

PI-24

AWARD/CONTRACT

1. THIS CONTRACT IS A RATED ORDER UNDER DPAS (15 CFR 350) RATING

2. CONTRACT NO. NRC-33-94-189 3. EFFECTIVE DATE 12/7/93 4. REQUISITION/PROJECT NO. IRM-94-189

5. ISSUED BY Code: U.S. Nuclear Regulatory Commission Division of Contracts and Property Mgmt. Contract Negotiation Br. No. 1; P-1020 Washington, DC 20555 6. ADMINISTERED BY Code: (If other than Item 5) U.S. Nuclear Regulatory Commission Division of Contracts and Property Mgmt. Contract Administration No. 2; P-902 Washington, DC 20555

7. NAME AND ADDRESS OF CONTRACTOR IDC GOVERNMENT 3110 Fairview Park Drive, Suite 1100 Falls Church, Virginia 22042 Principal Investigator/Technical Contact: Alexander Metzger Telephone No: (703) 876-5055 8. DELIVERY [ ] FOB ORIGIN [X] OTHER (See below) 9. DISCOUNT FOR PROMPT PAYMENT N/A

10. SUBMIT INVOICES (4 copies unless otherwise specified) TO THE ADDRESS SHOWN IN ITEM: 6

11. SHIP TO/MARK FOR CODE N/A 12. PAYMENT WILL BE MADE BY CODE U.S. Nuclear Regulatory Commission Div. of Accounting & Finance GOV/COM Accounting Section Washington, D.C. 20555

13. AUTHORITY FOR USING OTHER THAN FULL AND OPEN COMPETITION [ ] 10 U.S.C. 2304(c) [ ] [ ] 41 U.S.C. 253(c) [ ]

14. ACCOUNTING AND APPROPRIATION DATA B & R 410-20-615-400 \$85,590 FIN E1016 APPN No. 31X0200.410 BOC 252A

15A. ITEM NO. 15B. SUPPLIES/SERVICES 15C. QUANTITY 15D. UNIT 15E. UNIT PRICE 15F. AMOUNT

See Schedule

9402280066 931207 PDR CONTR NRC-33-94-189 PDR

15G. TOTAL AMOUNT OF CONTRACT \$85,590.00

DFD 2/1

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CONTRACTING OFFICER WILL COMPLETE ITEM 17 OR 18 AS APPLICABLE

17.  CONTRACTOR'S NEGOTIATED AGREEMENT (Contractor is required to sign this document and return 2 copies to issuing office.) Contractor agrees to furnish and deliver all items or perform all the services set forth or otherwise identified above and on any continuation sheets for the consideration stated herein. The rights and obligations of the parties to this contract shall be subject to and governed by the following documents: (a) this award/contract, (b) the solicitation, if any, and (c) such provisions, representations, certifications, and specifications, as are attached or incorporated by reference herein. (Attachments are listed herein.)

18.  AWARD (Contractor is not required to sign this document.) Your offer on Solicitation Number \_\_\_\_\_, including the additions or changes made by you which additions or changes are set forth in full above, is hereby accepted as to the items listed above and on any continuation sheets. This award consummates the contract which consists of the following documents: (a) the Government's solicitation and your offer, and (b) this award/contract. No further contractual document is necessary.

19A. NAME AND TITLE OF SIGNER (Type or print) Arline Clements, V.P. Operations	20A. NAME OF CONTRACTING OFFICER Elois J. Wiggins
19B. NAME OF CONTRACTOR by <u>Arline Clements</u> (Signature of person authorized to sign)	20B. UNITED STATES OF AMERICA by <u>Elois J. Wiggins</u> (Signature of Contracting Officer)
19C. DATE SIGNED <u>12/14/93</u>	20C. DATE SIGNED <u>12/7/93</u>

EXCEPTION TO STANDARD FORM 26 (REV.4-85)

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PART I - THE SCHEDULE

SECTION B - SUPPLIES OR SERVICES AND PRICES/COSTS

B.1 PROJECT TITLE

The title of this project is as follows:

IRM RESEARCH AND ADVISORY SERVICES

[End of Clause]

B.2 BRIEF DESCRIPTION OF WORK (MAR 1987)

The contractor shall provide research and advisory services to include current information on a wide range of computer related topics, the creation of specific reports, market analysis material, hardware and software evaluations, and user access to publications.

[End of Clause]

B.3 ITEMS AND PRICES

The contractor shall provide the following subscription services: Acquisition Planning; Security Planning; Strategic Planning; Enterprise Technology; Communications Technology; Desktop Technology; and Software Technology. The firm fixed price specified below includes up to 400 hours of decision support per year.

Item No.	Supplies/Services	Quantity	Unit	Unit Price	Extended Price
1.	BASE YEAR	12	MONTH	\$7,132.50	\$85,590.00
2.	OPTION YEAR 1	12	MONTH	\$7,417.83	\$89,013.96
3.	OPTION YEAR 2	12	MONTH	\$7,714.50	\$92,574.00
4.	OPTION YEAR 3	12	MONTH	\$8,023.08	\$96,276.96

B.3 (Continued)

5.	OPTION YEAR 4	12	MONTH	\$8,344.00	\$100,128.00
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GRAND TOTAL: \$463,582.92  
[End of Clause]

B.4 CONSIDERATION AND OBLIGATION--FIRM FIXED PRICE  
(JUN 1988)

The firm fixed price of this contract is \$85,590.00.

[End of Clause]

## SECTION C - DESCRIPTION/SPECIFICATIONS/WORK STATEMENT

## C.1 SCOPE OF WORK

The contractor shall provide a suite of subscription services that incorporate, but shall not necessarily be limited to, the following subject matter areas as they relate to the Federal government:

Future planning and technology development;

Market trends in technology and its impact on NRC;

Organizational dynamics, alignment, staffing, and development;

External liaison with oversight organizations;

Budget, resource allocation, and prioritization issues;

Anticipated product announcements in microcomputing and communications;

Positions on the issues and strategic planning assumptions that can be integrated into strategic and tactical plans;

Federal Acquisition Regulation analyses;

Analyses of OMB objectives, and congressional decisions;

Computer security plans/laws and security protection products;

Evaluations and recommendations of computer technology;

Application software development and maintenance trends including CASE tools, DBMS, data administration, open systems, etc.;

Management of data centers, distributed systems, including multivendor environments.

The contractor shall provide the following services relating to the subject matter areas identified above:

## A. TELEPHONE INQUIRY SERVICE

The contractor shall provide three points of contact for each major subject matter area, as identified above, for telephone inquiry service. The contractor shall respond to a broad range of computer related inquiries. The contractor shall respond to

(Continued)

inquiries made by telephone (or fax) and, if necessary, provide access to a Research Analyst regarding the above subject matter areas.

B. ACCESS TO RESEARCH MATERIAL

The contractor shall provide access to timely research information. The contractor shall provide copies of research material, as requested.

C. TECHNICAL REPORTS

The contractor shall provide written reports on the latest computer technology including periodic research notes, strategic analyses, and strategic planning reports. The following are examples of subject matter areas in which publications or reports may be required:

Federal Technology Standards (POSIX, GOSIP);

Microcomputer Hardware/Software;

Computer Security;

Office Systems/Workstations;

System Configuration;

UNIX;

Relational Database Management Systems;

Artificial Intelligence;

SQL, 4GL;

Electronic Mail;

PC LANs;

Graphics;

Communications;

Networks/Protocols/LANs;

Information on GSA multiple award schedules and other Federal Agency contracts.

D. CONFERENCES/BRIEFINGS

(Continued)

The contractor shall provide access to contractor conferences and briefings held throughout the year. The conferences and briefings shall address current computer related issues including those identified above. Additionally, the contractor shall provide two personal briefings per year on the subject matter areas identified above.

The personal briefings shall be held at a specified location and shall consist of an exchange and sharing of information with a group of government employees to be identified at a later date. The contractor may be required to provide follow-up responses to inquiries resulting from these personal briefings.

## C.2 ACCEPTANCE CRITERIA FOR DELIVERABLES

Research materials, technical reports/publications, and responses to inquiries must be technically accurate, complete, and contain the most current information available. Responses to inquiries shall be carefully scrutinized to ensure that the advice/assistance is factually correct and complete. Written responses to inquiries shall be typed.

In the event the contractor does not provide satisfactory information in a deliverable item (i.e., information provided is incomplete/inaccurate), the contractor shall respond to the original request with additional information and or analyses, as required, to satisfy the request. Any changes to the original deliverable that are determined to be necessary as a result of a failure by the contractor to satisfactorily respond to a request shall be provided without expense to the Government.

When it is determined that information/material is inaccurate/incomplete, the NRC Project Officer shall provide the contractor with a written description of the deficiencies in the deliverable item and shall establish a new schedule for delivery of the material/analyses.

The contractor shall be responsible for requesting that written inquiries be provided when an inquiry is considered vague and or ambiguous.

## C.3 SCHEDULE FOR PERFORMANCE AND DELIVERY

### A. TELEPHONE INQUIRIES

The contractor's response to telephone inquiries shall be provided within one calendar week or less of the date of the request. The length of time for the response shall depend on the complexity of the topic. If a response will take longer than one calendar week, the government shall be promptly notified of the delay, and provided with a revised schedule.

(Continued)

B. RESEARCH MATERIALS

The contractor shall provide copies of requested research material within one calendar week or less of the date of the request.

C. TECHNICAL REPORTS

The contractor shall provide two copies of written technical publications/reports within one calendar week or less of the date of the request. All publications/reports shall be mailed to the Project Officer.

D. CONFERENCES/BRIEFINGS

The contractor shall provide notification of an upcoming conference or briefing at least two months in advance. The contractor shall not be responsible for travel expenses of government employees.

The contractor shall provide two personal briefings per year on a specific computer related issue. The contractor shall be given a minimum of two months notice to brief a group of NRC executives (approximately 10) or a large group of support staff (approximately 50) to discuss critical information technology issues.

[End of Clause]



## SECTION D - PACKAGING AND MARKING

## D.1 PACKAGING AND MARKING (MAR 1987)

The Contractor shall package material for shipment to the NRC in such a manner that will ensure acceptance by common carrier and safe delivery at destination. Containers and closures shall comply with the Interstate Commerce Commission Regulations, Uniform Freight Classification Rules, or regulations of other carriers as applicable to the mode of transportation. On the front of the package, the Contractor shall clearly identify the contract number under which the product is being provided.

