

# U.S. NUCLEAR REGULATORY COMMISSION

## **DIRECTIVE TRANSMITTAL**

TN: DT-97-17

**To:** NRC Management Directives Custodians

**Subject:** Transmittal of Directive 3.11, Conferences and Conference Proceedings

**Purpose:** Directive and Handbook 3.11 have been revised to (1) identify the appropriate responsible organizations, (2) incorporate new procurement procedures, (3) clarify information about proprietary and copyrighted materials, (4) include revised forms, and (5) add exhibits that illustrate appropriate formats for individual papers in a conference proceedings and their compilation.

**Office of Origin:** Office of the Chief Information Officer

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**Date Approved:** February 27, 1991 (Revised: November 4, 1997)

**Volume:** 3 Information Management

**Part:** 1 Publications, Mail, and Information Disclosure

**Directive:** 3.11 Conferences and Conference Proceedings

**Availability:** U.S. Government Printing Office, (202)512-2409 or e-mail internet:amcbride@gpo.gov

# **Conferences and Conference Proceedings**

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**Directive  
3.11**

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# U. S. Nuclear Regulatory Commission

Volume: 3 Information Management  
Part 1: Publications, Mail, and Information  
Disclosure

OCIO

## Conferences and Conference Proceedings Directive 3.11

### Policy (3.11-01)

It is the policy of the U.S. Nuclear Regulatory Commission to establish procedures for (a) developing and managing NRC participation in NRC-sponsored or -cosponsored national and international conferences; (b) cosponsoring national and international conferences developed and managed by other government agencies, U.S. nongovernmental entities, foreign national governments and organizations, and international organizations; (c) developing and approving contracts for the conduct of these conferences; (d) approving new or major NRC policy statements to be made at these conferences; and (e) preparing and distributing proceedings of these conferences.

### Objectives (3.11-02)

To ensure that—

- Proceedings of NRC-sponsored or -cosponsored conferences are compiled and made publicly available. (a)
- New or major NRC policy statements made at conferences receive the appropriate prior reviews. (b)
- Proposals for NRC support of conferences are reviewed uniformly. (c)
- All financial transactions connected with the organization and conduct of NRC-sponsored or -cosponsored conferences are conducted in accordance with the relevant Federal statutes, regulations, and policy guidance. (d)

## **Objectives**

(3.11-02) (continued)

- NRC classified or sensitive unclassified information is not released at public conferences or in publicly released conference proceedings. (e)

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

(3.11-03)

### **Director, Office of Congressional Affairs (OCA)**

(031)

Notifies members of Congress of requests for their participation in NRC-sponsored or -cosponsored conferences and coordinates their participation, as appropriate. Notifies members of Congress of visits of senior NRC officials to their respective States, as appropriate.

### **Office of the General Counsel (OGC)**

(032)

- When requested by the Director, Division of Contracts and Property Management (DCPM), Office of Administration (ADM), reviews contracts for the conduct of a conference. (a)
- Provides patent review of papers to be presented at a conference, to the extent feasible, as requested. (b)
- Provides legal assistance on other matters concerning this directive. (c)
- Advises NRC staff in ensuring compliance with the Federal Advisory Committee Act. (d)
- Advises NRC staff regarding potential conflict-of-interest issues for NRC Commissioners and employees. (e)

**Director, Office of International  
Programs (OIP)  
(033)**

- Coordinates NRC response to proposals for NRC sponsorship of, participation in, or financial support regarding international and foreign-national-sponsored conferences and other events, and makes recommendations to the sponsoring office, EDO, and the Commission, as appropriate. (a)
- Advises the conference planner regarding the participation of foreign nationals in U.S. conferences and the release of information from foreign governments. (b)
- Advises the conference planner regarding protocol. (c)
- As appropriate, reviews papers to be presented at international conferences or other events. (d)

**Director, Office of Public Affairs (OPA)  
(034)**

Prepares public announcements and coordinates news media coverage of conferences.

**Executive Director for Operations (EDO)  
(035)**

After presentation of plans by office directors, regional administrators, and division directors, the EDO—

- Approves NRC-sponsored and -cosponsored conferences involving more than one office or region. (a)
- Notifies the Commission if the conference involves new or major NRC policy issues or if a conference planner requests an endorsement of the conference by the Commission or requests the involvement of a Commissioner to speak, act as an honorary chairman, or serve in some other capacity. (b)
- Notifies the Office of Congressional Affairs (OCA) if a conference planner requests the involvement of a member of Congress in the conference. Also notifies OCA if a senior NRC official is to appear in a State so that OCA can notify congressional members from that State. (c)

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**Executive Director for Operations (EDO)  
(035) (continued)**

- Concurs in papers to be presented at the conference by NRC staff if new or major policy issues are involved and refers papers, as necessary, to the Commission if a new policy is being announced. (d)
- Concurs on technical and nontechnical papers to be presented to international groups and refers these papers to the Commission for informal review and approval before delivery. (e)

**Office of the Chief Financial  
Officer (OCFO)  
(036)**

The Chief Financial Officer's designee in the OCFO examines and pays properly approved vouchers for NRC financial support of conferences.

**Office of the Chief Information  
Officer (OCIO)  
(037)**

Develops and maintains, in consultation with office directors and regional administrators, NRC policies, standards, procedures, and guides for conference sponsorship and publication of conference proceedings. Provides for editing, production, and printing of proceedings of conferences, as requested.

**Director, Office of State  
Programs (OSP)  
(038)**

Initiates or reviews proposals for NRC financial support and attendance at conferences that involve State interests and makes recommendations to the sponsoring office, EDO or SECY, and the Commission, as appropriate.

