notice in the Federal Register, and given the opportunity to comment on it.

6. Estimations of Compliance Burden.

Section 71.51. Approximately 2,000 licensees are expected to file a description of their general quality assurance program under this section. Each description takes an estimated 40 hours each for a total of 80,000 man-hours. Approximately 20 licensees, using large packages, are expected to file a description of their quality assurance programs which take an estimated 100 man-hours each for a total of 2,000 man-hours. The overall licensee burden is 82,000 man-hours. This is a one-time requirement for each licensee. Furthermore, if a quality assurance program under 10 CFR Part 50 is in effect, the licensee need only indicate that he will apply that program to transport packaging.

Section 71.62(c). Approximately 1,500 licensees will maintain records under this section covering packaging for an estimated 3,000 large shipments and 80,000 small shipments each year. The records on large packages require an estimated 3,000 man-hours per year and the

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records on small packages require an estimated 8,000 man-hours per year, for a total of 11,000 man-hours per year.

Section 71.63(c). An estimated 6 licensees are expected to file reports under this section; each report is expected to require about 30 minutes to prepare for a total burden of about 3 man-hours per year.

Total. Based upon the above, the total man-power burden for the reporting and record keeping requirements for §§71.51, 71.62(c), and 71.63(c) is approximately 93,003 man-hours per year.

7. Estimate of Cost to the Federal Government.

NRC review of the quality assurance programs under §71.51 requires a total of 41,600 man-hours. NRC inspection activities of records maintained under §71.62(c) require 1,000 man-hours. NRC staff under §71.63(c) is about 3 man-hours.

8. Confidentiality of Information.

Release of the information obtained pursuant to the reporting and record keeping requirements of §§10 CFR 71.51, 71.62(c), and 71.63(c) is subject to the provisions of the NRC's regulation 10 CFR Part 9.

9. Application of Federal Information Processing Standards.

The format and contents of information submitted to NRC or recorded pursuant to 10 CFR Part 71 are not applicable to FIPS.

Enclosures:

1. Notice of Rule Making, 10 CFR Part 71
2. Headnote Statement for Federal Register

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