

# U.S. NUCLEAR REGULATORY COMMISSION

## **DIRECTIVE TRANSMITTAL**

TN: DT-91-07

**To:** Branch Chiefs and Above

**Subject:** Transmittal of Directive 3.7, Unclassified Staff Publications in the NUREG Series

**Purpose:** Directive and Handbook 3.7 consolidate and replace Manual Chapters (MC) and Appendices 3201 on staff NUREGs, the sections in MC 3210 on staff book publishing, and MC 3212 on staff brochures and periodicals. This consolidated version conforms with the new management directive format. This directive also includes new coverage in several areas. It establishes procedures for the Director, Division of Freedom of Information and Publications Services, to centrally coordinate, when necessary, agency publications needing typesetting, graphics, color printing, special paper, etc. (Directive, paragraph 033). It also makes explicit the authority of Office Directors to delegate signature authority for the initial issuance and subsequent reprint of NUREG publications (Directive, paragraph 034). It establishes procedures for the submission of work for in-house typesetting on the NRC Electronic Publishing System (Handbook, Part I, K). Finally, the handbook expands procedural guidance on the selection of peer reviewers for NRC staff books (Part III, G).

**Office and Division of Origin:** Administration, Freedom of Information and Publications Services

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**Date Approved:** April 23, 1991

**Volume:** 3 Disclosure, Distribution, and Management of Information

**Directive:** 3.7 Unclassified Staff Publications in the NUREG Series

**Availability:** Distribution Unit, 49-27333

# ***Unclassified Staff Publications in the NUREG Series***

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## ***Directive***

*(Formerly  
MC 3201)* **3.7**

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# U. S. Nuclear Regulatory Commission

Volume: 3 Disclosure, Distribution, and Management  
of Information

ADM

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## Unclassified Staff Publications in the NUREG Series Directive 3.7

### Policy

(3.7-01)

All unclassified staff formal reports, brochures, pamphlets, and books published in the NUREG series by the U.S. Nuclear Regulatory Commission must adhere to the documentation and production requirements, standards, and practices specified in this directive and handbook. Staff-generated books funded by NRC and published by not-for-profit publishers also must comply with the relevant guidelines specified in this directive and handbook. Discretionary compliance is stated where appropriate.

### Objectives

(3.7-02)

- To ensure the production, dissemination, and public availability of information and publications as required by the Energy Reorganization Act of 1974 and the Freedom of Information Act. (021)
- To centrally manage the publication and production of all unclassified staff publications in the NUREG series. (022)
- To ensure that technical and management reviews of formal reports, brochures, and books are conducted prior to publication. (023)
- To ensure that book manuscripts receive peer review from experts within and outside the NRC prior to publication. (024)

**Unclassified Staff Publications in the  
NUREG Series  
Directive 3.7**

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## **Objectives**

(3.7-02) (continued)

- To ensure that all unclassified staff publications in the NUREG series carry the registered agency identification NUREG-0000 or NUREG/BR-0000, with the exception of books prepared for publishing by a not-for-profit publisher or grantee, and indicate the availability of source material used in publications in this series. (025)
- To ensure that national security, patent rights, copyrights, proprietary rights, and rights in other sensitive unclassified information are not compromised by the release or publication of information by NRC. (026)
- To provide uniform procedures for publishing formal reports, brochures, pamphlets, and books prepared by the NRC staff. (027)
- To obtain information needed to secure records for required control and budget reports to the Office of Management and Budget (OMB) on periodicals, staff formal reports, brochures, books, and pamphlets. (028)

## **Organizational Responsibilities and Delegations of Authority**

(3.7-03)

### **Executive Director for Operations**

(031)

Delegates through the Deputy Executive Director for Nuclear Materials Safety, Safeguards, and Operations Support to the Office of Administration (ADM) the responsibility for administration of the agency's publications program and for compliance with OMB reporting requirements for agency publications in the NUREG series and other publications specified in this directive.

**Director, Office of Administration  
(032)**

As delegated from the Deputy Executive Director for Nuclear Materials Safety, Safeguards, and Operations Support, develops and maintains, in consultation with Directors of Offices and Divisions and Regional Administrators, NRC policies, standards, practices, and guides for:

- Producing, publishing, and ensuring the public availability of unclassified staff formal reports, brochures, pamphlets, and books in the NUREG series. (a)
- Complies with OMB reporting requirements for agency publications in the NUREG series. (b)

**Director, Division of Freedom of  
Information and Publications  
Services, ADM  
(033)**

- As delegated from the Director, ADM, develops and administers a central agency publication numbering system for identifying, reviewing, producing, and retrieving staff publications in the NUREG series. (a)
- Develops, maintains, and applies guides and standards for the documentation, formatting, composition, printing, and public availability of staff publications in the NUREG series consistent with the agency's mission and Government Printing and Binding Regulations requirements issued by the Joint Committee on Printing of the Congress of the United States. (b)
- Approves or delegates approval for all publications in the NUREG series and other items that will result in the preparation of camera-ready copy for printing when they are new periodicals or when they require one or more of the following: (c)
  - More than one color ink
  - Coated stock for either cover or text
  - Nonstandard trim size.