**Office Directors and  
Regional Administrators  
(039)**

The following responsibilities and authorities may be delegated, as appropriate:

**Office Directors and  
Regional Administrators  
(039) (continued)**

- Initiating NRC-sponsored or -cosponsored conferences and budget for financial support. (a)
- Requesting the DCPM, ADM, to award a contract for the conduct of the conference. (b)
- Consulting with EDO or SECY, as appropriate, regarding new or major policy issues and involvement of NRC Commissioners, another Government agency or its public officials, industry representatives, or members of Congress. (c)
- Consulting with OCFO regarding controls for the collection of funds from conference participants. (d)
- Consulting with OGC, as appropriate, regarding potential conflict-of-interest issues for NRC Commissioners and employees. (e)

**Director, Division of Contracts and  
Property Management (DCPM),  
Office of Administration (ADM)  
(0310)**

Awards contract documents that obligate funds for a conference and specifies the terms and conditions for conference proceedings.

**Director, Division of Facilities  
and Security (DFS), ADM  
(0311)**

Provides guidance in accordance with NRC Management Directives (MDs) 12.2, "NRC Classified Information Security Program," and 12.6, "NRC Sensitive Unclassified Information Security Program," when notified that a conference or conference proceeding will contain classified or sensitive unclassified information.



## **Definitions**

(3.11-04)

**Conference.** Any formal national or international public meeting of interest to NRC that is convened for the exchange of views and information on the programmatic, managerial, and administrative aspects of the nuclear regulatory process and related confirmatory research. Conference transactions or proceedings are usually published. (041)

**Conference sponsor.** An organization that assumes the responsibility for organizing a conference. It may be a U.S. national, public, or private organization, a foreign organization, or a foreign national or international group. (042)

**Financial support.** Appropriated funds provided by NRC under contract to a conference sponsor to reimburse the sponsor for certain costs incidental to a conference. (043)

## **Applicability**

(3.11-05)

**Employees.** The policy and guidance in this directive and handbook apply to all employees of all NRC organizations, except NRC boards and advisory committees. NRC employees who have specific questions regarding gratuities should see MD 7.9, "Ethics Approvals and Waivers." (051)

**Other Conferences.** This directive does not cover press conferences, meetings of advisory committees, formal or informal NRC staff meetings (including those to which applicants, vendors, or contractors may be invited), and meetings of informal working groups with or without participation of non-NRC personnel, conferences called to discuss the various aspects of adjudicatory proceedings and rulemaking, or public meetings convened for the purpose of obtaining comments on proposed regulations, standards, or regulatory guides. (052)

**Classified Information.** Meetings in which classified or sensitive unclassified information is to be discussed are not covered by this directive. Information on these types of meetings is available in MDs 12.2 and 12.6. (053)

## **Criteria for NRC Financial Support of Conferences** (3.11-06)

A conference must meet one or more of the following criteria to be eligible for financial support: (1)

- Provide an opportunity for NRC staff to acquire information to advance NRC programs. (a)
- Provide an opportunity for the discussion and dissemination of unclassified scientific and technical information to the public. (b)
- Culminate in the issuance of publicly available conference proceedings. (c)

Government appropriations to support conferences may be used for—(2)

- Administrative costs of conferences, such as secretarial, clerical, editorial, and translation services, and for communications, printing, office supplies, computer support, and so forth. (a)
- Publication of proceedings and transactions. (b)

NRC may use appropriated funds to pay for travel, meals, and other per diem costs related to NRC-sponsored conferences under the conditions and subject to the approvals specified in MD 14.1, including—(3)

- Travel and per diem in accordance with the rules governing invitational travel for foreign and U.S. participants who perform a direct service for the Government at a conference, such as presenting a paper or chairing a workshop. (a)
- Travel and per diem for NRC employees attending the conference who work outside the NRC's boundary for local travel. (b)
- Local travel plus meal expenses for NRC employees who participate as a presenter or member of a panel in an NRC-sponsored conference or meeting within the NRC's boundary for local travel. (c)
- Local travel expenses for NRC employees attending the conference who work within the NRC's boundary for local travel. (d)

## **Criteria for NRC Financial Support of Conferences**

(3.11-06) (continued)

However, the prior approval of the EDO or Commission is required when travel or per diem expenses of any nature are paid from NRC accounts designated for conference support. (4)

## **Disposition of Funds Received From the Public**

(3.11-07)

- All money received by the NRC conference organizer in connection with an NRC-sponsored or -cosponsored conference must be by check and made payable to the U.S. Nuclear Regulatory Commission. The conference organizer is responsible for making a check receipt log and providing both the checks and the log to the Division of Accounting and Finance, OCFO, 1 working day after receipt. The Division of Accounting and Finance will deposit the check in the U.S. Treasury no later than 3 days after the custodian receives the money in compliance with "Custodians of Money," 31 U.S.C. 3302. (071)
- A third-party conference organizer under contract to NRC must account for all fund transactions associated with the conference by submitting an accounting to the NRC project officer according to guidelines specified in the statement of work. (072)

## **Handbook**

(3.11-08)

Handbook 3.11 gives guidelines for planning and managing conferences, contracting for support of conferences, and compiling and publishing conference proceedings.

## **References**

(3.11-09)

"Custodians of Money" (31 U.S.C. 3302).

"Expenses of Meetings" (31 U.S.C. 1345).

Memorandum of Agreement Between the Institute of Nuclear Power Operations and the U.S. Nuclear Regulatory Commission, dated September 17, 1993.

## **References**

(3.11-09) (continued)

NRC Management Directive 7.9, "Ethics Approvals and Waivers."

-- 11.1, "NRC Acquisition of Supplies and Services."

-- 12.2, "NRC Classified Information Security Program."

-- 12.6, "NRC Sensitive Unclassified Information Security Program."

-- 14.1, "Official Temporary Duty Travel."