[End of Clause]

## SECTION E - INSPECTION AND ACCEPTANCE

## E.1 52.252-2 CLAUSES INCORPORATED BY REFERENCE (JUN 1988)

This contract incorporates one or more clauses by reference, with the same force and effect as if they were given in full text. Upon request, the Contracting Officer will make their full text available.

## I. FEDERAL ACQUISITION REGULATION (48 CFR CHAPTER 1) CLAUSES

NUMBER	TITLE	DATE
<del>52.246-4</del>	<del>INSPECTION OF SERVICES - FIXED-PRICE</del>	<del>FEB 1992</del>

[End of Clause]

## E.2 PLACE OF INSPECTION AND ACCEPTANCE (MAR 1987)

Inspection and acceptance of the deliverable items to be furnished hereunder shall be made by the Project Officer at the destination.

[End of Clause]

## SECTION F - DELIVERIES OR PERFORMANCE

## F.1 52.252-2 CLAUSES INCORPORATED BY REFERENCE (JUN 1988)

This contract incorporates one or more clauses by reference, with the same force and effect as if they were given in full text. Upon request, the Contracting Officer will make their full text available.

## I. FEDERAL ACQUISITION REGULATION (48 CFR CHAPTER 1) CLAUSES

NUMBER	TITLE	DATE
52.212-13	STOP-WORK ORDER	AUG 1989

[End of Clause]

## F.2 NRCAR 2052.212-70 PREPARATION OF TECHNICAL REPORTS (JAN 1993)

All technical reports required by Section C and all Technical Progress Reports required by Section F are to be prepared in accordance with the attached Management Directive 3.8, "Unclassified Contractor and Grantee Publications in the NUREG Series." Management Directive 3.8 is not applicable to any Contractor Spending Plan (CSP) and any Financial Status Report that may be included in this contract. (See Section J for List of Attachments).

[End of Clause]

## F.3 NRCAR 2052.212-71 TECHNICAL PROGRESS REPORT

The contractor shall provide a monthly Technical Progress Report to the project officer and the contracting officer. The report is due within 15 calendar days after the end of the report period and must identify the title of the project, the contract number, Financial Identification Number (FIN), project manager and/or principal investigator, the contract period of performance, and the period covered by the report. Each report must include the following for each discrete task/task order:

- (a) A listing of the efforts completed during the period, and number of decision support hours expended during the period;
- (b) Any problems or delays encountered or anticipated and recommendations for resolution. If the recommended resolution involves a contract modification, e.g., change in work requirements, level of effort (cost) or schedule delay, the

F.3 (Continued)

contractor shall submit a separate letter to the contracting officer identifying the required change and estimated cost impact.

- (c) A summary of progress to date; and
- (d) Plans for the next reporting period.

[End of Clause]

F.4 PLACE OF DELIVERY--REPORTS (JUN 1988)

The items to be furnished hereunder shall be delivered, with all charges paid by the Contractor, to:

- (a) Project Officer (1 copies)

U.S. NUCLEAR REGULATORY COMMISSION  
OFFICE OF INFORMATION RESOURCES MANAGEMENT  
7735 OLD GEORGETOWN ROAD  
MAIL STOP MNBB-4100  
BETHESDA, MARYLAND 20814

- (b) Contracting Officer (1 copy)

[End of Clause]

F.5 DURATION OF CONTRACT PERIOD (MAR 1987)  
ALTERNATE 2 (MAR 1987)

This contract shall commence on 12/7/93 and will expire on 12/6/94. The term of this contract may be extended at the option of the Government for an additional 4 YEARS.

[End of Clause]

SECTION G - CONTRACT ADMINISTRATION DATA

G.1 NRCAR 2052.215-72 PROJECT OFFICER AUTHORITY  
ALTERNATE 1 (JAN 1993)

- (a) The contracting officer's authorized representative, hereinafter referred to as the project officer for this contract is:

Name: LOUISE WOLFE

Address: U.S. NUCLEAR REGULATORY COMMISSION  
OFFICE OF INFORMATION RESOURCES MANAGEMENT  
MAIL STOP MNBB-4100  
BETHESDA, MARYLAND 20814

Telephone Number: (301) 492-4947

- (b) The project officer shall:

- (1) Monitor contractor performance and recommend to the contracting officer changes in requirements.
- (2) Inspect and accept products/services provided under the contract.
- (3) Review all contractor invoices/vouchers requesting payment for products/services provided under the contract and make recommendations for approval, disapproval, or suspension.

- (c) The project officer may not make changes to the express terms and conditions of this contract.

[End of Clause]

SECTION H - SPECIAL CONTRACT REQUIREMENTS

H.1 GOVERNMENT FURNISHED EQUIPMENT/PROPERTY - NONE PROVIDED  
(JUN 1988)

The Government will not provide any equipment/property under this contract.

[End of Clause]



## PART II - CONTRACT CLAUSES

## SECTION I - CONTRACT CLAUSES

## I.1 52.252-2 CLAUSES INCORPORATED BY REFERENCE (JUN 1988)

This contract incorporates one or more clauses by reference, with the same force and effect as if they were given in full text. Upon request, the Contracting Officer will make their full text available.

## I. FEDERAL ACQUISITION REGULATION (48 CFR CHAPTER 1) CLAUSES

NUMBER	TITLE	DATE
52.202-1	DEFINITIONS	SEP 1991
52.203-1	OFFICIALS NOT TO BENEFIT	APR 1984
52.203-3	GRATUITIES	APR 1984
52.203-5	COVENANT AGAINST CONTINGENT FEES	APR 1984
52.203-6	RESTRICTIONS ON SUBCONTRACTOR SALES TO THE GOVERNMENT	JUL 1985
52.203-7	ANTI-KICKBACK PROCEDURES	OCT 1988
52.203-10	PRICE OR FEE ADJUSTMENT FOR ILLEGAL OR IMPROPER ACTIVITY	SEP 1990
52.203-12	LIMITATION ON PAYMENTS TO INFLUENCE CERTAIN FEDERAL TRANSACTIONS	JAN 1990
52.209-6	PROTECTING THE GOVERNMENT'S INTEREST WHEN SUBCONTRACTING WITH CONTRACTORS DEBARRED, SUSPENDED, OR PROPOSED FOR DEBARMENT	NOV 1992
52.215-1	EXAMINATION OF RECORDS BY COMPTROLLER GENERAL	FEB 1993
52.215-2	AUDIT - NEGOTIATION	FEB 1993
52.215-22	PRICE REDUCTION FOR DEFECTIVE COST OR PRICING DATA	JAN 1991
52.215-24	SUBCONTRACTOR COST OR PRICING DATA	DEC 1991
52.215-27	TERMINATION OF DEFINED BENEFIT PENSION PLANS	SEP 1989
52.215-33	ORDER OF PRECEDENCE	JAN 1986
52.215-39	REVERSION OR ADJUSTMENT OF PLANS FOR POSTRETIREMENT BENEFITS OTHER THAN PENSIONS (PRB)	JUL 1991
52.217-1	LIMITATION OF PRICE AND CONTRACTOR OBLIGATIONS	APR 1984
52.217-2	CANCELLATION OF ITEMS Alternate I (APR 1984)	APR 1984

## I.1 (Continued)

NUMBER	TITLE	DATE
52.219-8	UTILIZATION OF SMALL BUSINESS CONCERNS AND SMALL DISADVANTAGED BUSINESS CONCERNS	FEB 1990
52.219-13	UTILIZATION OF WOMEN-OWNED SMALL BUSINESSES	AUG 1986
52.220-3	UTILIZATION OF LABOR SURPLUS AREA CONCERNS	APR 1984
52.222-3	CONVICT LABOR	APR 1984
52.222-26	EQUAL OPPORTUNITY	APR 1984
52.222-35	AFFIRMATIVE ACTION FOR SPECIAL DISABLED AND VIETNAM ERA VETERANS	APR 1984
52.222-36	AFFIRMATIVE ACTION FOR HANDICAPPED WORKERS	APR 1984
52.222-37	EMPLOYMENT REPORTS ON SPECIAL DISABLED VETERANS AND VETERANS OF THE VIETNAM ERA	JAN 1988
52.223-2	CLEAN AIR AND WATER	APR 1984
52.223-6	DRUG-FREE WORKPLACE	JUL 1990
52.225-11	RESTRICTIONS ON CERTAIN FOREIGN PURCHASES	MAY 1992
52.227-1	AUTHORIZATION AND CONSENT	APR 1984
52.227-2	NOTICE AND ASSISTANCE REGARDING PATENT AND COPYRIGHT INFRINGEMENT	APR 1984
52.229-3	FEDERAL, STATE, AND LOCAL TAXES	JAN 1991
52.229-5	TAXES - CONTRACTS PERFORMED IN U.S. POSSESSIONS OR PUERTO RICO	APR 1984
52.232-1	PAYMENTS	APR 1984
52.232-8	DISCOUNTS FOR PROMPT PAYMENT	APR 1989
52.232-11	EXTRA	APR 1984
52.232-17	INT'L B.F.	JAN 1991
52.232-23	ASSIGNMENT OF CLAIMS	JAN 1986
52.232-25	PROM. PAYMENT	SEP 1992
52.232-28	ELECT. ONIC FUNDS TRANSFER PAYMENT METHODS	APR 1989
52.233-1	DISPUTES	DEC 1991
52.233-3	PROTEST AFTER AWARD	AUG 1989
52.242-13	BANKRUPTCY	APR 1991
52.243-1	CHANGES - FIXED-PRICE Alternates III (APR 1984)	AUG 1987
52.244-5	COMPETITION IN SUBCONTRACTING	APR 1984
52.249-2	TERMINATION FOR CONVENIENCE OF THE GOVERNMENT (FIXED-PRICE)	APR 1984
52.249-8	DEFAULT (FIXED-PRICE SUPPLY AND SERVICE)	APR 1984
52.251-1	GOVERNMENT SUPPLY SOURCES	APR 1984
52.253-1	COMPUTER GENERATED FORMS	JAN 1991

## I.1 (Continued)

NUMBER	TITLE	DATE
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[End of Clause]

## I.2 52.203-9 REQUIREMENT FOR CERTIFICATE OF PROCUREMENT INTEGRITY--MODIFICATION (NOV 1990)

- (a) Definitions. The definitions set forth in FAR 3.104-4 are hereby incorporated in this clause.
- (b) The Contractor agrees that it will execute the certification set forth in paragraph (c) of this clause when requested by the Contracting Officer in connection with the execution of any modification of this contract.
- (c) Certification. As required in paragraph (b) of this clause, the officer or employee responsible for the modification proposal shall execute the following certification:

CERTIFICATE OF PROCUREMENT INTEGRITY--  
MODIFICATION (NOV 1990)

(1) I, [Name of certifier] \_\_\_\_\_, am the officer or employee responsible for the preparation of this modification proposal and hereby certify that, to the best of my knowledge and belief, with the exception of any information described in this certification, I have no information concerning a violation or possible violation of subsection 27(a), (b), (d), or (f) of the Office of Federal Procurement Policy Act, as amended\* (41 U.S.C. 423), (hereinafter referred to as "the Act"), as implemented in the FAR, occurring during the conduct of this procurement (contract and modification number).