**Unclassified Staff Publications in the  
NUREG Series  
Directive 3.7**

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**Directors of Offices and Regional  
Administrators**

(034)

- Determine what technical, policy, and peer reviews are needed for unclassified staff publications in the NUREG series. (a)
- Designate officials from their office or region who can authorize the release of publications in the NUREG series for printing. (b)
- Evaluate merits of book proposals from NRC staff to ensure that the book proposed has a unique technical purpose and serves an industry-wide need. (c)
- May authorize issuance of a publication, with the concurrence of the EDO, with the following disclaimer printed in the publication if, upon review, the publication does not represent an agreed-upon staff position:

This publication was prepared by an employee(s) of the U.S. Nuclear Regulatory Commission. It expresses opinions that do not necessarily represent a staff position of the NRC; this publication has neither been approved nor disapproved.

This statement may appear on the inside front cover of the report or as part of the preface. (d)

**Applicability**

(3.7-04)

**Employees**

(041)

This directive and its 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 contractor publications in the NUREG series, regulatory guides, or regulations. Nor do these provisions apply to adjudicatory issuances by the Commission, NRC independent boards and panels, presiding officers, and administrative law judges, as well as Director's Decisions,



**Other Publications**  
(042) (continued)

published in NUREG-0750, *Nuclear Regulatory Commission Issuances*.

**Handbook**  
(3.7-05)

Detailed guidelines for the preparation of staff publications are contained in Handbook 3.7.

**References**  
(3.7-06)

1. Executive Order 12291—Federal Regulation Requirements, February 17, 1981 (5 U.S.C. 5601 Note).
2. Title 17, U.S. Code, “Copyrights.”
3. Government Printing and Binding Regulations, S. Pub. 99-12, November 1987.
4. Government Publications, OMB Circular A-3, May 2, 1985, revision.
5. Energy Reorganization Act of 1974 (42 U.S.C. 5801, et seq.).
6. The Freedom of Information Act (5 U.S.C. 522).
7. Title 44, U.S. Code, “Public Printing and Documents.”
8. NUREG-0650, Revision 1, “Publishing Documents in the NUREG Series,” November 1990.

# ***Unclassified Staff Publications in the NUREG Series***

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## ***Handbook***

*(Formerly  
Appendix 3201)* **3.7**

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## **Introduction**

This handbook specifies the procedures necessary for NRC staff members to follow when preparing the following kinds of NUREG-series publications for printing and dissemination:

- Regulatory and Technical Reports
- Brochures and Booklets
- Books published by NRC and by Not-for-Profit Publishers

Any publication in the NUREG series or other items (e.g., posters) resulting in a camera-ready copy that involves substantial or critical contributions from one or more of the following organizations may be formally coordinated by the Director, Division of Freedom of Information and Publications Services (DFIPS), or designee, if the Director determines coordination is necessary to ensure delivery of the final printed product by the due date promised to the staff client.

- Typesetting or composition by the Printing Section, DFIPS.
- Graphics preparation by the Automated Graphics Section, Office of Information Resources Management (IRM).
- Fulfillment of special publication requirements by the Government Printing Office, like color, coated paper or cover stock, or hard back binding.

The Director, DFIPS, or designee, will develop and maintain a written schedule of commitments by each staff member involved in the preparation of camera-ready copy for such projects. The schedule will include:

- The type and extent of typesetting, graphics, editing, and other commitments made.
- The name and organization of each staff member having commitments.
- The due and completion dates for each commitment.

## **Introduction** (continued)

- Any delays in the schedule, the reasons for them, and how long they are expected to last.

Where changes to the schedule are deemed necessary and approved by the Director, DFIPS, or designee, all other staff having subsequent commitments will be notified and a schedule adjustment will be negotiated and submitted to the staff client for concurrence.

# Part I

## Regulatory and Technical Reports

Regulatory and technical reports are prepared to present the following types of information:

- Support of regulatory decisions.
- Results of licensing studies of specific plants or facilities preliminary to licensing actions.
- Results of reviews of generic analyses or resolution of general or specific problems of a regulatory or technical nature that are of interest to a major segment of the industry.
- Action and review plans and guidance for meeting NRC requirements.
- Task force reports on specific topics.
- Proceedings of conferences and workshops.\*
- Management and program analysis reports.
- Statistical analyses and administrative information of interest to the staff, the industry, and the public.

### **Identifying Regulatory and Technical Reports (A)**

The following information will either be issued by the Division of Freedom of Information and Publications Services (DFIPS), like the report number, or incorporated into the report by DFIPS based on information provided by the report originator. To obtain a NUREG number, call the Printing Section of DFIPS on FTS 49-27705. Depending on the type of report planned, the Printing Section may arrange to meet with you to discuss the report's publication production requirements and schedule. They will also obtain from you the other relevant information about the report specified in this section of the handbook.