NUREG/BR-0224, "Guidelines for Conducting Public Meetings."

NUREG/BR-0229, "U.S. Government BankCard Procedures."

# **Conferences and Conference Proceedings**

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**Handbook  
3.11**

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## Part I

# Planning and Managing Conferences

### Scheduling Site Selection (A)

The lead time required for program planning and site selection will vary with the type of program and site. (1)

For a conference of national or international significance for which large attendance, including the public, is expected, you may need 1 to 2 years to obtain a commitment for physical facilities at a major conference center or hotel. Similarly, if nationally and internationally recognized participants preside or speak, you may need to extend invitations a year or more in advance of the conference to obtain their commitment. (2)

For a conference (a) that is of interest to local staff, consultants, and contractors, and a limited number of licensees; (b) that can be held in NRC-controlled facilities; and (c) for which speakers will be selected from among the technical peers attending, you may need 3 to 6 months for program planning and site selection. (3)

### Arranging for Funding (B)

Conference costing up to \$2,500. A conference that costs up to \$2,500, to include facility, equipment, and services, can normally be funded with a BankCard (see the guidance in NUREG/BR-0229). (1)

Conference costing up to \$100,000. A conference that costs over \$2,500 requires Division of Contracts and Property Management (DCPM), Office of Administration (ADM), action. The DCPM can acquire conference services, using simplified acquisition procedures, for an action that costs up to \$100,000. Complete a Form 30 (Exhibit 1) to obtain these services. (2)



## **Arranging for Funding (B) (continued)**

Conference costing more than \$100,000. Should a conference cost more than \$100,000, complete for DCPM an NRC Form 400, "Request for Procurement Action" (Exhibit 2). Exhibit 3 is a Sample Statement of Work, which is also required for DCPM to acquire these conference services. (3)

## **Conference Arrangements (C)**

Although the complexity of conference arrangements will vary, arrangements must usually be made in advance for the following: (1)

- Meeting announcements (a)
- Registration and badges (b)
- Information desks for speakers and attendees (c)
- Press room or news releases (newspaper, magazine, radio, television) (d)
- Meals (e)
- Exhibits and displays (f)
- Security (g)
- Public address systems, projectors, flip charts, and other presentation aids (Contact the Administrative Services Center, Division of Administrative Services, ADM, to obtain a package of audiovisual equipment.) (h)

Exhibit 4 shows a suggested conference-planning checklist for use by the conference planner. (2)

## **Speaker Arrangements (D)**

The complexity of speaker arrangements will vary with the number and types of speakers. Some of the factors to be considered are—

- Planning protocol (1)
- Arranging for honorary and officiating conference heads (2)
- Arranging for session leaders (3)
- Arranging for conference expenses (4)

## Part II

# Procedures for Compiling and Publishing Proceedings of NRC-Sponsored or -Cosponsored Conferences

### General (A)

The prompt publication and dissemination of scientific and technical information reported at meetings, conferences, and symposiums sponsored or cosponsored by NRC is required. Guidance designed to help persons responsible for compiling proceedings of these conferences is given in this part. The Publications Branch (PUBS), Office of the Chief Information Officer (OCIO), will assist, within the constraints of staff availability, if requested by a division director or more senior manager by E-mail or memorandum. (1)

Recording a meeting session and preparing a transcript of this recording is an expensive service that can be justified only in special cases. If a division director or more senior manager approves the need for a transcript, such as for a question-and-answer session, request this service from the Atomic Safety and Licensing Board Panel who manage a blanket NRC contract to provide transcription services. (2)

### Assigning a Conference Compiler (B)

For planning and organizing a conference, designate a "compiler." The compiler is responsible for requesting that the speaker or author prepare each paper according to the instructions given in Part III of this handbook. These instructions are designed to ensure uniformity among the papers so that the compilation can be printed directly from papers submitted.

## **Instructions for the Compiler (C)**

For NRC-sponsored conferences, obtain written papers in advance of the conference to ensure the availability of the written papers needed to prepare the proceedings. Supply instructions to each participant on the requirements for submittal of a camera-ready copy of each presentation paper (see Part III of this handbook). (1)

For NRC-cosponsored conferences, the requirements for compiling and publishing proceedings should be determined in discussions between the cosponsor and NRC. The following guidance may be used in those discussions to develop the requirements, but the mutually agreed-upon requirements should be given to each NRC participant. (2)

Using the following instructions, prepare a publication schedule for the conference proceeding. (3)

At the earliest practical date, give each speaker a copy of "Instructions for Authors" (see Part III). (4)

Advise each speaker where, when, and to whom to send a completed paper and a completed copy of NRC Form 390 (Exhibit 5), if an NRC staff member, or NRC Form 390A (Exhibit 6), if an NRC contractor, or a signed letter release (Exhibit 7), if a non-NRC staff member or contractor. This form or letter authorizes publication of the paper in a Government publication, which is in the public domain. Each speaker should submit the appropriate form or a letter with the conference paper to the compiler. (5)

If the compiler is an NRC staff member, use NRC Form 426 (Exhibit 8). If the compiler is an NRC contractor, use NRC Form 426A (Exhibit 9). The compiler retains all forms submitted by the speakers and prepares and submits one NRC Form 426 or 426A to PUBS, OCIO, which covers the entire compilation, with the manuscript of the compilation for printing. Entries on the form indicate essential clearances and other information and instructions. Copies of each form are available from the Supply Store or PUBS, OCIO, upon request. (See Sections (C)(10) and (11) of this part.) (6)

Prepare a cover sheet for the compilation that provides the following information and submit it with the compilation of papers to PUBS, CIO. PUBS prepares the cover and title page from this information. (See Sample Cover and Sample Title Page prepared by the NRC, Exhibits 10 and 11.) (7)