(2) As required by subsection 27(e)(1)(B) of the Act, I further certify that to the best of my knowledge and belief, each officer, employee, agent, representative, and consultant of [Name of Offeror] \_\_\_\_\_ who has participated personally and substantially in the preparation or submission of this proposal has certified that he or she is familiar with, and will comply with, the requirements of subsection 27(a) of the Act, as implemented in the FAR, and will report immediately to me any information concerning a violation or possible violation of subsections 27(a), (b), (d), or (f) of the Act, as implemented in the FAR, pertaining to this procurement.

(3) Violations or possible violations: (Continue on plain bond paper if necessary and label Certificate of Procurement

I.2 (Continued)

Integrity--Modification (Continuation Sheet), ENTER NONE IF NONE EXISTS)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

[Signature of the officer or employee responsible for the modification proposal and date]

[Typed name of the officer or employee responsible for the modification proposal]

\* Subsections 27(a), (b), and (d) are effective on December 1, 1990. Subsection 27(f) is effective on June 1, 1991.

THIS CERTIFICATION CONCERNS A MATTER WITHIN THE JURISDICTION OF AN AGENCY OF THE UNITED STATES AND THE MAKING OF A FALSE, FICTITIOUS, OR FRAUDULENT CERTIFICATION MAY RENDER THE MAKER SUBJECT TO PROSECUTION UNDER TITLE 18, UNITED STATES CODE, SECTION 1001.

- (d) In making the certification in paragraph (2) of the certificate, the officer or employee of the competing Contractor responsible for the offer or bid, may rely upon a one-time certification from each individual required to submit a certification to the competing Contractor, supplemented by periodic training. These certifications shall be obtained at the earliest possible date after an individual required to certify begins employment or association with the contractor. If a contractor decides to rely on a certification executed prior to the suspension of section 27 (i.e., prior to December 1, 1989), the Contractor shall ensure that an individual who has so certified is notified that section 27 has been reinstated. These certifications shall be maintained by the Contractor for a period of 6 years from the date a certifying employee's employment with the company ends or, for an agency, representative, or consultant, 6 years from the date such individual ceases to act on behalf of the contractor.
- (e) The certification required by paragraph (c) of this clause is a material representation of fact upon which reliance will be placed in executing this modification.

[End of Clause]

I.3 52.217-9 OPTION TO EXTEND THE TERM OF THE  
CONTRACT (MAR 1989)

- (a) The Government may extend the term of this contract by written notice to the Contractor within 60 DAYS; provided, that the Government shall give the Contractor a preliminary written notice of its intent to extend at least 60 days before the contract expires. The preliminary notice does not commit the Government to an extension.
- (b) If the Government exercises this option, the extended contract shall be considered to include this option provision.
- (c) The total duration of this contract, including the exercise of any options under this clause, shall not exceed 5 YEARS.

[End of Clause]

PART III - LIST OF DOCUMENTS, EXHIBITS AND OTHER ATTACHMENTS

SECTION J - LIST OF ATTACHMENTS

J.1 ATTACHMENTS (MAR 1987)

<u>Attachment Number</u>	<u>Title</u>
1	Billing Instructions
2	NRC Handbook 3.8



12/17/91

BILLING INSTRUCTIONS FOR  
FIXED PRICE CONTRACTS

General: The contractor shall prepare vouchers or invoices as prescribed herein. FAILURE TO SUBMIT VOUCHERS/INVOICES IN ACCORDANCE WITH THESE INSTRUCTIONS WILL RESULT IN REJECTION OF THE VOUCHER/INVOICES AS IMPROPER.

Form: Claims shall be submitted on the payee's letterhead, voucher/invoices, or on the Government's Standard Form 1034, "Public Voucher for Purchases and Services Other than Personal," and Standard Form 1035, "Public Voucher for Purchases Other than Personal--Continuation Sheet." These forms are available from the US Government Printing Office, 710 North Capitol Street, Washington, DC 20401.

Number of Copies: An original and three copies shall be submitted. Failure to submit all the required copies will result in rejection of the voucher/invoice as improper.

Designated Agency Billing Office: Vouchers/invoices shall be submitted to the following address:

US Nuclear Regulatory Commission  
Division of Contracts and Property Management  
Contract Administration Branch, P-902  
Washington, DC 20555

HAND-DELIVERY OF VOUCHERS/INVOICES IS DISCOURAGED AND WILL NOT EXPEDITE PROCESSING BY THE NRC. However, should you choose to deliver vouchers/invoices by hand, including delivery by any express mail service or special delivery service which uses a courier or other person to deliver the vouchers/invoices in person to the NRC, such vouchers/invoices must be addressed to the above Designated Agency Billing Office and will only be accepted at the following location.

US Nuclear Regulatory Commission  
One White Flint North - Mail Room  
11555 Rockville Pike  
Rockville, MD 20852

HAND-CARRIED SUBMISSIONS WILL NOT BE ACCEPTED AT OTHER THAN THE ABOVE ADDRESS

Note that the official receipt date for hand-delivered vouchers/invoices will be the date it is received by the official agency billing office in the Division of Contracts and Property Management.

Agency Payment Office: Payment will continue to be made by the office designated in the contract in Block 13 of the Standard Form 26 or Block 25 of the Standard Form 33, whichever is applicable.

Frequency: The contractor shall submit a voucher or invoice only after the NRC's final acceptance of services rendered or products delivered in performance of the contract unless otherwise specified in the contract.

Preparation and Itemization of the Voucher/Invoice: The voucher/invoice shall be prepared in ink or by typewriter (without strikeouts). Corrections or erasures must be initialed. To be considered a proper voucher/invoice, all of the following elements must be included:

1. Contract number
2. Sequential voucher/invoice number
3. Date of voucher/invoice
4. Project Officer's name and mail stop as designated in the contract.
5. Payee's name and address. (Show the name of the contractor and its correct address. In addition, when an assignment of funds has been made by the contractor, or a different payee has been designated, include the name and address of the payee.) Indicate the name and telephone number of the individual responsible for answering questions which the NRC may have regarding the voucher/invoice.
6. Description of articles or services, quantity, unit price, and total amount.
7. Weight and zone of shipment, if shipped by parcel post.
8. Charges for freight or express shipments. Attached prepaid bill if shipped by freight or express.
9. Instructions to consignee to notify the Contracting Officer of receipt of shipment.
10. For Indefinite Delivery contracts or contracts under which progress payments are authorized, the final voucher/invoice shall be marked "FINAL VOUCHER" or "FINAL INVOICE."

Currency: Billings may be expressed in the currency normally used by the contractor in maintaining his accounting records and payments will be made in that currency. However, the U.S. dollar equivalent for all vouchers/invoices paid under the contract may not exceed the total US dollars authorized in the contract.

Supersession: These instructions supersede any previous billing instructions.

# ***Unclassified Contractor and Grantee Publications in the NUREG Series***

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***Directive***

*(Formerly  
MC 3202)* **3.8**

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# U. S. Nuclear Regulatory Commission

Volume: 3 Information Management

Part 1: Publications, Mail, and Information  
Disclosure

ADM

## Unclassified Contractor and Grantee Publications in the NUREG Series Directive 3.8

### Policy

(3.8-01)

This directive and handbook govern the publishing of (1) unclassified NRC contractor, consultant or grantee formal reports, books, and international agreement reports, in the NUREG/CR, NUREG/GR, and NUREG/IA series; (2) reports and books by contractors of the U.S. Department of Energy (DOE); and (3) publications prepared for NRC under memoranda of understanding and interagency agreements.

### Objectives

(3.8-02)

- To ensure the production and dissemination of information and publications as required by the Energy Reorganization Act of 1974 and the Freedom of Information Act. (a)
- To ensure the technical and management reviews of formal reports and books prior to publication. (b)
- To ensure that national security, patent rights, copyrights, proprietary rights, and rights in other sensitive unclassified information, including those specified in interagency and international agreements and memoranda of understanding, are not compromised by the release or publication of information by NRC. (c)
- To ensure that all unclassified NRC contractor or grantee publications in the NUREG series carry the registered Government identification NUREG/CR-0000, NUREG/GR-0000, or NUREG/IA-0000, with the exception of some publications

## Objectives

(3.8-02) (continued)

- prepared by grantees, and indicate the availability of source material used in these publications. (d)
- To ensure that NRC-sponsored book manuscripts receive proper peer review from experts within and outside NRC. (e)
- To provide uniform procedures for publishing formal reports and books prepared by NRC contractors or grantees. (f)

## Organizational Responsibilities and Delegations of Authority

(3.8-03)

### Executive Director for Operations (EDO)

(031)

Delegates to the Deputy Executive Directors for Operation decisionmaking authority for the resolution of differences between NRC and contractors about the contents of publications, about granting contractors permission to publish NRC-sponsored information in the open literature, and about permitting contractors to issue press or other media releases concerning NRC-sponsored information.