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\*Refer to Directive 3.11, Conferences and Conference Proceedings (formerly MC 3207), for guidance about proceedings of conferences and workshops.



## **Identifying Regulatory and Technical Reports (A) (continued)**

If a formal consultation is required, a meeting will be scheduled with the staff person and appropriate representatives from DFIPS, the Automated Graphics Services Section, Office of Information Resources Management, and any other staff involved in the preparation of the camera-ready copy to establish a publication and printing schedule and resolve publication production issues.

### **NUREG Number (1)**

Each NRC-published regulatory and technical report must be identified by a unique alphanumeric designation. For NRC-generated publications, the alpha designation NUREG is followed by a four-digit numeric identifier — 0000. Reports consisting of more than one volume or that are issued in more than one edition must be so identified by the appropriate volume, number, supplement, part, addendum, or revision designation. The Printing Section of DFIPS issues and maintains these numbers for staff publications in order of request for tracking and inventory-retrieval purposes.

### **Author(s) Name (2)**

Authors' names must appear on the report cover and title page unless doing so is impractical, as for an annual report having many contributors, NRC licensing reports (e.g., Safety Evaluation Reports, Technical Specifications), or task force reports. Author names for task force reports usually appear on a separate page following the title page. Editors or compilers with subject-area expertise may also be identified on the cover and title page. The authors' affiliation need not be listed unless it is other than the Nuclear Regulatory Commission.

### **Agency Identification (3)**

The name of the NRC office or region issuing the report must be listed on the cover. The title page must contain the name and address, including ZIP Code, of the NRC organization to which inquiries concerning the work must be addressed. This listing should contain no more than two levels of an organization—the division and office.

### **Previous Reports in Series (4)**

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

## Identifying Regulatory and Technical Reports (A) (continued)

### Report Dates (5)

The DFIPS staff will list the report dates on the title page for 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 NRC technical reports will vary, depending on their purpose and scope. Detailed information about the organization and component parts of technical reports, as well as writing guidelines for them, appear in Section 5.5 of "Publishing Documents in the NUREG Series" (NUREG-0650, Revision 1).

Each NRC-generated regulatory and technical report 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 1). Instructions for completing Form 335 appear on its back. The Form 335 must be bound into all NRC technical reports sent to the National Technical Information Service (NTIS). NTIS uses the information from Form 335 to create bibliographic citations for its data base of Federal scientific and technical publications.

## Pre-Publication Reviews (C)

Before submission to DFIPS, the originator must determine whether the report should undergo, as appropriate, patent, security, or copyright reviews.

### Patent Review (1)

Address questions about the presence of patentable information to the Office of the General Counsel, Assistant General Counsel for Administration, at FTS 49-21553. When a patent is involved, the patent counsel's signature must appear on NRC Form 426 (Exhibit 2) when the report manuscript is submitted to DFIPS for printing.

### Security Review (2)

Address questions about the presence of classified or sensitive unclassified information to the Division of Security, ADM, at FTS 49-24100.

## **Pre-Publication Reviews (C) (continued)**

### **Copyright Review (3)**

Do not reproduce copyrighted material in NRC reports without written permission from the copyright holder. See NUREG-0650, Revision 1, Section 3.4, for information about obtaining permission to print copyrighted information. Allow a minimum of 6 weeks to obtain permission. If there are further questions, contact an NRC copyright attorney at FTS 49-21553.

## **Color Printing (D)**

All requests for color printing must be approved by the Director, DFIPS, after initial evaluation by the Printing Section, DFIPS. Regulations issued by the Joint Committee on Printing (JCP) of the Congress of the United States 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 printed items do not meet the "demonstrable value" criteria where:

## Color Printing (D) (continued)

- Additional color is used primarily for decorative effect. (a)
- Additional color is used primarily in lieu of effective layout and design. (b)
- 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)
- The inclusion of multicolor does not reflect careful, competent advanced planning recognizing the contribution that the use of color is expected to make to the ultimate end-purpose. (d)

Typical NRC publications that comply with these regulations include recruiting brochures and booklets, safety posters, technical reports, and a compilation like *Case Histories of Radiography Events*, that shows color photographs of the effects on humans of radiation overexposure.

All requests for color printing must be signed by a Division Director or comparable authority and be approved by the Director, DFIPS/ADM, or designee.

## Disclaimers (E)

### Guidance and Acceptance Criteria for Licensees (1)

NRC positions communicated to licensees are not binding requirements unless they are formally issued as regulations or set forth in orders or as part of a permit or license. Accordingly, reports that provide guidance and acceptance criteria to licensees should contain one of the following statements or its equivalent.

For guidance:

- NUREG-000 is being issued to provide guidance that NRC staff believes should be followed to meet the requirements of [cite]. NUREG-0000 is not a substitute for the regulations, and compliance is not a requirement. However, an approach or method different from the guidance contained here will be accepted only if the substitute approach or method provides a basis for determining that the above-cited regulatory requirements have been met.