## **Instructions for the Compiler (C) (continued)**

- Report number (obtained from PUBS) (a)
- Title of meeting (b)
- Place of meeting (c)
- Inclusive dates of meeting (d)
- Sponsor or cosponsors (e)
- Compiler's name and other credits, such as the conference proceedings editor (f)
- Any special requests relating to cover design (g)

Prepare a table of contents listing the title and author of each paper in order. The agenda often suggests a logical sequence, that is, the order in which each paper is presented, by session (Sample Contents, Exhibit 12). (8)

As a final check, review all material to ensure that each paper includes—(9)

- An accurate title that is short and descriptive (a)
- Each author's name, affiliation, and if pertinent, the contract under which the work reported was performed (b)
- An abstract of 200 or fewer words to appear between the title and the body of the text (Exhibit 13) (c)
- A title for each table and a caption for each figure, with tables and figures properly referred to by number in the text. If a speaker uses viewgraphs, they should usually not be included because they do not print well and are often too cryptic to be of value to the reader (d)
- Reproducible art for each figure, photograph, and table that is referenced in the text. Supply the best available original line drawings, or clear copies of them, and black and white glossy prints of photographs because the publication will be printed by the photo-offset printing process (e)

To identify and protect classified and sensitive unclassified information, ensure that papers or materials presented by NRC staff members or representatives working under contract to NRC are

## **Instructions for the Compiler (C) (continued)**

reviewed, as required, by an authorized classifier or by the Division of Facilities and Security, ADM, for classified information and by a manager or designee for sensitive unclassified information. (10)

When a paper is being presented by a representative of another government or a company operating in another country, the compiler may have to obtain not only a personal release from the author but also a release from the foreign company or organization before the paper can be published in a U.S. Government publication. Releases from foreign governments will be coordinated through the Office of International Programs and the Division of Facilities and Security, ADM. (11)

Reference to Institute of Nuclear Power Operations (INPO) documents may not be made without prior approval from INPO. A copy of INPO's approval to reference INPO documents must be submitted with an NRC Form 426 or 426A along with any other permissions to use copyrighted material. (11)

When speakers do not represent a company working under contract to NRC, merely obtain a signed letter release from the author as indicated in Section (C)(5) of this part. (12)

If the papers include any copyrighted material, obtain a signed copyright release from the copyright holder before publishing the compilation. (13)

Transmit the complete compilation of papers and filled-out NRC Form 426 or 426A and NRC Form 335 (Exhibit 14) for the compilation to the following address, unless other arrangements have been agreed upon.

U.S. Nuclear Regulatory Commission  
Publications Branch  
Office of the Chief Information Officer  
Mail Stop T-6 E7  
Washington, DC 20555-0001

Label the package with the following notice: "Special handling—contains camera-ready material." (14)

The compiler is responsible for maintaining the file of NRC Forms 390 or 390A or letter releases, including any copyright permissions, ensuring that each paper may be published in a Government publication, which is in the public domain. (15)

### **Instructions for the Compiler (C) (continued)**

Direct inquiries about how to obtain publishing services and assistance to the preceding address. The telephone number is 301-415-7166. Write or call PUBS, OCIO, if you have questions about compiling a proceedings. (16)

Coordinate with the Office of the General Counsel (OGC) in accordance with Management Directive 3.11, Section (034), and on other matters for which OGC guidance is desired. (17)

## **Part III**

### **Instructions for Authors**

#### **Preparing a Paper for Publication (A)**

Most often, the NRC publishes or assists in the publication of compilations of papers presented at meetings, conferences, and symposiums in which NRC participates as a sponsor or cosponsor. If this is the case, the author should prepare the paper for publication according to the following instructions. These instructions will ensure uniformity among the papers so that the compilation can be printed directly from the papers submitted.

#### **Content of a Paper (B)**

Your paper must include the following: (1)

- A meaningful title that is short and descriptive (a)
- Each author's name, affiliation, and if pertinent, the contract under which the work reported was performed (b)
- An abstract of 200 or fewer words to appear between the title and the body of text (see Exhibit 13) (c)
- A title for each table and a caption for each figure, with tables and figures properly referred to in the text (d)
- Reproducible art for each figure, photograph, and table that is referenced in the text. Supply the best available original line drawings, or clear copies of them, and black and white glossy prints of photographs because the publication will be printed by the photo-offset printing process (e)

## **Content of a Paper (B) (continued)**

A conference paper may not include any reference to the Institute of Nuclear Power Operations (INPO) documents without prior approval from INPO. A copy of INPO's approval to reference INPO documents must be submitted with NRC Form 390 (see Exhibit 5) or 390A (see Exhibit 6) or a signed letter release (see Exhibit 7). (2)

A proprietary report can be referred to in a footnote, but may not be included in a list of references. (3)

## **Format of a Paper (C)**

The U.S. Nuclear Regulatory Commission publishes papers presented at technical meetings as soon as possible after these meetings have been held. Such early printing is possible if each paper is prepared, using the following instructions. (1)

Leave a 1-inch margin on all sides of each page for printing and binding purposes. (2)

Begin your first page with the title below the 1-inch margin; place the authors and their affiliations 2 lines below the title; place the 200-word abstract 2 lines below the authors; begin the paper 2 lines below the abstract (see Sample First Page of a Conference Proceedings Paper, Exhibit 13). (3)

Begin typing all subsequent pages 1-inch from the top of the page. Single space all text and leave several lines of space above and below equations, tables, and figures. (4)

Do not include copies of viewgraphs you may use during your presentation. They usually do not print well and are often too cryptic to be of value to the reader. (5)

If desktop publishing software is used, use any standard 10- to 12-point serif or sans serif typeface for the body text. Use 12- or 14-point type for headings and 9-point type for footnotes. For word processing submissions, use letter gothic or standard elite typefaces. (6)

