  
United States Nuclear Regulatory Commission  
*Protecting People and the Environment*

**RIC 2012  
Enforcement Statistics and Current  
Policy Initiatives**

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Acting Deputy Director/Office of Enforcement  
March 15, 2012

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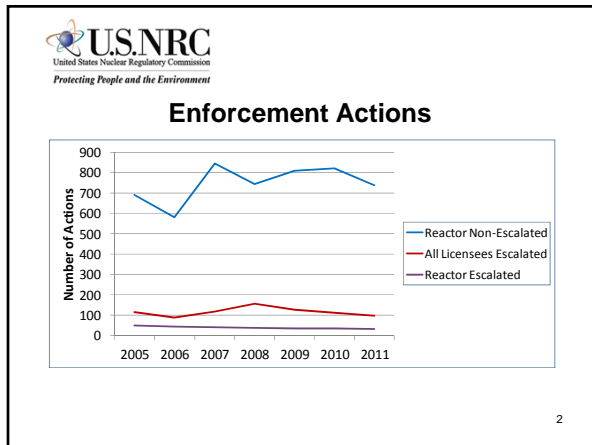
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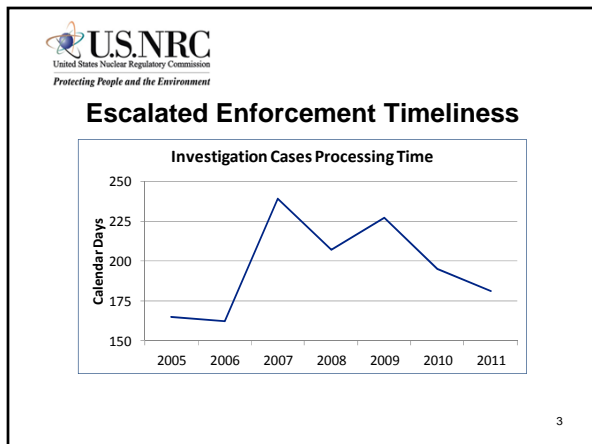
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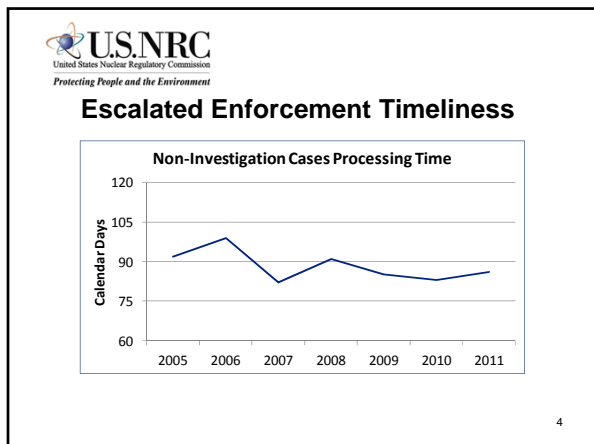
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- September 30, 2010 (75 FR 60485) - major revision
  - April 25, 2011 (76 FR 22802) - Interim Policy - minimum days off requirements of NRC's fitness for duty regulation
  - July 12, 2011 (76 FR 40777) - Interim Policy - extension of enforcement discretion for certain fire protection issues

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- SRM-SECY-09-0190, August 27, 2010
    - Approved issuance of major revision issued September 20, 2010
    - NRC staff directed to evaluate specific topics for inclusion in next Policy revision
    - In addition, NRC staff has evaluated other topics for next Policy revision

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**Enforcement Policy**  
Construction

- Reevaluate portions of the Policy on construction, including enforcement discretion
- Stakeholder Input
  - August 9, 2011 (76 FR 48919) – construction activities
  - August 30, 2011, held a public meeting on construction related proposals
- SECY-11-0155 proposed revision
- Current status

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**Enforcement Policy**  
Summary of Proposed Changes

- Guidance on use of daily civil penalties
- Credit for Fuel Cycle Licensees and others with corrective action programs
- Guidance on civil penalties to individuals who disclose safeguards information

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**Enforcement Policy**  
Summary of Proposed Changes (Continued)

- Revised and/or added violation examples including the export/import of regulated materials
- Modified guidance on civil penalties for loss of control of regulated material
- Added additional guidance on use of predecisional enforcement conferences

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**Enforcement Policy**  
Summary of Proposed Changes (Continued)

- Restored guidance on inaccurate and incomplete information
- Restored guidance on reporting of defects and noncompliance
- Added guidance on disclosure of information regarding an individual's trustworthiness and reliability

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**Enforcement Policy**  
Solicitation of Comments on Proposed Changes

- September 6, 2011 (76 FR 54986)
- December 6, 2011 (76 FR 76192)

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**Enforcement Policy**  
Overview of Comments Received

- 55 comments received on September and December FRNs
  - 8 comments endorsed the proposed policy or a specific aspect of it
  - 21 comments were not accepted by the staff
  - 26 comments resulted in revision to the proposed policy by staff

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**Enforcement Policy**  
Most Frequent Comments Received

- Daily civil penalties (CPs) and CPs to individuals who release Safeguards information
- Noncited Violation credit to licensees and non-licensees with approved corrective action programs
- Export/Import Activities violation examples

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**Enforcement Policy**  
Next Step

Submit proposed revisions to Commission for approval in spring 2012.

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**Enforcement Policy**  
Wrap-up

- The staff continues to identify areas for Enforcement Policy improvement and efficiency and will propose additional changes in future.
- For example, the staff intends to consider the pros and cons of issuing civil penalties, vice bans, to individuals, in certain instances.

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