### Deputy Executive Director for Nuclear Reactor Regulation, Regional Operations and Research

(032)

As delegated from the EDO, makes final decisions in the following areas for the Office of Nuclear Reactor Regulation, Office of Nuclear Regulatory Research, and Regional Offices:

- When an Office Director refuses to publish an NRC-sponsored document because of irreconcilable differences between themselves and the author(s) about the contents of the document. (a)
- When an Office Director refuses to permit a contractor's principal investigator to publish NRC-sponsored information in the open literature. (b)



**Deputy Executive Director for  
Nuclear Reactor Regulation,  
Regional Operations and Research**  
(032) (continued)

- When an Office Director refuses to permit a contractor to issue a press or other media release about an NRC-sponsored publication. (c)

**Deputy Executive Director for  
Nuclear Materials Safety, Safeguards,  
and Operations Support**  
(033)

As delegated from the EDO, makes final decisions in the following areas for the offices reporting to this official:

- When an Office Director refuses to publish an NRC-sponsored document because of irreconcilable differences between themselves and the author(s) about the contents of the document. (a)
- When an Office Director refuses to permit a contractor's principal investigator to publish NRC-sponsored information in the open literature. (b)
- When an Office Director refuses to permit a contractor to issue a press or other media release about an NRC-sponsored publication. (c)

**Directors of Offices**  
(034)

- Ensure that publications will be reviewed in draft prior to final printing and distribution for acceptability by determining that they are consistent with agency policy, management decisions, and that they raise no significant legal issues. (a)
- Ensure that statements of work include statements requiring contractor\* compliance with this directive and handbook and Government Printing and Binding Regulations. (b)

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\*"Contract" in this context encompasses the "Standard Order for DOE Work" (NRC Form 173), interagency and international agreements, and grants.

**Unclassified Contractor and Grantee  
Publications in the NUREG Series  
Part 1 – Publications, Mail, and Information Disclosure  
Directive 3.8**

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**Directors of Offices  
(034) (continued)**

- Sign, or delegate signature authority for, the NRC Form 426A, "Release to Publish Unclassified NRC Contractor, Consultant, or Conference Proceedings Reports," and for memoranda requesting reprints of contractor publications. (c)

**Director, Office of Administration (ADM)  
(035)**

As delegated from the Deputy Executive Director for Nuclear Materials Safety, Safeguards, and Operations Support, administers NRC's programs and policies for publishing unclassified contractor and grantee reports and books in the NUREG series.

**Director, Division of Freedom of  
Information and Publications  
Services, ADM  
(036)**

- Develops and administers, as delegated from the Director, ADM, NRC's program and policies for publishing unclassified contractor, consultant, and grantee formal reports, books, and international agreement reports in the NUREG/CR, NUREG/GR, and NUREG/IA series. (a)
- Applies the policy, procedures, standards, and guides for the documentation, formatting, composition, printing, and dissemination of NRC-sponsored publications in the NUREG series consistent with the mission of the agency and in accordance with the requirements of the Government Printing and Binding Regulations issued by the Joint Committee on Printing, U.S. Congress. (b)
- Develops and administers the central agency publication numbering system for identifying, producing, and retrieving unclassified NRC-sponsored publications in the NUREG series. (c)

**Director, Division of Contracts and  
Property Management, ADM  
(037)**

Ensures that those requests for proposals, invitations for bids, and grant proposals, and the ensuring contracts and grants that require

**Director, Division of Contracts and  
Property Management, ADM**  
(037) (continued)

publications as deliverables, include provisions requiring contractor compliance with this directive and handbook and Government Printing and Binding Regulations.

**Applicability**

(3.8-04)

**Employees**

(041)

This directive and handbook apply to and must be followed by all NRC employees.

**Other Publications**

(042)

The provisions of this directive and handbook do not apply to NRC staff publications in the NUREG series, NRC docket material, or documents created by NRC boards, panels, advisory committees, and offices that report to the Commission.

**Handbook**

(3.8-05)

Detailed guidelines for the preparation of publications are contained in Handbook 3.8.

**References**

(3.8-06)

1. Executive Order 12291—Federal Regulation, February 17, 1981.
2. Title 17, U.S. Code, Copyrights.
3. Government Printing and Binding Regulations, S. Pub. 101-9, February 1990.

## References

(3.8-06) (continued)

4. DOE-NRC Memorandum of Understanding, February 24, 1978.
5. Title 44, U.S. Code, "Public Printing and Documents," Chapter 3, Government Printing Office.
6. U.S. Government Printing Office *Style Manual*, 1984.
7. Energy Reorganization Act of 1974 (42 U.S.C. 5801, et seq.).
8. The Freedom of Information Act (5 U.S.C. 522).
9. Public Law 95-224, The Federal Grant and Cooperative Agreement Act, February 3, 1978.
10. Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations, OMB Circular A-110, July 1976.
11. Cost Principles for State and Local Governments, OMB Circular A-87, January 1981.
12. NUREG-0650, Revision 1, "Publishing Documents in the NUREG Series," November 1990.

**Unclassified Contractor and  
Grantee Publications in the  
NUREG Series**

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**Handbook**

(Formerly  
Appendix 3202) **3.8**

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## Introduction

This handbook specifies the procedures necessary for Nuclear Regulatory Commission (NRC) contractors and grantees to follow when preparing the following kinds of publications for the NRC.

- Final NUREG Reports
- International Agreement Reports
- Books
- Grant Publications

The handbook is divided into five major parts and includes a glossary and exhibits. Part I provides general information for staff consideration in the preparation of statements of work. Parts II, III, IV, and V provide publishing guidelines specific to, respectively, contractor reports, international agreement reports, books, and grantee publications.

*Contractor* means a private contractor, consultant, expert, another State or Federal agency working under an interagency agreement, or a DOE facility or subcontractor, such as the National Laboratories, working under the DOE/NRC Memorandum of Understanding of February 24, 1978, and any subcontractors of these organizations.

This directive and handbook, as well as a copy of "Publishing Documents in the NUREG Series" (NUREG-0650, Revision 1), must be included or referenced in all contracts, interagency and international agreements, and grants for which the publications listed above are contract deliverables or grant obligations. In addition to the guidelines specific to each type of publication that appear in subsequent parts of this handbook, all statements of work must contain the applicable guidelines outlined in Part I.

## Part I

# Preparing Publication Requirements for Statements of Work for Contracts

### Specifying Publication Requirements (A)

List and describe the type of technical reports required from each project, task or subtask, as applicable. State when, how many, and to whom they should be submitted and the scope of information they should contain. These reports may be unclassified, sensitive unclassified, or classified. For guidelines and requirements covering sensitive unclassified and classified publications, refer to NRC Management Directive 12.2, NRC Information Security Program (formerly MC 2101).

This directive and handbook pertain to publications that will be issued in the NUREG/CR, NUREG/IA, and NUREG/GR series.

### Publishing Formal Reports (B)

NUREG series reports will be printed and distributed by NRC from camera-ready copy submitted by the contractor to the Regulatory Publications Branch, MS P-223, U.S. Nuclear Regulatory Commission, Washington, DC 20555. The camera-ready copy is to be prepared in accordance with the provisions of this handbook. Recommended guidelines for the organization and format of formal reports are specified in "Publishing Documents in the NUREG Series" (NUREG-0650, Revision 1).

When the report contains sensitive unclassified or classified information, the contractor must comply with Management Directive 12.2, NRC Information Security Program (formerly MC 2101).

## Publishing Formal Reports (B) (continued)

If a draft is desired prior to completion of a final report, specify in the statement of work (SOW) the due date for delivering the final camera-ready copy after receiving NRC or participant comments (if applicable) on the draft. State that all draft material be submitted to the cognizant NRC contact.

When the contractor is to submit draft material for comment prior to the preparation of the final report, state that if there are NRC program or participant comments (if applicable), the contractor will be asked to make changes. If agreement on the changes is reached, the NRC contact will authorize the contractor to prepare the final copy and submit it to the NRC contact, if it is a letter report or input to a Safety Evaluation Report or an Environmental Statement, or to the Director, Division of Freedom of Information and Publications Services (DFIPS), if it is a camera-ready copy for printing and distribution. This is to be done to ensure proper publication, handling, distribution and, among other things, to preclude further changes that might nullify the agreement.

If **special caveats** were agreed to between the contractor and the NRC contact, the caveats should accompany Form 426A (Exhibit 1) for approval when it is sent to the NRC contact. A copy of special caveats should also accompany the camera-ready copy sent to DFIPS.

If **agreement on changes** to a formal technical report to be issued in the NUREG/CR series is not reached, the NRC contact may request the contractor to prepare the camera-ready copy with, in addition to the standard disclaimer required on all contractor formal reports (see Section II.F. below), any caveats deemed necessary to cover NRC objections. Such caveats may range from "The views expressed in this report are not necessarily those of the U.S. Nuclear Regulatory Commission" to the addition of a preface setting forth the NRC opinion or footnotes at appropriate locations within the text.

If **NRC objections** cannot be covered in this manner, NRC can refuse to publish the report. In the case of DOE/National Laboratory reports, the DOE Operations Office Manager responsible for that laboratory should be informed by the NRC Office Director or Regional Administrator of the decision and the reasons therefor, with a copy to the Laboratory Director. In the case of another Federal agency, a State, or a private contractor, the person who entered into the contract should similarly be informed by the NRC contracting officer. The contractor is then free to publish the report without NRC

## Publishing Formal Reports (B) (continued)

being identified as the funding sponsor of the report and without the NRC disclaimer. Office Director or designee decisions may be appealed to the appropriate Deputy Executive Director for Operations.

## Publishing Unclassified Information in Open Literature and Presenting Papers (C)

Specify whether the contractor's principal investigator is permitted to publish in the **open literature** instead of submitting a final report and/or to present papers at public or association meetings during the course of the work. If that arrangement is authorized, add the following statement to the Statement of Work (SOW):

The principal investigator(s) may publish the results of this work in the open literature instead of submitting a final report and/or present papers at public or association meetings at interim stages of the work.

If the NRC contact wants to review the paper or journal article prior to presentation or submission for publication, state so in the SOW, as follows:

The principal investigator(s) may publish the results of this work in the open literature instead of submitting a final report and/or present papers at public or association meetings at interim stages of the work, if the article or paper has been reviewed by the NRC contact in draft form and agreement has been reached on the content.

If the agreement is not reached, NRC may also require that the paper include in addition to the standard statement "Work supported by the U.S. Nuclear Regulatory Commission," any caveats deemed necessary to cover NRC objections. If NRC objections cannot be covered in this manner, NRC may refuse to authorize publication in the open literature and/or presentation of papers.