## **Disclaimers (E) (continued)**

### **Staff Position Disagreement (2)**

See Directive 3.7-03(34)(d) for guidance about the disclaimer for publications that do not represent an agreed-upon staff position.

For acceptance criteria:

- NUREG-0000 is being issued to establish criteria that the NRC staff intends to use in evaluating whether an applicant/licensee meets the requirements of [cite]. NUREG-0000 is not a substitute for the regulations, and compliance is not a requirement. However, the use of criteria different from those set forth here will be accepted only if the substitute criteria provide a basis for determining that the above-cited regulatory requirements have been met.

### **Location of Disclaimers (3)**

These statements must be printed in a box that appears on the title page of the report. The DFIPS staff will produce the boxed disclaimer when creating the cover and title page for the report. These statements may also be incorporated into the preface or introduction to the report, if appropriate.

## **Computer Codes (F)**

Staff reports based on or related to a computer code must comply with the standards contained in Directive 2.2, Planning and Control of Automatic Data Processing (ADP) Resources (formerly MC 0904).

## **Availability of Information (G)**

### **Reference Material (1)**

Reports or other documents referenced in text, reference sections, bibliographies, and appendixes of unclassified regulatory and technical reports 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. Do not make reference to personal communications and

## Availability of Information (G) (continued)

### Reference Material (1) (continued)

interviews, unpublished information, and information with restricted distribution (e.g., proprietary, national security, official use only). Reference a nonproprietary version of a publicly available proprietary report. If the unretrievable information is important and unrestricted, quote it in the text, in footnotes, or in appendixes. Provide any credit due to individuals in the text or in an acknowledgement section.

For detailed guidelines for developing and presenting reference material, as well as for acknowledging help, see NUREG-0650, Revision 1.

### Regulatory and Technical Reports (2)

Most final NUREG reports are sold by the Government Printing Office (GPO) and the National Technical Information Service (NTIS). A statement indicating this availability is added to each report by the Regulatory Publications Branch staff (DFIPS) before the report is printed.

## Graphics Support (H)

Submit graphics requirements to the Automated Graphics Section, IRM, for preparation. The Director, DFIPS, or designee, will refer to the Automated Graphics Section requests for the preparation of charts, graphs, illustrations, presentation graphics, computer graphics, logo or brochure designs, and design specifications for documents published by NRC. Camera-ready art DFIPS identifies as not having been prepared or reviewed by the Automated Graphics Section will be referred to that section for review.

## Draft Reports (I)

When public and industry comments are requested for a report, the phrase, "Draft Report for Comment," must appear as a subtitle.

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 (J)**

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

Submit a completed NRC Form 335 (Exhibit 1A) to the Regulatory Publications Branch when the report is ready for printing. Form 335 must be bound into all NRC regulatory and technical reports sent by NRC to NTIS. NTIS uses the information from the Form 335 to create bibliographic citations for its data base of Federal scientific and technical publications. Instructions for completing Form 335 appear on the reverse side of the form (Exhibit 1B).

### **Release to Publish Unclassified NRC Staff Publications (Form 426) (2)**

Submit a completed NRC Form 426 (Exhibit 2) to the Regulatory Publications Branch (DFIPS) when the report is ready for printing. Form 426 must be signed by the responsible NRC staff member and the NRC official authorizing release. Include information on distribution requirements as well as developmental cost estimates. NRC must submit developmental costs for agency publications to the Office of Management and Budget (OMB) annually in response to OMB Circular A-3, "Government Publications." Instructions for completing Form 426 appear on the form.

## **Typesetting (K)**

### **Candidate Reports for Typesetting (1)**

Most agency staff regulatory and technical reports will be typeset on the NRC electronic publishing system (EPS). The decision to typeset a report will be made when the author meets with the Printing Section, DFIPS, to discuss the publications production requirements and schedule for the report.

### **Submitting Work for Typesetting (2)**

Submit text for typesetting to the EPS in one of two ways. To send text via the agency's 5520 word processing system, communicate it to the following node and local address: NRCADM/LEADOP. In the message area, indicate "from whom" and "for what." The electronic composition staff will call to verify receipt of the text. For text captured in ASCII, WordPerfect, or DisplayWrite, submit a 5-1/4 or 3-1/2-inch diskette with NRC Form 411 (Exhibit 3) to the Printing Section, Phillips Building, P-912. No special typesetting codes or

## **Typesetting (K) (continued)**

### **Submitting Work for Typesetting (2) (continued)**

commands are necessary, regardless of how the information is sent. The alternative is to submit fully completed, proofed, and approved text with the NRC Form 426 signed by the responsible NRC staff member and the NRC official authorizing release. After the EPS staff completes typesetting, the opportunity to proofread the text solely to correct any inadvertent omissions or any typographical errors resulting from the typesetting process will be provided to the originator.

## **Printing and Reprinting (L)**

Printing will be arranged by the DFIPS staff on a schedule mutually agreed-upon between you and the DFIPS staff. Detailed information about priorities in printing schedules can be found in the handbook portion of Directive 3.13, Printing, Copying, and Typesetting (formerly MC 0260).

