

UNITED STATES  
NUCLEAR REGULATORY COMMISSION  
OFFICE OF NUCLEAR MATERIAL SAFETY AND SAFEGUARDS  
WASHINGTON, DC 20555

July 20, 2006

**NRC REGULATORY ISSUE SUMMARY 2006-11,  
REQUESTING QUALITY ASSURANCE PROGRAM APPROVAL  
RENEWALS ONLINE BY ELECTRONIC INFORMATION EXCHANGE**

**ADDRESSEES**

All 10 CFR Part 71 quality assurance program and certificate holders.

**INTENT**

The U. S. Nuclear Regulatory Commission (NRC) is issuing this regulatory issue summary (RIS) to inform addressees of the option to renew the quality assurance (QA) program approval online, to improve efficiency, effectiveness, and timeliness of renewals.

No specific action or written response is required.

**BACKGROUND**

Under 10 CFR 71.1(a), documents may be submitted to NRC, over the Internet, by Electronic Information Exchange (EIE). On February 8, 2005, the Spent Fuel Project Office (SFPO) held a conference, with licensees and certificate holders, to discuss how to improve the licensing process for 10 CFR Parts 71 and 72. At the conference, SFPO sought feedback from SFPO stakeholders about the efficiency and effectiveness of NRC licensing and certification processes for transportation and storage reviews. One theme that emerged at the conference was the need for more efficient and timely communication between NRC and stakeholders, regarding schedules and resources.

The general licenses and certificates issued under Part 71 apply only to licensees and certificate holders who have quality assurance programs approved by the NRC as satisfying the provisions of Subpart H of Part 71. Part 71 quality assurance program approvals issued by the NRC expire on the date stated on the approval document. Applications for renewal of quality assurance program approvals have historically been submitted to the NRC by mail, and the renewals issued by NRC have been sent by mail.

**ML061930170**

## SUMMARY OF ISSUE

NRC's Strategic Plan (NUREG-1614) provides direction to the staff that NRC actions be effective, efficient, realistic, and timely. Submitting requests for Part 71 QA program approval renewals online, using the NRC's EIE infrastructure, is a step forward toward the goal of improving the efficiency, effectiveness, and timeliness of renewals. Although licensees and certificate holders that have QA programs may request renewals through any of the methods described in 10 CFR 71.1, the NRC staff is encouraging all QA program holders to request renewals online.

The instructions for submitting a QA program renewal request document in the correct format are in the online EIE help link below. The link helps the submitters to convert documents to portable document format (PDF). The submitters would download NRC's recommended pre-configured Adobe Distiller profiles. With the correct profile and proper procedures to convert to PDFs, the submitted document will meet the NRC standards and be readily accepted in the NRC system.

QA program holders who opt to use the EIE process to submit documents to NRC must first request a digital identification certificate at:

<https://onsite.verisign.com/services/USNuclearRegulatoryCommissionADDOCIO/digitalidCenter.htm>. (See Appendix A.)

After logging-on to the system, with a pre-arranged encrypted digital signature, the QA program approval holder's entry is recorded, NRC's EIE record is updated, and the proper NRC review staff is notified. NRC will send an e-mail notification, to the submitter, with the results of the staff's review, within 30 days, providing that the submittal states there is no change in the previously approved QA program. If the electronic request includes QA program changes in the renewal, the review could take longer than 30 days, depending on the complexity of the changes. The QA program holders are then able to view the certificate and the acknowledgment letter by clicking on a link, in the e-mail, to the Agencywide Documents Access and Management System, for record printout. This completes the QA program approval process. NRC will not mail paper copies of the documents to the submitter.

General information to guide QA program holders through the EIE process is available by any one of the following means:

- Online at <http://www.nrc.gov/site-help/eie.html>;
- By telephone at (301) 415-7277;
- By e-mail to [EIE@nrc.gov](mailto:EIE@nrc.gov); or
- By writing to the Office of the Chief Information Officer, U. S. Nuclear Regulatory Commission, Washington, DC 20555-0001.

### **FEDERAL REGISTER NOTIFICATION**

A notice of opportunity for public comment on this RIS was not published in the *Federal Register* because this RIS is informational, and does not represent a departure from current regulatory requirements.

### **SMALL BUSINESS REGULATORY ENFORCEMENT FAIRNESS ACT**

NRC has determined that this action is not subject to the Small Business Regulatory Enforcement Fairness Act of 1996.

### **PAPERWORK REDUCTION ACT STATEMENT**

This RIS does not contain any new nor amended information-collection requirements subject to the Paperwork Reduction Act of 1995 (44 U.S.C. 3501, et seq.). Existing requirements were approved by the Office of Management and Budget (OMB), under Part 71, approval number 3150-0008.

#### Public Protection Notification

NRC may not conduct nor sponsor, and a person is not required to respond to, a request for information or an information-collection requirement, unless the requesting document displays a currently valid OMB control number.

This RIS requires no specific action nor written response. If you have any questions about this summary, please contact one of the individuals listed below.