In the latter case, NRC will inform the contractor of the decision, as stated above. The contractor is then free to publish without NRC being identified as the funding sponsor of the information. Office Director



## Publishing Unclassified Information in Open Literature and Presenting Papers (C) (continued)

or designee decisions may be appealed to the appropriate NRC Deputy Executive Director for Operations.

If the contractor proposes to publish in the **open literature** or present the information at meetings *in addition* to submitting the required technical reports, approval of the proposed article or presentation should be obtained from the NRC. The NRC shall take one of the following actions: approve the material as submitted, approve it subject to NRC-suggested revisions, or disapprove it. In any event, the NRC may disapprove or delay presentation of papers on information that is subject to Commission approval that has not been ruled upon or which has been disapproved.

If the contractor requests permission to publish in the open literature even though the contract does not explicitly provide for this type of publication, the contract can be modified to provide for such presentations.

When the contractor submits journal articles for publication, each must be accompanied by the following statement:

The submitted manuscript has been authored by a contractor of the U.S. Government under Contract\* No. \_\_\_\_\_. Accordingly, the U.S. Government has a nonexclusive, royalty-free license to publish or reproduce the published form of this contribution, or allow others to do so, for U.S. Government purposes.

All published papers and articles must include the following disclaimer:

This report was prepared as an account of work sponsored by an agency of the United States Government. Neither the United States Government nor any agency thereof, or any of their employees, makes any warranty, expressed or implied, or assumes any legal liability or responsibility for any third party's use or the results of such use, of any information, apparatus, product or process disclosed in this report, or represents that its use by such third party would not infringe privately owned rights. The views expressed in this paper are not necessarily those of the U.S. Nuclear Regulatory Commission.

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\*For DOE work orders the appropriate FIN number is applicable.



## Publishing Unclassified Information in Open Literature and Presenting Papers (C) (continued)

Should the contractor be requested by the journal or other publisher to transfer the copyright, the contract author will respond to the journal or other publisher in writing in accord with the sample letter shown as follows:

Dear (Copyright Holder's Name):

We recently received a document for signature assigning copyright and republication rights in the submitted article (title) to (name of publication). This letter is offered in lieu of the document as a means of completing the transfer of ownership. Accordingly, we hereby expressly transfer and assign our rights of ownership in the above-cited work to (name of publisher).

You are advised, however, that the above assignment and any publication or republication of the above-cited work is subject to the following Government rights:

The submitted manuscript has been authored by a contractor of the U.S. Government under Contract No. \_\_\_\_\_. Accordingly, the U.S. Government has a nonexclusive, royalty-free license to publish or reproduce the published form of this contribution, or allow others to do so, for U.S. Government purposes.

Sincerely,

If NRC approves open literature publication and page charges and travel costs are required for the presentation of papers, see Management Directive 3.10, NRC Contractor Unclassified Papers, Journal Articles, and Press or Other Media Releases on Regulatory and Technical Subjects (formerly MC 3206).

## Reports Containing Sensitive Unclassified and Classified Information (D)

Examples of the proper marking of reports designated Official Use Only, Limited Official Use, Proprietary Information, Safeguards

## Reports Containing Sensitive Unclassified and Classified Information (D) (continued)

Information, and Classified (Confidential, Secret, and Top Secret) are provided in Management Directive 12.2, NRC Information Security Program (formerly MC 2101).

## Conference and Workshop Proceedings (E)

If NRC approves publication of compilations of papers presented at NRC-sponsored or cosponsored meetings, conferences, and symposia, see Management Directive 3.11, Conferences and Conference Proceedings (formerly MC 3207).

## Distribution of Reports to Contractors (F)

Up to 50 copies of printed unclassified NUREG/CR, NUREG/GR, and NUREG/IA reports will be bulk shipped to the contractor by NRC. (Joint Committee on Printing's *Government Printing and Binding Regulations* permit contractors to receive up to 50 copies of reports they have produced for NRC free of charge.) If fewer than 50 copies are needed, indicate the desired quantity on NRC Form 426A (Exhibit i). Contractors requesting single copies for specific individuals in organizations other than the contractor's organization who are not included in the distribution requested by the NRC contact may address such request(s), with written justification, to the NRC contact. If the additional distribution is approved by the NRC contact, the contractor shall send address labels with the camera-ready copy to the Regulatory Publications Branch, DFIPS, USNRC, Washington, DC 20555, and that distribution will be made along with the standard distribution.

## Coordinating Contractor Press or Other Media Releases of Information (G)

A contractor may request permission to issue a press or other media release on the work being done. That request must be made to the NRC Office Director or designee, who will consult with the Public Affairs staff. The contractor must not issue a press release on nonroutine information without this prior approval. This approval may be obtained by a telephone call to the Office Director or designee to expedite the request. The contractor may appeal decisions not to authorize the release of information or delays in handling the request to the appropriate Deputy Executive Director for Operations.

## Part II

# Draft and Final NUREG Reports

### Identification Information (A)

#### NUREG Number (1)

Each contractor report published by NRC must be identified by a unique alphanumeric designation controlled and maintained by the Division of Freedom of Information and Publications Services (DFIPS). To obtain an NRC report number, call the Regulatory Publications Branch, DFIPS, at FTS 49-27001 or (301)49-27001.

The NRC identification numbers will have one of the following forms:

- NUREG/CR-0000
- NUREG/GR-0000
- NUREG/IA-0000

where CR indicates **contractor report**, GR indicates **grant report**, and IA indicates **international agreement report**. The contractor report number, if any, will be placed below the NUREG number on the title page and cover.

When a report consists of more than one volume or binding or is issued in more than one edition, an appropriate volume, number, supplement, part, addendum, or revision designation must appear immediately below the NRC report number and the contractor's report number, if any.

#### Author Names (2)

Authors' names routinely appear on the report cover and title page, unless doing so is impractical, as for an annual report having many contributors. Editors or compilers with subject-area expertise may also be identified as such on the cover and title page. Author

## Identification Information (A) (continued)

### Author Names (2) (continued)

affiliations need not be listed unless the affiliation differs from the organization creating the report.

### Organizational Identification (3)

The Regulatory Publications Branch, DFIPS, prepares the covers and title pages for all reports and will list information about the organization that created the report as it is provided.

### Previous Reports in Series (4)

If the report being prepared is one in an ongoing series, list all previous reports in the series. Include report numbers and issuance dates. Place this list on the back of the title page.

### Report Dates (5)

The report dates are shown on the title page. These dates include the month and year the report is completed, and the month and year it is published.

## Report Organization and Components (B)

The organization and components of contractor reports vary somewhat, depending on their purpose and scope. Recommended format and organizational guidelines appear in "Publishing Elements in the NUREG Series" (NUREG-0650, Revision 1).

Each draft and final report prepared for NRC must include an abstract of 200 words or less that appears on a separate page preceding the table of contents. The abstract must also appear on the Bibliographic Data Sheet, NRC Form 335 (Exhibit 2A). The back of Form 335 contains instructions for completing the form (Exhibit 2B). Guidelines on the special writing requirements for preparing abstracts appears in Section 5.5 of NUREG-0650, Revision 1.

## Pre-Publication Reviews (C)

### Patent Review (1)

Patent implications must be considered prior to approval of reports for public release so that disclosure will not adversely affect the patent rights of NRC or the contractor. If the work being reported is contractually managed through another Government agency (e.g., DOE National Laboratories), that Government agency should be requested by the contractor to perform the patent review. The result of the review must be reported on NRC Form 426A under item 8 (Exhibit 1).

If NRC directly administers the contract, or the contractor is unable to obtain a patent clearance from the Government agency administering the contract, the responsible NRC contracting officer must be consulted, and the responsible NRC technical contact shall consider the patent implications. If there is no need for patent review because of the certainty that the report contains no description of novel technical developments that may be of an inventive nature, mark "N/A" on the NRC Form 426A in the space for the Patent Counsel's signature. If there is a possibility that there is disclosure of developments of an inventive nature, the contracting officer shall request assistance from the NRC Assistant General Counsel for Administration, Office of the General Counsel, on FTS 49-21553 or (301)49-21553.

### Security Review (2)

Should a report of sensitive unclassified or classified work be required, the NRC contact must work with the NRC Division of Security to establish the appropriate procedures and inform the contractor of these procedures through the contracting officer. The standards for marking and handling these reports are given in Management Directive 12.2, NRC Information Security Program (formerly MC 2101).

### Copyright Review (3)

Copyrighted material must not appear in NRC-sponsored publications without written permission from the copyright holder. See NUREG-0650, Revision 1, Section 3.4, for information about obtaining copyright permission.

## Color Printing (D)

Regulations issued by the Joint Committee on Printing (JCP) restrict the use of color in printed materials to those uses that are of demonstrable value. JCP regulations specify that "Demonstrably valuable multicolor printing..." includes the following categories:

- Maps and technical diagrams where additional color is necessary for clarity. (a)
- Object identification (medical specimens, diseases, plants, flags, uniforms, etc.). (b)
- Safety programs, fire prevention, savings bonds programs, and competitive areas of personnel recruiting. (c)
- Areas wherein clearly identifiable savings in costs can be soundly predicated on multicolor use. (d)
- Printing for programs required by law, whose relative success or failure is in direct ratio to the degree of public response, and where that response can be logically attributable to the number of colors planned and the manner in which they are proposed to be used. (e)
- Color for promotional or motivational purposes such as programs concerning public health, safety, consumer benefits; or to encourage utilization of Government facilities such as programs for Social Security, Medicare, and certain areas of need for veterans would come within this category. (f)

The regulations indicate that the following categories do not meet the "demonstrable value" criteria.

- Printed items wherein additional color is used primarily for decorative effect. (a)
- Printed items where additional color is used primarily in lieu of effective layout and design. (b)
- Printed items where additional color is used excessively, i.e., four colors when two or three will fulfill the need; three colors when two are adequate; two colors when one is adequate. (c)
- Printed items wherein the inclusion of multicolor does not reflect careful, competent advanced planning which recognizes the contribution that the use of color is expected to make to the ultimate end-purpose. (d)



## Color Printing (D) (continued)

If color printing is anticipated when the statement of work or Standard Order for DOE work is being prepared, contact the Regulatory Publications Branch, DFIPS. Prior approval must be granted by the Director of DFIPS. If a requirement for color printing arises as the report is being prepared, submit a written justification for its use to the Director of DFIPS.