Submit a memorandum requesting a **reprint** to the Director, DFIPS, for approval. Include with the request a written justification from the project manager or the lead staff person. Provide address labels for recipients of the reprinted copies, if appropriate.

## **Distribution (M)**

The Regulatory Publications Branch, DFIPS, will arrange distribution in accordance with distribution guidance provided on NRC Form 426 (Exhibit 2). Provide address labels for report recipients, if appropriate.



## **Part II**

### **Brochures (NUREG/BRs)**

#### **Definition (A)**

Brochures refer to a class of publications that encompass a variety of agency issues. The class contains pamphlets, booklets, newsletters, manuals, user guides, and other publications that may be issued once or periodically. Some are publicly available while others are intended solely for internal agency use. Their variety derives from the fact that each is not readily classifiable by purpose or subject into a recognized category of agency information, like regulatory and technical reports, inspection reports and bulletins, regulatory guides, regulations, and the like.

The Printing Section, DFIPS, issues unique NUREG/BR numbers for these publications in order of request and maintains control of them for tracking and inventory-retrieval purpose.

#### **Publication Procedures (B)**

##### **NUREG/BR Number (1)**

To obtain a NUREG/BR number, call the Printing Section at 49-27705. The staff will arrange a meeting to discuss the publication production requirements and schedule for the brochure.

##### **Copyright Clearance (2)**

Obtain prior permission to use any copyrighted material from the author or publisher. See NUREG-0650, Revision 1, Section 3.4, for detailed information about obtaining copyright releases.

##### **Design, Layout, and Graphics Support (3)**

The design and layout of these publications will necessarily vary with their content, purpose, and audience. The Director, DFIPS, or designee will refer those brochures requiring layout and design to the

## **Publication Procedures (B) (continued)**

### **Design, Layout, and Graphics Support (3) (continued)**

Automated Graphics Section staff, IRM, for design guidance and execution.

Any other requests for the preparation of charts, graphs, illustrations, presentation graphics, computer graphics, or designs of any kind will be referred to the Automated Graphics Section by the Director, DFIPS, or designee.

### **Color Printing (4)**

The guidelines concerning the use of color printing in NUREG-series reports specified in Section I(D) of this handbook also pertain to publications in the NUREG/BR series.

### **Forms (5)**

When the brochure is ready for printing, submit it to the Regulatory Publications Branch, DFIPS, with an NRC Form 426 (Exhibit 2). Form 426 must be signed by the responsible NRC staff member and the NRC official authorizing release. It must also contain information on distribution requirements and include developmental cost estimates. Developmental costs for agency publications are submitted to the Office of Management and Budget (OMB) annually in response to OMB Circular A-3, "Government Publications." Instructions for completing Form 426 appear on the form.

### **Distribution (6)**

Distribution will be arranged by the Regulatory Publications Branch, DFIPS, in accordance with distribution guidance provided on NRC Form 426 (Exhibit 2). Provide address labels, if appropriate.

### **Public Availability (7)**

Specify on NRC Form 426 whether the brochure may be made publicly available or whether it is intended solely for internal NRC distribution.

One-time brochures that are publicly available are usually sent to the Government Printing Office (GPO) for sale to the public and to the NRC Public Document Room. Some periodical publications, like the NRC Telephone Directory, are sold by GPO on a subscription basis.

## **Publication Procedures (B) (continued)**

### **Public Availability (7) (continued)**

When planning to issue a publicly available periodical publication that is a candidate for GPO subscription sales, contact the Regulatory Publication Branch, DFIPS, 6 to 8 weeks in advance of the first issue. This period of time will allow GPO to solicit subscribers by announcing the upcoming availability of the periodical.

### **Reprints (8)**

Submit a memorandum requesting a reprint to the Director, DFIPS. Include an explanation of the need for the request. Also provide distribution information and include labels for recipients not on NRC standard distribution lists.

## Part III

### Books Published by NRC

The provisions of this directive and handbook apply to NRC staff members as well as to members of NRC boards, panels, and advisory committees that report directly to the Commission. These provisions apply to books to be printed and sold for NRC by GPO or by a not-for-profit publisher. Guidance on book manuscript preparation can be found in NRC's "Publishing Documents in the NUREG Series," NUREG-0650, Revision 1, and in the *GPO Style Manual*.

#### Definition (A)

A book refers to a publication intended as a permanent reference, as a textbook, or as a 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, etc. The binding (casebound or paperback) will be chosen by mutual agreement between the author and DFIPS according to the need for durability.

Format specifications appropriate to the book's subject matter will be developed by an editor selected by DFIPS.

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)

A NUREG number will be assigned by the Printing Section, DFIPS, when the manuscript is submitted for typesetting or printing. It may also be obtained in advance. The assigned number will appear on the title page but not on the cover.

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

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 immediately below the document number.