## **Submitting a Paper for Publication (D)**

An NRC employee submits a completed publication release (NRC Form 390) and any copyright permission or signed letter releases with each paper presented at the conference to the compiler (see Exhibit 5). (1)



## **Submitting a Paper for Publication (D) (continued)**

An NRC contractor employee submits a completed publication release (NRC Form 390A) and any copyright permission or signed letter releases with each paper presented at the conference to the compiler (see Exhibit 6). (2)

A non-NRC employee or contractor submits a signed letter release and any copyright permissions with each paper presented at the conference to the compiler (see Exhibit 7). (3)

Information essential to proper handling of the paper appears on NRC Forms 390 and 390A and the sample letter release. (4)

In addition to completing, if applicable, the patent clearance provision on either NRC Form 426 or 426A, if restrictions other than patent restrictions apply, an author briefly describes these restrictions on the bottom of the form. The author is also responsible for ensuring that the paper contains no classified or sensitive unclassified information (e.g., proprietary information, unclassified safeguards information, etc.). Refer any questions about whether the paper contains information in these categories to an appropriate authorized classifier or the Division of Facilities and Security. (5)

Refer to Section (C) of this part for instructions about formatting the paper for the compilation so that it can be printed directly from the paper submitted. (6)

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Handbook 3.11 Exhibits**

**Exhibit 1  
NRC Form 30, "Request for Administrative Services"**

<b>NRC FORM 30</b> (6-94)  <b>U.S. NUCLEAR REGULATORY COMMISSION</b>  <b>REQUEST FOR ADMINISTRATIVE SERVICES</b>  FOR HEADQUARTERS: MAIL TO THE APPROPRIATE MAIL STOP ON BACK		1. DATE OF REQUEST	2. DATE DUE <i>(if applicable)</i>		
		3. WEDDING NUMBER (LEAVE BLANK)			
4. TYPE OF SERVICE		5. PERSONAL PROPERTY APPROVAL			
<input type="checkbox"/> BUILDING ALTERATIONS AND SERVICES <input type="checkbox"/> COMPOSITION <input type="checkbox"/> COPYING <input type="checkbox"/> EDITING <input type="checkbox"/> PHOTOGRAPHY/AUDIOVISUAL <input type="checkbox"/> PRINTING AND DISTRIBUTION	<input type="checkbox"/> PUBLISHING MATERIALS <input type="checkbox"/> SMALL PURCHASES, PROPERTY, AND LABOR SERVICES <input type="checkbox"/> SUPPLIES <input type="checkbox"/> WORD PROCESSING <input type="checkbox"/> OTHER <i>(Specify)</i>	I certify that personal property assets within the Office/Division have been carefully screened for excess, are currently fully utilized, and the additional requested items are absolutely essential to work performance and will be used only for official purposes. 5a. PROPERTY CUSTODIAN - SIGNATURE  5b. DIVISION DIRECTOR/DEPUTY - SIGNATURE			
7. REQUESTER		8. OFFICE			
9. TELEPHONE NUMBER	10. FAX NUMBER	11. MAIL STOP	12. E-MAIL ID.		
13. SPECIAL INSTRUCTIONS (INCLUDE TITLE, DISTRIBUTION, PRINTING SPECIFICATIONS, INSTRUCTIONS, STOCK NUMBERS, JUSTIFICATION, QUANTITIES, AND UNITS WHEN APPLICABLE)					
14. FUNDING INFORMATION					
JOB CODE	B & R NUMBER	BOC	FUND SOURCE		
14a. FUNDS CERTIFIED AVAILABLE BY: SIGNATURE - CERTIFYING OFFICIAL			14b. DATE		
FOR PROCESSING USE ONLY (LEAVE THIS SECTION BLANK)					
15a. REQUIREMENT APPROVED - SIGNATURE		15b. REQUIREMENTING OFFICER - SIGNATURE			
15c. DATE		15d. DATE			
17. OFFICE OF ADMINISTRATION PROCESSING					
ACTION	SIGNATURE	DATE	ACTION	SIGNATURE	DATE
A. POSTED			C. DELIVERED		
B. FILLED			D. COMPLETED		
The material and/or services itemized above have been received in the quantity and quality specified, except as otherwise noted.				18a. SIGNATURE - RECIPIENT	
				18b. DATE	

**Exhibit 1 (continued)**

<u>TYPE OF SERVICE</u>	<u>MAIL STOP</u>	<u>TYPE OF SERVICE</u>	<u>MAIL STOP</u>
BUILDING ALTERATIONS AND SERVICES	T-7 D24	SMALL PURCHASES, PROPERTY, AND LABOR SERVICES	T-7 D27
COMPOSITION	T-6 E7	PUBLISHING NUREGs	T-6 E7
COPYING	O-P1 22	SUPPLIES	WHSE
EDITING	T-6 E7	WORD PROCESSING	T-6 E7
PHOTOGRAPHY/ AUDIOVISUAL	T-6 E7	OTHER	O-2 B7
PRINTING/DISTRIBUTION	O-P1 22		

## Exhibit 2

# NRC Form 400, "Request for Procurement Action (RFPA)"

### INSTRUCTIONS FOR COMPLETING NRC FORM 400

#### Block 1 – RFPA Number and Federal Financial System (FFS) Commitment Number

The office RFPA/FFS Commitment number (consisting of the program office abbreviation, the fiscal year, and a number) is assigned sequentially during the fiscal year.

#### Block 3 – Procurement History

If this action is a follow-on effort, enter the contract number.

#### Block 6.C – Award a Contract under a Socio-Economic Set-Aside

The selection of sources is a critical step in the procurement process. Program offices should consult with the Office of Small and Disadvantaged Business Utilization/Civil Rights regarding contract set-asides and Small Business Administration 8(a) awards.