## Microfiche (E)

NRC contractors and DOE Laboratories submitting microfiche with reports must submit a hard copy of each microfiche, include headers on each microfiche, as shown in Exhibit 3, and conform to the following NRC specifications.\*

1. Microfiche must conform to either the 24/98 format for source documents with 14 columns and 7 rows (reduction ratio of 1:24) or the 48/270 format for computer output microfilm with 18 columns and 15 rows (reduction ratio of 1:48).
2. The microfiche sheet must be standard 105 mm x 148 mm.
3. The microfiche must be either a silver-halide master or a black or blue-black diazo placed in acid free envelopes.
4. The microfiche must contain headers as shown in the sample in Exhibit 3. Specifically, the first block of the header must contain the NUREG number (include volume or revision, if applicable), the contractor identification number, and the classification (e.g., unclassified, proprietary). The second block must contain the description of the microfiche and may include the contractor name. The third block must contain the publication date and sheet identification.
5. The header information must be eye readable on a clear background.
6. A foldout page must be microfilmed in sections if the page is too large to be microfilmed in a double frame. No less than 25 mm overlap of original material is acceptable.

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\*With the exception of items 3, 4, and 8, these specifications are consistent with the American National "Standard for Micrographics-Microfiche, ANSI/AIIM MS5-1985." Copies of this Standard are available from the American National Standards Institute, ATTN: Sales Department, 1430 Broadway, New York, NY 10018 (212)354-3300, or from the Association for Information and Image Management, ATTN: Publications Section, 1100 Wayne Avenue, Silver Spring, MD 20910 (301)598-8202.



### Microfiche (E) (continued)

7. The first frame must be blank (on the first sheet only), and the second frame must contain the National Institute of Standards and Technology's Reference Material resolution target in Microcopy Test Charts (NBS SRM 1010A).
8. Jacketed microfiche is unacceptable.

### Disclaimer (F)

The following notice will be added by the Regulatory Publications Branch, DFIPS, before the printing process on the inside front cover:

This report was prepared as an account of work sponsored by an agency of the United States Government. Neither the United States Government nor any agency thereof, or any of their employees, makes any warranty, expressed or implied, or assumes any legal liability or responsibility for any third party's use, or the results of such use, of any information, apparatus, product or process disclosed in this report, or represents that its use by such third party would not infringe privately owned rights.

The following additional statement, "The views expressed in this report are not necessarily those of the U.S. Nuclear Regulatory Commission" will be printed below the standard disclaimer, if appropriate. Other qualifying statements may be added, if needed.

### Availability Information (G)

#### Reference Availability (1)

Reports or other documents referenced in text, reference sections, bibliographies, and appendixes of unclassified regulatory and technical reports in the NUREG series must be available to the public either in the public domain (as in a public library, at the Government Printing Office (GPO), at the National Technical Information Service (NTIS), or at other reference or sales outlets) or in the NRC Public Document Room (PDR). This means that references should not be made to personal communications and interviews, unpublished information and information with restricted distribution (e.g.,

## Availability Information (G) (continued)

proprietary, national security, official use only, etc.). If the unretrievable information is important and unrestricted, it can be quoted in the text, in footnotes, or in appendixes. If credit is due to individuals, they can be mentioned in the text or in an acknowledgement section. Availability may be stated collectively for all entries.

Guidelines for developing and presenting reference material are provided in NUREG-0650, Revision 1.

### Report Availability (2)

Most final reports are sold by the GPO and NTIS. A statement indicating this availability is added to each report, as appropriate, by the Regulatory Publications Branch, DFIPS, before the report is printed.

Draft reports for which comments are requested are typically announced in the *Federal Register* as being available from the NRC. These reports are not sold at GPO or at NTIS.

## Forms (H)

### Bibliographic Data Sheet (NRC Form 335) (1)

All published NRC reports must include an NRC Form 335 as the final right-hand page of the manuscript. Instructions for completing the form appear on the back of the form. A completed Form 335 must be submitted to the Regulatory Publications Branch, DFIPS, with the camera-ready copy of the report. Exhibit 2A shows a completed Form 335.

### Release to Publish Unclassified NRC Contractor, Consultant, or Conference Proceedings Reports (NRC Form 426A) (2)

The NRC contact must submit a completed NRC Form 426A (Exhibit 1) with the camera-ready copy of the report to the Regulatory Publications Branch, DFIPS. NRC Form 426A must be signed by the staff member designated by the appropriate Office Director.

## Printing and Reprinting (I)

The Regulatory Publications Branch, DFIPS, will review the camera-ready report submitted for printing for its adherence to the standards and requirements set forth in this directive and handbook, as well as any relevant guidelines from NUREG-0650, Revision 1. Unsatisfactory manuscripts will be returned to the NRC contractor for appropriate action.

Submit a memorandum requesting a ~~re~~print to the Director, DFIPS, for approval. Include with the request a written justification and the approval of the Office Director or designee for reprinting. Send address labels for recipients of the reprinted copies, if appropriate.

## Distribution (J)

Distribution arrangements will be made by the Regulatory Publications Branch, DFIPS, for all copies of unclassified formal contractor reports in accordance with instructions on NRC Form 426A (Exhibit 1). The Regulatory Publications Branch, DFIPS, will also arrange automatic distribution of these reports to the NRC NUDOCS, the NRC PDR, NTIS, GPO, and the Depository Library Service.

Distribution of sensitive unclassified and classified reports will be made by the NRC sponsoring office on a case-by-case basis.

## Part III

# International Agreement Reports

### Background and Rationale (A)

NRC has cooperative nuclear safety research programs that involve either or both foreign governments and organizations and U.S. industry. These programs include monetary contributions, information exchange, and comments on program plans and results as authorized in 42 U.S.C. 5801. To this end, international and U.S. industry agreements have been signed that provide for transmitting unclassified technical information from foreign participants to NRC. These procedures apply only to NRC-managed work.

The interests of all NRC international nuclear safety research program participants are served best by formal dissemination of information on these programs or codes developed for or in cooperation with NRC.

### Identification Information (B)

#### Cover and Title Page (1)

These will contain a title, subtitle (if appropriate), authors, performing organization, and NRC office sponsoring the project. The cover and title page will be prepared by the Regulatory Publications Branch, DFIPS.

#### NRC Report Number (2)

Each report must be identified by an NRC-controlled alphanumeric number as the prime number unique to that report. The centralized document control system for unique identification is maintained by DFIPS. Numbers may be obtained by calling Regulatory Publications Branch at FTS 49-24954 or (301)49-24954.

The NRC identification number will have the form:

- NUREG/IA-0000

## Identification Information (B) (continued)

### NRC Report Number (2) (continued)

where IA indicates "international agreement." The foreign participant's report number, if any, may be inserted below the NUREG number on the cover, if desired.

When a report consists of more than one volume or binding or is issued in more than one edition, an appropriate volume, number, supplement, part, addendum, or revision designation must appear below the report number and the foreign participant's report number, if any.

### Previous Reports in Series (3)

If the report being prepared is one in an ongoing series, list all previous reports in the series. Include report numbers and issuance dates. Place this list on the back of the title page.

## Report Organization and Components (C)

The organization and components of cooperative agreement reports vary somewhat, depending on their purpose and scope. Each of these reports must include an abstract of 200 words or less that appears on a separate page before the table of contents. The abstract must also appear on the Bibliographic Data Sheet, Form 335 (Exhibit 2A). Instructions for completing the form appear on the back (Exhibit 2B). Guidance on the special writing requirements for preparing abstracts appears in Section 5.5 of NUREG-0650, Revision 1.

## Availability Information (D)

### References and Bibliographies (1)

Reports or other documents referenced in text, reference sections, bibliographies, and appendixes of unclassified regulatory and technical reports in the NUREG series must be available to the public either in the public domain (as in a public library, at GPO, at NTIS, or at other reference or sales outlets) or in the NRC PDR.

This means that references should not be made to personal communications, interviews, and unpublished information with restricted distribution (e.g., proprietary, national security, official use only). If the unretrievable information is important and unrestricted, it

## Availability Information (D) (continued)

### References and Bibliographies (1) (continued)

can be quoted in the text, in footnotes, or in appendixes. If the title of a document containing proprietary information is unclassified, it can also be quoted in the text, in a footnote, or in appendixes. If credit is due to individuals, they can be mentioned in the text or in an acknowledgement section. Availability may be stated collectively for all entries. Guidelines for developing and presenting reference material are provided in NUREG-0650, Revision 1.

### Report Availability (2)

These reports will be made available for sale by GPO and NTIS.

## Disclaimer (E)

The following notice will be added by the Regulatory Publications Branch, DFIPS, on the inside front cover prior to printing.

### NOTICE

This report was prepared under an international cooperative agreement for the exchange of technical information. Neither the United States Government nor any agency thereof, or any of their employees, makes any warranty, expressed or implied, or assumes any legal liability or responsibility for any third party's use, or the results of such use, of any information, apparatus, product, or process disclosed in this report, or represents that its use by such third party would not infringe privately owned rights.

## Forms (F)

### Bibliographic Data Sheet (NRC Form 335) (1)

A typed NRC Form 335 (Exhibit 2A) must be submitted with the camera-ready copy to the Regulatory Publications Branch, DFIPS, as the final right-hand page.

## Forms (F) (continued)

### Release to Publish Unclassified NRC Contractor, Consultant, or Conference Proceedings Reports (NRC Form 426A) (2)

An NRC Form 426A (Exhibit 1) must be completed and signed by the Office Director or designee and submitted with the camera-ready copy of the report to the Regulatory Publications Branch, DFIPS.

## Classified or Sensitive Unclassified Information (G)

The NRC contact should refer to Management Directive 12.2, NRC Information Security Program (formerly MC 2101), or call the Division of Security for answers to questions about the status of classified or sensitive unclassified information in NUREG/IA reports.



## Part IV

### Books

These guidelines apply to books written by contractors and grantees that are printed by NRC. See Section V below for guidance on publications, including books, by grantees.