## **Cover and Title Page (D)**

The DFIPS staff will arrange for design of the cover and title page to contain appropriate information concerning:

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

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

The guidelines for availability of reference material applicable in Section I(G) of this handbook also apply to books published by NRC.

## **Graphics Support (F)**

Submit graphics requirements to the Automated Graphics Section, IRM, for preparation. Requirements for the preparation of charts, graphs, illustrations, presentation graphics, computer graphics, or designs of any kind will be referred to the Automated Graphics Section by the Director, DFIPS, or designee.

## **Reviews (G)**

### **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.

## **Reviews (G) (continued)**

### **Peer (1) (continued)**

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

## **Reviews (G) (continued)**

### **Copyright (2)**

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

### **Security (3)**

Address questions about the presence of classified or sensitive unclassified information to the Division of Security, ADM. The agency official's signature on NRC Form 426 (Exhibit 2) submitted to DFIPS ensures that the publication submitted for printing contains no classified or sensitive unclassified information.

### **Patent (4)**

Address questions about the presence of patentable information to the Office of the General Counsel. When a patent is involved, the patent counsel's signature must appear on NRC Form 426 (Exhibit 2) when the book manuscript is submitted to DFIPS for printing.

## **Publishing Forms (H)**

Submit a signed, completed NRC Form 426 (Exhibit 2) to the Regulatory Publications Branch (DFIPS) with the book manuscript.

## **Typesetting (I)**

DFIPS will make arrangements for typesetting the book manuscript on a mutually agreed-upon schedule with the originator.

## **Printing (J)**

DFIPS will submit the book manuscript to GPO for printing. The printing cycle requires from 6 to 8 weeks.

## **Distribution and Sales (K)**

The Regulatory Publications Branch (DFIPS) will arrange distribution in accordance with distribution guidance the originator provides on NRC Form 426 (Exhibit 2).

## **Distribution and Sales (K) (continued)**

Limit free distribution to those who contributed materially to the book or for whom the book's subject matter bears directly on their work at or for NRC.

The Regulatory Publications Branch, DFIPS, will arrange to make the book available for sale at GPO.



## **Part IV**

# **Books Published by a Not-for-Profit Publisher**

### **Rationale (A)**

Publication of a staff-generated book by a not-for-profit publisher, where time to write and edit the book is funded by NRC, is justified when the objectivity of the work could be open to question if it were issued by NRC under the imprint of the Government Printing Office (GPO). Publication by a not-for-profit publisher (typically a university press) would help to ensure that the manuscript receives anonymous and objective peer review by experts outside of Government. These books are issued solely by the publisher and do not receive an NRC NUREG number.

### **Joint Committee on Printing Prior Approval (B)**

Requests for this publication arrangement must be authorized in writing by the Joint Committee on Printing (JCP) of the Congress of the United States. Submit an initial request by memorandum to the Director, DFIPS, the official NRC liaison with the JCP.

### **Costs (C)**

The publisher selected shall assume all costs for the publication, marketing, and distribution of the book.

### **Royalties (D)**

Any royalties earned on the book must be returned to the Treasury of the United States through the Nuclear Regulatory Commission. Royalty terms are to be negotiated between the Director, DFIPS, in consultation with the staff office and the publisher.

## **Depository Library Copies (E)**

DFIPS will ensure that the Superintendent of Documents receives sufficient copies of the work to allow for distribution to the Depository Library Program.

## Glossary\*

**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.** A 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.

**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.

**Distribute.** To dispense reports to specific organizations and individuals to ensure their participation in the regulatory process and support of research and technological investigations. Distribution may be accomplished by using standard distribution data banks established and maintained by the Division of Information Support Services, IRM, at the originating office's or region's request.

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

## Glossary (continued)

**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, 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, etc. If extensive revisions have been made to the text and the book is reprinted, the revised version is the new edition.

**Index.** An alphabetical list of all major topics discussed in a book that cites page numbers where each topic can be found and, generally, appears as the last section of a book.

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

**Not-for-profit publisher.** A publisher that functions primarily for scientific, educational, service, charitable, or similar purposes in the public interest, is not organized primarily for profit, and that uses all income exceeding costs to maintain, improve, and/or expand its operations.

**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.

## Glossary (continued)

**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 these 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 for which a copyright never existed, such as U.S. Government publications, or when a copyright has expired.