If applicable, specify the set-aside program:

- Set-asides for small business
- Small Business Administration 8(a) program
- Labor surplus set-aside

#### Block 6.H – Award a contract based on acceptance of an unsolicited proposal.

Unsolicited proposals must meet the criteria set forth in FAR 15.602. Unsolicited proposals are awarded as noncompetitive proposals and must be justified as other than full and open competition (See NRCMD 11.1, "NRC Acquisition of Supplies and Services," Part 9).

#### Block 6.L – Special Instructions or Remarks

Include description of action, if appropriate. For instance, no cost extensions, changes to PO/PI should be noted here.

#### Block 9 – Estimated Cost

Complete each block to ensure that the requesting office will make adequate funds available to cover the entire project's estimated cost. Develop the Independent Government Cost Estimate (IGCE) based upon this same period.

The RFPA will be returned if Block 9 is not completed.

#### Block 10 – Certification of Funds

If additional space is required, attach a separate sheet.

#### Block 11 – List of Attachments

This block contains a list of documents which must be attached to this request, if applicable. These documents are necessary to initiate and carry out the procurement process. In addition, other intra- and inter-office concurrences may be required apart from, but prior to, the procurement process. Examples include the justification for use of a task order contract (see NRCMD 11.1, Part 11), Division of Facilities and Property Management (ADM) concurrence for procurement of equipment or use of NRC facilities, and Senior Information Resources Management Official approval for acquisition of Federal Information Processing resources including telecommunications, and analyses of requirements and alternatives related to them. These concurrences, which are not part of the procurement process, should be kept in the requesting office's file.

- A detailed Statement of Work (SOW) is required for all new work. (See NRCMD 11.1, Part 6.) The RFPA will be returned if a complete SOW is not attached.
- A detailed IGCE must be developed in accordance with NRCMD 11.1, Part 6, when the procurement is expected to exceed \$100,000.

A separate IGCE must be developed for each option year of the procurement in order to reflect the total estimated cost. For procurements valued at \$100,000 or less, an estimate in a level of detail commensurate with the complexity of the procurement should be prepared and held in the requesting office file.

- See NRCMD 11.1, Part 6, for guidance.
- Other than full and open procurement (non-competitive) must be justified in writing. The Designating Official shall certify as to the accuracy and completeness of the justification. NRCMD 11.1, Part 5 provides guidance for the preparation of justifications.
- Review NRC Management Directive 11.1, Part 6.6, "Oversight of Service Contracting and Advisory and Assistance Services," and Exhibit 16, and attach an explanation for any affirmative answer to any question in the exhibit.
- See NRCMD 11.1, Part 9.
- The Designating Official certifies that the justification to the Division of Contracts (ADM) for urgent processing represents the requesting office's priorities. It is expected that use of this justification would be rare.
- A Source Evaluation Panel (SEP) will be established for a competitive procurement exceeding \$100,000. (See NRCMD 11.1, Part 5.)  
The RFPA will be returned if no designation of members to the SEP is attached.
- Attach a completed NRC Form 187: (1) if the performance of the contract may require access to, or the development of, classified or unclassified Safeguards Information, and/or (2) if the performance of the contract may require contractor unescorted access to protected and vital areas of nuclear facilities. (See NRCMD 12.1, "NRC Facility Security Program," Office of Administration).
- Provide a list of procurement officials with each RFPA for all procurements to assure compliance with procurement official certification requirements. Also, provide a list of procurement officials for all modifications for new work over \$100,000. List the name and office of each person who acts in a procurement official capacity under the proposed procurement.
- See NRCMDs 13.1, "Personal Property Management," and 13.3, "Space Management," Office of Administration.
- Include any remarks/other documents pertinent to the procurement action (e.g., referenced documents that are to be attached to the solicitation).

#### Block 12 – Personal Services and Inherently Governmental functions

Personal services and inherently governmental functions cannot be procured by commercial contract, but rather should be obtained through personnel procedures. The questions in this block will help the Contracting Officer determine that a commercial contract is the appropriate instrument. Attach an explanation for any affirmative answer.

#### Block 13 – Approval of Designating Official

In addition to certifying that the contents of this form are complete and accurate, the designating official assures that the requirement has been reviewed, coordinated, justified, and approved. If this is a request to issue a task order, the DO's signature certifies that the "Justification for Use of a Task Order Contract" that was prepared for the basic contract has been reviewed and that acquiring contractor support for this task is consistent with that justification.

**Volume 3, Part 1 — Publications, Mail, and Information Disclosure  
 Conferences and Conference Proceedings  
 Handbook 3.11 Exhibits**