#### Definition (A)

A book refers to a publication intended as a permanent reference or as a textbook or major critical review of a technical or regulatory topic.

#### Format (B)

Books are usually 6 x 9 inches in trim size, but size will be based on such requirements as ease of use and legibility for graphics, foldouts, and the like. The binding (casebound or paperback) will be chosen according to the need for durability. Additional guidance on manuscript preparations can be found in the U.S. Government Printing Office *Style Manual* and in *The Chicago Manual of Style* (13th edition). Refer also to NRC's "Publishing Documents in the NUREG Series" (NUREG-0650, Revision 1).

The contractor shall submit to the NRC project manager the typeset (photocomposed) manuscript suitable for printing. The NRC contact shall submit the manuscript to the Chief, Regulatory Publications Branch, DFIPS, where it will be reviewed for adherence to the standards set forth and referenced in this directive and handbook. The manuscript will also undergo a printing acceptability review by the Printing, Audiovisual, and Mail Services Branch, DFIPS. Unsatisfactory manuscripts will be reported to the NRC contact for appropriate contractual action by the NRC contracting officer or, in the case of Government agency or interagency agreement work, the publications manager of the performing organization.

### **Format (B) (continued)**

DFIPS will approve design of the cover and title page to contain the appropriate information concerning:

- (1) author names(s)
- (2) organizational identification
- (3) public availability and sales.

All books must include a comprehensive subject index of the book's contents, unless it is made up almost exclusively of graphical or tabular matter. See NUREG-0650, Revision 1, or *The Chicago Manual of Style* (13th ed.) for guidelines on creating an index.

### **NRC Document Number (C)**

Each book must be identified by an NRC-controlled alphanumeric code unique to that book. The alphanumeric code will have the form: NUREG/CR for contractor-prepared books and NUREG/GR for grantee-prepared books.

When a book consists of more than one volume or binding, or is issued in more than one edition, an appropriate volume, number, supplement, part, addendum, or revision designation must appear directly below the document number.

Numbers are assigned by the Regulatory Publications Branch, DFIPS. The number may be obtained in advance of the time that the manuscript is submitted to DFIPS for printing by calling the Regulatory Publications Branch at FTS 49-24954 or (301)49-24954. The DFIPS staff will arrange to meet with the NRC contact for the project and when appropriate, the author(s), to discuss the publication production requirements and schedule for the book.

### **Availability of Reference Materials (D)**

The guidelines for availability of reference material applicable in Section II.G. of this handbook also apply to contractor-prepared and grantee-prepared books published by NRC.

## Reviews (E)

### Peer (1)

NRC published books must undergo peer review from experts within and outside NRC. Peer review refers to a critical evaluation of the technical contents of a publication. These reviews may be conducted anonymously by reviewers from the author's own or a related field who are totally independent of the work leading to the manuscript.

Reviewers should be chosen by the NRC Office sponsoring the book from the potential audience for the publication and should provide an independent judgment about whether the publication successfully accomplishes the author's aims. Peer reviewers should be chosen for their expertise in the subject matter of the book. They may come from academia, the National Laboratories, other Federal agencies, or from other research institutes or consulting firms. They may be identified from the membership rolls of professional societies, ANSI subcommittees, and the like. Do not choose more than one reviewer from the same organization.

When assessing potential peer reviewers, screen for demonstrated competence and achievement in a specific discipline or research specialty. Assess competence based on the quality of research accomplished, publications in refereed journals, and other significant technical activities, achievements, and honors. Consider the judgement, perspective, and objectivity of reviewers. Consider also the personal integrity of those selected to ensure the confidentiality of information reviewed. Finally, avoid real or perceived conflicts of interest. Do not choose reviewers who are licensees or consultants to licensees nor reviewers from intervenor groups. Likewise, do not choose reviewers who may profit financially from influencing the information reviewed.

The services of reviewers from outside the agency may be acquired through consultant services contracts. The decision as to whether to reimburse peer reviewers should be made on a case-by-case basis, however. Recognize that reimbursing peer reviewers may give the appearance of a conflict of interest, suggesting to some that because NRC is paying for this service, the agency will seek only reviewers thought to be favorably disposed to the material reviewed. One way to offset this impression is to seek recommendations for peer reviewers from independent organizations, like the American Physics Society,

## Reviews (E) (continued)

### Peer (1) (continued)

the American Nuclear Society, the American Society of Mechanical Engineers, or appropriate universities. Reimbursement could then be made to the organization.

### Copyright (2)

Copyrighted material must not be reproduced in NRC books without the written permission of the copyright holder. See NUREG-0650, Revision 1, Section 3.4, for information about obtaining copyright permission.

### Security (3)

Based on knowledge of the information sources used, the author is responsible for ensuring that the manuscript does not contain classified or other access-controlled information. If there is uncertainty with respect to the security classification of a reference document or manuscript, an authorized classifier or the NRC Division of Security should be contacted for assistance. See also Management Directive 12.2, NRC Information Security Program (formerly MC 2101).

### Patent (4)

The patent-review guidelines for draft and final formal reports specified in Section II.C of this handbook also apply to contractor- and grantee-prepared books.

## Publishing Authorization Form (F)

A completed NRC Form 426A (Exhibit 1), signed by the Office Director or designees or by a DOE National Laboratory-authorized official if the publication is done for the Office of Nuclear Regulatory Research, if applicable, must be submitted to DFIPS with the book manuscript.

## Disclaimers (G)

The following standard U.S. Government notice will be added prior to printing:

## Disclaimers (G) (continued)

This document was prepared as an account of work sponsored by an agency of the United States Government. Neither the United States Government nor any agency thereof, or any of their employees, makes any warranty, expressed or implied, or assumes any legal liability or responsibility for any third party's use, or the results of such use, of any information, apparatus, product, or process disclosed in this document, or represents that its use by such third party would not infringe privately owned rights.

The following additional statement may be printed below the standard disclaimer, if authorized by the NRC Office Director or designee.

This document was prepared under U.S. Nuclear Regulatory Commission (NRC) Contract No. \_\_\_\_\_. The opinions, findings, conclusions, and recommendations expressed herein are those of the author(s) and do not necessarily reflect the views of the NRC.

Other qualifying statements may be added, if needed.

## Printing (H)

Book manuscripts must be submitted by DFIPS to GPO for printing. The printing cycle requires from 6 to 8 weeks.

## Distribution and Sales (I)

Distribution will be arranged by the DFIPS staff in accordance with distribution guidance provided by the NRC project manager on NRC Form 426A (Exhibit 1).

Free distribution should be limited to those who contributed materially to the book or to those for whom the book's subject matter bears directly on their work at or for NRC.

DFIPS will arrange to make the book available for sale through GPO. DFIPS will also arrange to have it made available at the NRC PDR and the GPO Depository Library Program.

## Part V

# Grant Publications

### Background and Rationale (A)

The Nuclear Regulatory Commission funds grants for educational and nonprofit institutions, State and local Governments, and professional societies for the expansion, exchange, and transfer of knowledge and ideas pursuant to the Atomic Energy Act of 1954, as amended, Sections 31.a. and 141.b.

### Publication of Results (B)

The grant will specify the publication requirements of the award. Grant results may be published by NRC, by the grantee, or in the open literature.

#### Publication by NRC (1)

This publication option must be governed by the guidelines specified in Part I of this handbook for reports or in Part III of this handbook for books, as appropriate. See Identification of Grant Publications in the paragraphs under V.C.

#### Publication by a Grantee (2)

When the grant specifies that the grantee is to publish the results, the grantee must grant to the Government a royalty-free, nonexclusive, irrevocable license to reproduce, translate, publish, use, and dispose of all copyrightable material first produced or composed in the grantee's performance under the grant.

#### Open Literature Publication by Grantee (3)

When the grantee submits journal articles for publication, each must be accompanied by the following statement:



## Publication of Results (B) (continued)

### Open Literature Publication by Grantee (3) (continued)

The submitted manuscript has been authored by a grantee of the U.S. Government under Grant No. \_\_\_\_\_. Accordingly, the U.S. Government has a nonexclusive, royalty-free license to publish or reproduce the published form of this contribution, or allow others to do so, for U.S. Government purposes.

All open literature publications prepared under this grant must contain the following statement:

This paper was prepared with the support of the U.S. Nuclear Regulatory Commission (NRC) under Grant No. \_\_\_\_\_. The opinions, findings, conclusions, and recommendations expressed herein are those of the author(s) and do not necessarily reflect the views of the NRC.

Should the grantee be requested by the journal or other publisher to transfer the copyright, the grantee author will respond to the journal or other publisher in writing in accord with the sample letter shown as follows:

Dear (Publisher's Name):

We recently received a document for signature assigning copyright and republication rights in the submitted article (title) to (name of publication). This letter is offered in lieu of the document as a means of completing the transfer of ownership. Accordingly, we hereby expressly transfer and assign our rights of ownership in the above-cited work to (name of publisher).

You are advised, however, that the above assignment and any publication or republication of the above-cited work is subject to the following Government rights:

The submitted manuscript has been authored by a grantee of the U.S. Government under grant No. \_\_\_\_\_. Accordingly, the U.S. Government has a nonexclusive, royalty-free license to publish or reproduce the published form of this contribution, or allow others to do so, for U.S. Government purposes.

Sincerely,



## Publication of Results (B) (continued)

### Reprints of Open Literature Publications (4)

When any article resulting from work under the grant is published in a scientific, technical, or professional journal, two reprints of the publication must be sent to the cognizant NRC Program Officer, clearly labeled with the grant number and other appropriate identifying information.

## Identification of Grant Publications (C)

Each report or book published by NRC that results from a grant must be identified by an alphanumeric number, as follows:

- NUREG/GR-0000

When the publication consists of more than one volume, number, supplement, part, or binding, or is issued in more than one edition, an appropriate volume, supplement, part, or revision designation must appear below the NUREG/GR number.

Numbers may be obtained from the Regulatory Publications Branch at FTS 49-24954 or (301)49-24954.

## Pre-Publication Reviews (D)

The U.S. Congress characterizes the relationship between a Federal agency and a grant recipient as one in which "the recipient can expect to run the project without agency collaboration, participation, or intervention as long as it is run in accordance with the terms of the instrument...."