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

**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.

**Royalties.** A payment made to an author or organization by a publisher for each copy of a publication sold.

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

**Typesetting.** 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.

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

Unclassified Staff Publications in the  
**NUREG Series**  
**Handbook 3.7 Exhibits**

# Exhibit 1A

<p>NRC FORM 335 (2-89)</p> <p style="text-align: center;"><b>BIBLIOGRAPHIC DATA SHEET</b> (See instructions on the reverse)</p>	<p>U. S. NUCLEAR REGULATORY COMMISSION</p>	<p>1. REPORT NUMBER (Assigned by NRC, Add Vol., Supp., Rev., and Addendum Numbers, if any.)</p> <p style="text-align: center;">NUREG-1396</p>				
<p>2. TITLE AND SUBTITLE</p> <p style="text-align: center;">Environmental Assessment of the Thermal Neutron Activation Explosive Detection System for Concourse Use at U.S. Airports</p>		<p>3. DATE REPORT PUBLISHED</p> <table style="width: 100%; border: none;"> <tr> <td style="text-align: center; border: none;">MONTH</td> <td style="text-align: center; border: none;">YEAR</td> </tr> <tr> <td style="text-align: center; border: none;">August</td> <td style="text-align: center; border: none;">1990</td> </tr> </table>	MONTH	YEAR	August	1990
MONTH	YEAR					
August	1990					
<p>5. AUTHOR(S)</p> <p style="text-align: center;">C. G. Jones</p>		<p>4. FUND OR GRANT NUMBER</p> <p>6. TYPE OF REPORT Technical</p> <p>7. PERIOD COVERED (Inclusive Dates) 1989-February 1990</p>				
<p>8. PERFORMING ORGANIZATION - NAME AND ADDRESS (If NRC, provide Division, Office or Region, U.S. Nuclear Regulatory Commission, and mailing address; if contractor, provide name and mailing address.)</p> <p style="text-align: center;">Division of Industrial and Medical Nuclear Safety          Office of Nuclear Material Safety and Safeguards          U.S. Nuclear Regulatory Commission          Washington, DC 20555</p>						
<p>9. SPONSORING ORGANIZATION - NAME AND ADDRESS (If NRC, type "Same as above." If contractor, provide NRC Division, Office or Region, U.S. Nuclear Regulatory Commission, and mailing address.)</p> <p style="text-align: center;">Same as above.</p>						
<p>10. SUPPLEMENTARY NOTES</p>						
<p>11. ABSTRACT (200 words or less)</p> <p>This document is an environmental assessment of a system designed to detect the presence of explosives in checked airline baggage or cargo. The system is meant to be installed at the concourse or lobby ticketing areas of U.S. commercial airports and uses a sealed radioactive source of californium-252 to irradiate baggage items. The major impact of the use of this system arises from direct exposure of the public to scattered or leakage radiation from the source and to induced radioactivity in baggage items. Under normal operation and the most likely accident scenarios, the environmental impacts that would be created by the proposed licensing action would not be significant.</p>						
<p>12. KEY WORDS/DESCRIPTORS (Use words or phrases that will assist researchers in locating the report.)</p> <p>Explosive Detectors          Thermal Neutron Activation          TNA          EDS          Airline Baggage Inspection Systems</p> <p style="text-align: right;">SAIC Model EDS-3C          Californium-252          Federal Aviation Administration (FAA)          Concourse Explosive Detectors</p>		<p>13. AVAILABILITY STATEMENT Unlimited</p> <p>14. SECURITY CLASSIFICATION (This Page) Unclassified (This Report) Unclassified</p> <p>15. NUMBER OF PAGES</p> <p>16. PRICE</p>				

NRC FORM 335 (2-89)

## Exhibit 1B

DO NOT PRINT THESE INSTRUCTIONS AS A PAGE IN THE NUREG REPORT

### INSTRUCTIONS

NRC FORM 335, BIBLIOGRAPHIC DATA SHEET, IS BASED ON GUIDELINES FOR FORMAT AND PRODUCTION OF SCIENTIFIC AND TECHNICAL REPORTS, ANSI Z39.18-1987 AVAILABLE FROM AMERICAN NATIONAL STANDARDS INSTITUTE, 1430 BROADWAY, NEW YORK, NY 10018. EACH SEPARATELY BOUND REPORT—FOR EXAMPLE, EACH VOLUME IN A MULTIVOLUME SET—SHALL HAVE ITS UNIQUE BIBLIOGRAPHIC DATA SHEET.