/RA/

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Enclosure: List of Recently Issued NMSS Generic Communications

## Appendix A

### INSTRUCTIONS FOR SUBMITTING PART 71 QUALITY ASSURANCE PROGRAM RENEWAL REQUESTS AND OTHER SUBMITTALS ELECTRONICALLY

The U. S. Nuclear Regulatory Commission (NRC) has created a process that allows for the secure, verified, and authenticated transmission of documents and information to NRC via the Internet using the Electronic Information Exchange (EIE). Below are instructions that may be used to request a digital certificate, download the viewer, and access the forms that will allow for 10 CFR Part 71 quality assurance (QA) program renewal requests to be sent to the Agency electronically. More information for submitting documents to NRC, in this manner, may be found at <http://www.nrc.gov/site-help/eie/guid-elec-submission.pdf>.

The process is as follows:

#### I. Obtaining the Digital Certificate:

You must first obtain a digital encrypted identification certificate, to be able to access NRC's EIE system. To obtain a digital certificate:

1. Go to the NRC Homepage at [www.nrc.gov](http://www.nrc.gov).
2. Click on Electronic Submittals.
3. Click on Request a Digital ID Certificate.
4. Follow the instructions to enroll for a digital certificate. Your PIN will be Nuclear Material Safety and Safeguards (NMSS) and the last three digits of your license or certificate number (e.g., NMSSXXX).
5. After applying for a digital certificate and if approved, you will receive an e-mail notification. Follow the instructions as to how to download the certificate.

Note: This digital identification certificate can be used for all electronic submittals to NRC.

#### II. Installing the Viewer:

After downloading and installing your certificate, you must download a viewer from the link that says viewer. This will take you to a site that will allow you to install the form's viewer. Follow the instructions. The download is a self-installing process.

#### III. Accessing a General Submittal Form:

When you have your digital certificate and viewer installed, you may then access the General Submittal Form, from the EIE Homepage, at <http://www.nrc.gov/site-help/eie.html>.

The instructions for submitting a QA program renewal request document in the correct format are in the online EIE help link listed above. The link would point the submitters to convert documents to portable document format (PDF). The submitters would download the NRC's recommended pre-configured Adobe Distiller profiles. With the correct profile and proper procedures to convert to PDFs, the submitted document will meet the NRC standards and be readily accepted in the NRC system.

IV. Submitting the Renewal Request PDF Documents:

You are now ready to submit your renewal request PDF documents to the NRC.

1. Fill out the General Submission Form's required fields.
2. In the "comments box," request your renewal by number and state there have no changes to the quality assurance program since the last approval.
3. Either sign the form or authorize a secure transmission. (Both will automatically put your name and e-mail address in that field.)
4. Submit the document to the NRC.

V. Completing the Process:

When the NRC staff has reviewed and approved the renewal, you will receive an e-mail as to how to retrieve the renewed QA program approval with a direct link to an Agencywide Documents Access and Management System document. You may then download this document and print it for your records.

**Recently Issued NMSS Generic Communications**

| Date     | GC No.            | Subject   | Addressees  |
|----------|-------------------|---|---|
| 04/23/06 | RIS-06-10         | Use of Concentration Control for Criticality Safety   | All licensees authorized to possess a critical mass of special nuclear material.  |
| 01/26/06 | RIS-02-15, Rev. 1 | NRC Approval of Commercial Data Encryption Products For the Electronic Transmission Of Safeguards Information                               | All authorized recipients and holders of sensitive unclassified safeguards information (SGI).   |
| 01/24/06 | RIS-06-01         | Expiration Date for NRC-Approved Spent Fuel Transportation Routes   | The U.S. Nuclear Regulatory Commission (NRC) licensees who transport, or deliver to a carrier for transport, irradiated reactor fuel (spent nuclear fuel (SNF)).  |
| 01/13/06 | RIS-05-27, Rev. 1 | NRC Timeliness Goals, Prioritization of Incoming License Applications and Voluntary Submittal of Schedule for Future Actions for NRC Review | All 10 CFR Parts 71 and 72 licensees and certificate holders.   |
| 07/10/06 | IN-06-13          | Ground-Water Contamination Due to Undetected Leakage of Radioactive Water   | All holders of operating licenses for nuclear power and research and test reactors including those who have permanently ceased operations and have certified that fuel has been permanently removed from the reactor and those authorized by Title 10 of the <i>Code of Federal Regulations</i> (10 CFR) Part 72 licenses to store spent fuel in water-filled structures. |
| 07/06/06 | IN-06-12          | Exercising Due Diligence When Transferring Radioactive Materials  | All materials licensees.  |
| 06/12/06 | IN-06-11          | Applicability of Patient Intervention in Determining Medical Events for Gamma Stereotactic Radiosurgery and Other Therapy Procedures        | All medical licensees.  |
| 03/31/06 | IN-06-07          | Inappropriate Use of a Single-parameter Limit as a Nuclear Criticality Safety Limit   | All licensees authorized to possess a critical mass of special nuclear material.  |
| 03/21/06 | IN-02-23, Supl. 1 | Unauthorized Administration of Byproduct Material for Medical Use   | All medical licensees.  |
| 01/19/06 | IN-06-02          | Use of Galvanized Supports and Cable Trays with Meggitt Si 2400 Stainless- Steel-jacketed Electrical Cables                                 | All holders of operating licenses for nuclear reactors except those who have permanently ceased operations and have certified that fuel has been permanently removed from the reactor vessel; and fuel cycle licensees and certificate holders.   |

Note: NRC generic communications may be found on the NRC public website at <http://www.nrc.gov>, under Electronic Reading Room/Document Collections.