## Glossary\*

- Book.** A publication intended as a permanent reference or textbook or as a major critical review of a technical or regulatory topic. It may be *casebound* (hardback) or paperbound.
- Camera-ready copy.** Pages ready for printing by the offset printing process. This is a colloquial term used even though the printing process may not involve the so-called copy camera (see also *reproducible masters*).
- Casebound.** Term denoting a book with a hard cover.
- Compose.** To arrange letters, in type or film, for printing. Usually synonymous with *typesetting*.
- Composition.** The process of setting type by hot-metal casting, phototypesetting, or electronic character generating devices (e.g., computers) for the purpose of producing *camera copy*, negatives, a plate, or image to be used in the production of *printing* or microform.
- Contractor report.** Record of work done (a report) prepared in accordance with the provisions of a contract or under or pursuant to an interagency agreement.
- Copyright.** A form of protection provided by the laws of the United States (Title 17, U.S. Code), to the authors of "original works of authorship" including literary, dramatic, musical, artistic, and certain other intellectual works. This protection is available to both published and unpublished works. Copyrighted material may not be reproduced without the permission of the author or publisher.
- Disseminate.** To announce the publication of reports and make them available for free distribution, sale, or copying.

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\*Words in *italics* in definitions are also defined in the glossary.

## Glossary (continued)

- Distribute.** To dispense reports to specific organizations and individuals to ensure their participation in the regulatory process and support of research and technological investigations. Such distribution may be accomplished by the use of standard distribution data banks established and maintained by the Division of Information Support Services, Office of Information Resources Management, at the request of the originating office or region.
- Documentation.** Classification and associated markings required for classified or sensitive unclassified documents, the NRC report number unique to the report, title (and subtitle, if any), author or correspondent (if any), organization identification and contract number (or FIN number), date, and availability.
- Edition.** All copies of a book printed from the same type. Edition also refers to format, such as *paperback*, *casebound*, or to the text, as revised, expanded, and so on. If extensive revisions have been made to the text and the book is reprinted, the revised version is the new edition.
- Grant.** A legal instrument which defines the relationship between the Government and a recipient for the transfer of money, property, services or anything of value to the recipient for the accomplishment of a public purpose of support or stimulation authorized by law. A grant presumes a limited amount of involvement by the agency in the performance by the recipient.
- Grant Report.** A record of work done prepared in accordance with the provisions of *grant*.
- Index.** An alphabetical list of all major topics discussed in a *book*. It cites the page numbers where each topic can be found. The index comes as the last section of a book.
- International agreement.** Cooperative nuclear safety research programs that involve either or both foreign governments and organizations and U.S. industry. Such involvement, authorized under 42 U.S.C. 5801, includes monetary contributions, information exchanges, and comments on program plans and results.
- International agreement report.** A record of work done prepared in accordance with the provisions of an *international agreement*.

## Glossary (continued)

**Manuscript.** A handwritten, typewritten, or *composed* version of a document, as distinguished from a printed copy.

**NRC project manager.** The NRC staff member responsible for the work performed by consultants or contractors and their subcontractors, or for work performed under or pursuant to an interagency agreement.

**Paperback.** A *book* with a flexible paper cover.

**Peer review.** A critical evaluation of the technical contents of a publication. These reviews are conducted by reviewers from the author's own or a related field who are totally independent of the work leading to the *manuscript*. Reviewers should be chosen from the potential audience for the publication and should provide an independent judgment about whether the publication successfully accomplishes the author's aims.

**Photocomposition.** *Typesetting* performed when photosensitive paper or film is exposed to light in the form of letters and characters. Photocomposition is to be distinguished from hot metal and typewriter *composition*.

**Printing.** As defined by the Joint Committee on Printing, includes and applies to the process of *composition*, platemaking, presswork, collating, and microform; the equipment used in such processes; or the end product produced by such processes and equipment.

**Proprietary information.** Trade secrets; privileged or confidential research, development, commercial or financial information, exempt from mandatory disclosure under 10 CFR Part 2 (Sections 2.740 and 2.790) and under 10 CFR Part 9 (Section 9.17); and other information submitted in confidence to the NRC by a foreign source and determined to be unclassified by the NRC.

**Public domain.** Materials on which *copyright* never existed, such as U.S. Government publications, or on which copyright has expired.

**Publicly available documents.** Information (reports and references) that is available in the NRC Public Document Room (PDR) for public inspection and copying or available in the *public domain*.

## Glossary (continued)

**Reproducible masters.** *Camera-ready copy* that includes (1) originals of line drawings (or prints that can be copied); (2) glossy prints of black and white photographs; (3) original *typeset* or printed text, tables, cover, title page, contents, and abstract; or (4) other forms of the materials that a printer can reproduce.

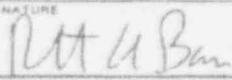

**Trim size.** The final size of the whole page, margins included.

**Typesetting.** The placement of type on a page (letters, numbers, and other characters) in conformance with specific style and layout instructions.

**Unique identification.** NRC identification (NUREG number) used on a report and its attachments, revisions, and supplements, that is not used on any other publication.

Unclassified Contractor and Grantee  
 Publications in the NUREG Series  
 Part 1 - Publications, Mail, and Information Disclosure  
 Handbook 3.8 Exhibits

Exhibit 1

NRC FORM 426A (3-89) NRCM 1102, 3202		U.S. NUCLEAR REGULATORY COMMISSION		1. REPORT NUMBER (if any) NUREG/CR-5627 BNL-NUREG-52257	
RELEASE TO PUBLISH UNCLASSIFIED NRC CONTRACTOR, CONSULTANT, OR CONFERENCE PROCEEDINGS REPORTS (Please Type or Print)				Obtain from the Technical Publications Section on 482-7953	
2. TITLE AND SUBTITLE (State in full as shown on document) Alternate Modal Combination Methods in Response Spectrum Analysis				3. FUND OR GRANT NUMBER (Do not list DOE contract number) A-3955	
4. AUTHORS (If more than three, name first author followed by "and others") P. Bezler and others					
5. CONTRACTOR Brookhaven National Laboratory Department of Nuclear Energy		MAILING ADDRESS (Number and Street, City, State and ZIP Code) Building 129 Upton, NY 11973		TELEPHONE NUMBER 666-2447	
6. TYPE OF DOCUMENT (Check appropriate box)					
<input checked="" type="checkbox"/> A. TECHNICAL REPORT					
<input checked="" type="checkbox"/> FORMAL <input type="checkbox"/> LETTER REPORT					
<input type="checkbox"/> B. CONFERENCE PAPER (If so, complete items (1), (2), and (3) below)					
(1) TITLE OF CONFERENCE PAPER:					
(2) DATE(S) OF CONFERENCE:					
(3) LOCATION OF CONFERENCE:					
<input type="checkbox"/> C. OTHER (Indicate type of item)					
7. DISTRIBUTION (List NRC distribution codes. Provide mailing address for special distribution not covered by NRC codes. If NRC staff, provide routing slip mail stop only. If external, provide complete mailing address.) RA 50 copies: Judy Liu, Technical Information Division, Bldg. 477B, Brookhaven National Laboratory, Upton, NY 11973 10 copies: Nilesh Chokshi, RES, NLS-217					
8. CERTIFICATION (ANSWER ALL QUESTIONS)					
YES	NO	A. REFERENCE AVAILABILITY - Is all material referenced in this report available to the public either through a public library, the Government Printing Office, the National Technical Information Service, or the NRC Public Document Room? If no, list the specific availability of a referenced document over the reference listing below.			
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NUREG Form 325 (2-89)		U.S. NUCLEAR REGULATORY COMMISSION	1. REPORT NUMBER <small>(Assigned by NRC, Add Vol., Subj., Rev., and Addition Numbers, if any.)</small>
<b>BIBLIOGRAPHIC DATA SHEET</b> <small>(See instructions on the reverse)</small>			NUREG/CR-5603 EGG-2607
2. TITLE AND SUBTITLE  Pressure-Dependent Fragilities for Piping Components: Pilot Study on Davis-Besse Nuclear Power Station			3. DATE REPORT PUBLISHED <small>MONTH YEAR</small> October 1990
			4. FUNDING OR GRANT NUMBER b5699
5. AUTHOR(S)  D.A. Wesley, T.R. Kipp, D.K. Nakaki, H. Hadidi-Tamjed			6. TYPE OF REPORT Technical
			7. PERIOD COVERED <small>(Interim Dates)</small>
8. PERFORMING ORGANIZATION - NAME AND ADDRESS <small>(If NRC, provide Division, Office or Region, U.S. Nuclear Regulatory Commission, and mailing address; if contractor, provide type and mailing address.)</small> ABB Impell Corporation 27401 Los Altos, Suite 480 Mission Viejo, CA 92691			Under contract to: Idaho National Engineering Laboratory EG&G Idaho, Inc. Idaho Falls, ID 83415
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10. SUPPLEMENTARY NOTES			
11. ABSTRACT <small>(200 words or less)</small> The capacities of four, low-pressure fluid systems to withstand pressures and temperatures above the design levels were established for the Davis-Besse Nuclear Power Station. The results will be used in evaluating the probability of plant damage from Interfacing System Loss of Coolant Accidents (ISLOCA) as part of the probabilistic risk assessment of the Davis-Besse nuclear power station undertaken by EG&G Idaho, Inc. Included in this evaluation are the tanks, heat exchangers, filters, pumps, valves, and flanged connections for each system. The probabilities of failure, as a function of internal pressure, are evaluated as well as the variabilities associated with them. Leak rates or leak areas are estimated for the controlling modes of failure. The pressure capacities for the pipes and vessels are evaluated using limit-state analyses for the various failure modes considered. The capacities are dependent on several factors, including the material properties, modeling assumptions, and the postulated failure criteria. The failure modes for gasketed-flange connections, valves, and pumps do not lend themselves to evaluation by conventional structural mechanics techniques and evaluation must rely primarily on the results from ongoing gasket research test programs and available vendor information and test data.			
12. KEY WORDS/DESCRIPTORS <small>(List words or phrases that will assist researchers in locating the report.)</small> pressure-dependent fragilities piping components Interfacing System Loss of Coolant Accidents (ISLOCA) probabilistic risk assessment Davis-Besse Nuclear Power Station			13. AVAILABILITY STATEMENT Unlimited
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