- 1. REPORT NUMBER.** Each individually bound report must carry a unique alphanumeric designation (NUREG) assigned by the Regulatory Publications Branch, Division of Freedom of Information and Publications Services, in accordance with American National Standard ANSI Z39.23-1983, Standard Technical Report Number (STRN). Use uppercase letters, Arabic numerals, slashes, and hyphens only, as in the following examples: NUREG-0100, NUREG/CP-0010, NUREG/CR-0100, and NUREG/BR-0010. For reports in a series add Vol., Supp., Rev., and Addendum, when necessary. Add contractor cross-reference identification number (if any) below NUREG-series number, e.g., PNL-XXXX, SANDXX-XXXX, SAI-XXXX.
- 2. TITLE AND SUBTITLE.** Title should indicate clearly and briefly the subject (coverage) of the report; including any subtitle to the main title. When a report is prepared in more than one volume, repeat the primary title, add volume number and include subtitle for the specific volume. Use upper and lower case letters, but capitalize computer code names. Do not use acronyms and initialisms in titles; may be added in parenthesis.
- 3. DATE REPORT PUBLISHED.** Each report must carry a date indicating month and year published.
- 4. FIN OR GRANT NUMBER.** Insert the FIN or grant number under which report was prepared.
- 5. AUTHOR(S).** Give name(s) in conventional order (e.g., John R. Doe, J. Robert Doe). List author's affiliation if it is different from the performing organization.
- 6. TYPE OF REPORT.** State draft, final, preliminary, topical, technical, regulatory, annual, quarterly, etc.
- 7. PERIOD COVERED.** Add inclusive dates.
- 8. PERFORMING ORGANIZATION NAME AND MAILING ADDRESS.** Give name, street, city, state, and ZIP code. List no more than two levels of an organizational hierarchy. Display the name of the organization exactly as follows: Division, Office, Organization or Government agency, and address.
- 9. SPONSORING ORGANIZATION.** If NRC, type "Same as above"; if contractor, provide NRC Division, Office or Region, U.S. Nuclear Regulatory Commission, and mailing address.
- 10. SUPPLEMENTARY NOTES.** Enter information not included elsewhere but useful, such as: Prepared in cooperation with ... Presented at conference of ... To be published ... Docket No. ... When a report is revised, indicate whether the new report supersedes or supplements the older report.
- 11. ABSTRACT.** Include a brief (200 words or less) factual summary of the most significant information contained in the report. If the report contains a significant bibliography or literature survey or multiple volumes, mention it here. Abstract is to be prepared by author or project manager.
- 12. KEY WORDS/DESCRIPTORS.** Select from the Energy Data Base Subject Thesaurus, DOE/TIC-700R R-5, the proper authorized terms that identify the major concept of the research and are sufficiently specific and precise to be used as index entries for cataloging.
- 13. AVAILABILITY STATEMENT.** Denote public releasability, for example "unlimited", or limitation for reasons other than security.
- 14. SECURITY CLASSIFICATION.** Enter U.S. Security Classification in accordance with U.S. Security Regulations (i.e., unclassified).
- 15. NUMBER OF PAGES.** Leave blank. (Added by NTIS)
- 16. PRICE.** Leave blank. (Added by NTIS)

U.S. GOVERNMENT PRINTING OFFICE: 1988 O-844-854

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## Exhibit 2

NRC FORM 426 (3-89)		U.S. NUCLEAR REGULATORY COMMISSION  <b>RELEASE TO PUBLISH          UNCLASSIFIED NRC STAFF PUBLICATIONS</b>  <i>(Please Type or Print)</i>		1. REPORT NUMBER (if any)  <b>NUREG-1407</b>  <small>Obtain from the Technical Publications Section on 492-7953</small>	
2. TITLE AND SUBTITLE (State in full as shown on report, speech, or paper.) <b>Procedural and Submittal Guidance for Individual Plant Examination of External Events (IPEEE) for Severe Accident Vulnerabilities</b>					
3. CONFERENCE PAPER OR SPEECH (If it is a conference paper or speech, provide date and location of conference or speech.)					
4. DISTRIBUTION (List NRC distribution codes. Provide mailing labels for special distribution not covered by NRC codes. If NRC staff, provide name and mail stop only. If external, provide complete mailing address.)  <p align="center">GL, 1A, 1B, 1M, 1S, 1V, 9R, &amp; CV</p>					
5. OMB-REQUIRED DATA SURVEY					
1000		A. Hours spent writing, editing, and compiling the report.			
1		B. Number of graphic figures (excluding tables).			
65		C. Total pages typed, including all drafts. Include pages typed by the program office and processed by the Electronic Composition Services Section.			
0		D. Computer time (excluding word processing).			
N/A		E. Frequency of issuance or update. <input type="checkbox"/> ANNUALLY <input checked="" type="checkbox"/> SEMIANNUALLY <input type="checkbox"/> QUARTERLY <input type="checkbox"/> MONTHLY <input type="checkbox"/> LESS OFTEN			
YES		6. CERTIFICATION (ANSWER ALL QUESTIONS)			
NO					
X		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 referenced document with the reference listing below.  SPECIFIC AVAILABILITY			
	X	B. COPYRIGHTED MATERIAL - Does this report contain copyrighted material? If yes, attach a letter of release from the source that owns the copyright.			
	X	C. COMPUTER CODES - If this report contains a computer code, does it comply with the standards in NRC Manual Chapter 0904, "Planning and Control of Automatic Data Processing (ADP) Resources?"			
	X	D. PATENT CLEARANCE - Does this report require patent clearance? If yes, the NRC Patent Counsel must signify clearance by signing below.			
		NRC PATENT COUNSEL (Type or Print Name)		SIGNATURE	DATE
	X	E. INFORMATION REQUESTS - Does this report contain any questionnaires, surveys, or data collection requests?			
	X	F. LICENSING REQUIREMENTS - Does this report impose requirements on licensees?			
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B. ACTION REQUESTED			9. AUTHORIZATION		
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	PRINT IN NON-NRC PUBLICATION		<i>Warren Minners</i>		
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	NO PAGE CHARGES REQUIRED		DATE		
			6/23/90		