**Exhibit 2 (continued)**

NRC FORM 409 (9-86) NRCMD 11-1 Send completed form to Division of Contracts, T-7 12		U.S. NUCLEAR REGULATORY COMMISSION				1. A. RPPA NUMBER	
<b>REQUEST FOR PROCUREMENT ACTION (RPPA)</b>						1. B. FFS COMMITMENT NUMBER	
2. PERFORMANCE PERIOD (Express in months)				3. PROCUREMENT HISTORY			
A. BASE PERIOD		B. OPTION PERIOD(S)		C. REQUESTED START DATE		A. PREVIOUS CONTRACT NUMBER	
						B. EXPIRATION DATE	
4. A. TITLE						B. WAS ACTION IDENTIFIED ON ADVANCE PROCUREMENT PLAN? <input type="checkbox"/> YES <input type="checkbox"/> NO	
5A. PROJECT OFFICER			B. OFFICE/DIVISION/BRANCH		C. TELEPHONE (include area code)		D. MAIL STOP
6. TYPE OF ACTION REQUESTED (Check one)							
<input type="checkbox"/> A. AWARD A COMPETITIVE CONTRACT				<input type="checkbox"/> F. ISSUE A BROAD AGENCY ANNOUNCEMENT			
<input type="checkbox"/> B. AWARD A NONCOMPETITIVE CONTRACT TO				<input type="checkbox"/> G. ISSUE A MODIFICATION TO A: <input type="checkbox"/> GRANT <input type="checkbox"/> COOPERATIVE AGREEMENT			
<input type="checkbox"/> C. AWARD A CONTRACT UNDER A SOCIO-ECONOMIC SET-ASIDE (Specify)				<input type="checkbox"/> H. AWARD A CONTRACT BASED ON ACCEPTANCE OF AN UNSOLICITED PROPOSAL TO			
<input type="checkbox"/> D. ISSUE A <input type="checkbox"/> GRANT <input type="checkbox"/> COOPERATIVE AGREEMENT TO				<input type="checkbox"/> I. EXECUTE A MODIFICATION TO BASIC CONTRACT NUMBER			
<input type="checkbox"/> E. ISSUE AN INTERAGENCY AGREEMENT TO				<input type="checkbox"/> J. EXECUTE A TASK ORDER UNDER CONTRACT NUMBER			
<input type="checkbox"/> K. EXECUTE A MODIFICATION TO TASK ORDER NUMBER							
7. SPECIAL INSTRUCTIONS OR REMARKS							
7. FEE RECOVERABLE WORK		A. ESTIMATED COST		FIRST FY.		SECOND FY.	
8. NON-FEE RECOVERABLE WORK				THIRD FY.		FOURTH FY.	
				FIFTH FY.		TOTAL	
10. CERTIFICATION OF FUNDS							
A. AMOUNT CERTIFIED		B. B & R NUMBER		C. JOB CODE		D. BOC	
						E. APPROPRIATION NUMBER	
F. CERTIFICATION: This certifies that funds in the amount shown in Block 10 A are available in the current allowance for the proposed procurement							
TOTAL AMOUNT CERTIFIED		FUNDS CERTIFYING OFFICIAL - Typed Name and Title				SIGNATURE	
						DATE	
11. LIST OF ATTACHMENTS (Check as appropriate)							
<input type="checkbox"/> A. STATEMENT OF WORK (SOW)				<input type="checkbox"/> H. DESIGNATION OF MEMBERS TO SOURCE EVALUATION PANEL (SEP)			
<input type="checkbox"/> B. INDEPENDENT GOVERNMENT COST ESTIMATE				<input type="checkbox"/> I. LIST OF FIRMS TO BE SOLICITED			
<input type="checkbox"/> C. EVALUATION CRITERIA WITH NUMERICAL WEIGHTS ASSIGNED (if appropriate)				<input type="checkbox"/> J. NRC FORM 157, "SECURITY CLASSIFICATION REQUIREMENTS"			
<input type="checkbox"/> D. JUSTIFICATION FOR OTHER THAN FULL AND OPEN COMPETITION				<input type="checkbox"/> K. LIST OF PROCUREMENT OFFICIALS			
<input type="checkbox"/> E. DOCUMENTATION FOR OVERSIGHT OF SERVICE CONTRACTING				<input type="checkbox"/> L. LIST OF GOVERNMENT-FURNISHED PROPERTY/MATERIALS/FACILITIES (May be part of SOW—Provide separate page)			
<input type="checkbox"/> F. JUSTIFICATION FOR ACCEPTANCE OF UNSOLICITED PROPOSAL				<input type="checkbox"/> M. OTHER/REMARKS (Specify)			
<input type="checkbox"/> G. JUSTIFICATION FOR URGENT PROCESSING							
12. PERSONAL SERVICES AND INHERENTLY GOVERNMENTAL FUNCTIONS See NRC Management Directive 11.1, Part 4 (Check box if the response is "YES" for the corresponding statement)							
<input type="checkbox"/> A. THE CONTRACTOR WILL PERFORM ON-SITE AT AN NRC FACILITY							
<input type="checkbox"/> B. THE CONTRACTOR WILL UTILIZE GOVERNMENT-FURNISHED TOOLS/EQUIPMENT							
<input type="checkbox"/> C. CONTRACTOR EMPLOYEES WILL BE INTEGRATED INTO THE GOVERNMENT'S ORGANIZATIONAL STRUCTURE							
<input type="checkbox"/> D. CONTRACTOR EMPLOYEES WILL BE USED INTERCHANGEABLY WITH GOVERNMENT EMPLOYEES							
<input type="checkbox"/> E. GOVERNMENT SUPERVISION (AS OPPOSED TO TECHNICAL DIRECTION) IS REQUIRED TO PROTECT THE GOVERNMENT'S INTEREST							
<input type="checkbox"/> F. GOVERNMENT STAFF WILL ASSIGN DAILY TASKS TO OR PREPARE WORK SCHEDULES FOR INDIVIDUAL CONTRACTOR EMPLOYEES							
<input type="checkbox"/> G. GOVERNMENT WILL REVIEW PERFORMANCE BY EACH INDIVIDUAL CONTRACTOR EMPLOYEE							
13. APPROVAL OF DESIGNATING OFFICIAL (Other Director or Designee) (See instructions)							
TYPED NAME AND TITLE				OFFICE			
SIGNATURE				DATE			
14. FOR DC USE ONLY (Do not write in this space)							
				INPUT BY			
				DATE			

NRC FORM 409 (9-86)

OFFICIAL RECORD

## Exhibit 3

### Statement of Work (SOW)

NRC-03-94-028

Section C

#### SECTION C - DESCRIPTION/SPECIFICATIONS/WORK STATEMENT

##### C.1 Statement of Work

##### C.2 BACKGROUND

NRC, Office of Nuclear Reactor Regulations (NRR), sponsors annual Regulatory Information Conferences (RIC) to foster a better understanding of technical issues between industry and the NRC, and improve communications with the industry on NRC's safety initiatives and their bases. NRR also conducts periodic small meetings, conferences, and/or seminars to discuss specific technical matters.

##### C.3 OBJECTIVE

The objective of this contract is to obtain specialized conference planning expertise on a task order basis to assist the NRR staff in conducting the annual Regulatory Information Conferences. In addition, conference planning shall be provided for a minimum of six and a maximum of twelve small meetings, conferences, and/or seminars.

##### C.4 TECHNICAL AND OTHER SPECIAL QUALIFICATIONS REQUIRED

Contractor personnel must have demonstrated overall experience and capability to provide the services specified in the stated work requirements.

It is the responsibility of the contractor to assign technical staff, employees, subcontractors, or specialists who have the required educational background, experience, or combination thereof to meet both technical and regulatory objectives of the work specified in this SOW. The NRR will rely on representations made by the contractor concerning the qualifications of the personnel assigned to this contract including assurance that all information contained in the technical and cost proposals, including resumes, is accurate and truthful.

##### C.5 WORK REQUIREMENTS AND SCHEDULE

The Regulatory Information Conference is typically held in May of each year. Up to three additional smaller meetings, conferences, and/or seminars may be held at various times each year. This is a task ordering contract. Individual tasks will be issued for each Regulatory Information Conference, and for each small meeting, conference and/or seminar.

The contractor shall provide support to the NRR in the following

**Volume 3, Part 1 — Publications, Mail, and Information Disclosure  
Conferences and Conference Proceedings  
Handbook 3.11 Exhibits**

**Exhibit 3 (continued)**

NRC-03-94-028

Section C

**C.5 (Continued)**

areas for each Regulatory Information Conference, and each small meeting, conference and/or seminar. The dates specified in the Work Requirements are estimates.

1. The contractor shall provide a Conference Coordinator to meet with the NRR Technical Monitor and the conference facility representative to discuss attendee registration, setup of rooms, and final audio-visual arrangements (8 days maximum for each Regulatory Information Conference, and 1 day for each small meeting, conference and/or seminar.)

2. For both the Regulatory Information Conferences and the small meetings, conferences and/or seminars, registration cards will be submitted by conference attendees directly to the conference facility, as part of obtaining hotel accommodations.

- For the Regulatory Information Conferences, the contractor shall pick up these registration cards from the conference facility once each week from March to May. The registration cards will include an identification of the attendee's affiliation category. The contractor shall use the information provided on the registration cards to provide name badges and to develop a computerized database of all registrants, and shall provide statistics on attendees, by affiliation category. These statistics shall be provided in hardcopy to the NRR Technical Monitor every Friday, beginning in April. Statistics shall consist of a report of the number of individuals registered in each affiliation category specified on the registration card. There are approximately 10 affiliation categories, such as representatives of nuclear utilities, manufacturers, vendors, law firms, utility contractors, other government agencies, national laboratories, foreign organizations, and research organizations. The contractor shall contact the conference attendee to obtain an affiliation category, if the information is not on the registration card.

- For the small meetings, conferences and/or seminars, the contractor shall receive the registration cards from the attendees. The contractor shall use the information provided on the registration cards to develop name badges and to develop a computerized database of all registrants, and shall provide statistics on attendees. (1-2 contractor personnel over 10 days for each Regulatory Information Conference, and 1-2 contractor personnel over 1-2 days for each small meeting, conference and/or seminar.)

3. The contractor shall provide computerized name badges. A sample badge will be provided by the NRC. (7-8 days for each Regulatory Information Conference, and 1-2 days for each small meeting, conference and/or seminar.)

4. The contractor shall directly receive telephone inquiries

**Exhibit 3 (continued)**

NRC-03-94-028

Section C

**C.5 (Continued)**

from last-minute conference attendees and shall either respond to the inquiries or forward them to the conference facility as appropriate. In cases where the contractor cannot respond, he shall contact the NRR Technical Monitor. (1-2 contractor personnel over 30 days for each Regulatory Information Conference, and 1-2 contractor personnel over 10 days for each small meeting, conference and/or seminar.)

5. The contractor shall meet with conference facility staff to review final needs and communicate any last-minute directions from both sides. The contractor shall conduct a logistics walkthrough of the conference facility with the NRC Technical Monitor. (1 day at facility location for each Regulatory Information Conference, and 1/2 day for each small meeting, conference and/or seminar.)

6. For each Regulatory Information Conference, the contractor shall perform nontechnical editing (proofreading) of conference proceedings and vugraphs for 1 week in late April. The quick turnaround requirement for this activity will require contractor personnel to be onsite at NRC Headquarters, One White Flint North, Rockville, Maryland for 5 days. Each small meeting, conference and/or seminar may require contractor personnel to be onsite at NRC Headquarters, One White Flint North, Rockville, Maryland, for 2-3 days.

7. The contractor shall place conference signage provided by the NRC in the conference facility only for each Regulatory Information Conference.

8. The contractor shall provide on-site registration support at the conference facility at two locations -- one for Registered attendees and one for Non-Registered attendees. The contractor shall provide a sufficient number of computers to continue onsite update of registration database and generate last-minute name badges. During the first day of the conference, the contractor shall provide onsite registration from 7:30 a.m. through 7:30 p.m. During the second day of the conference, the contractor shall provide onsite registration from 7:30 a.m. through noon. (4-6 contractor personnel for 2 days for each Regulatory Information Conference, and 2-3 contractor personnel for 1-2 days for each small meeting, conference and/or seminar.)

9. The contractor shall provide the following logistical support at each Regulatory Information Conference:

a. answering questions from attendees b. trouble shooting with NRR Technical Monitor c. running conference Meeting Center (8:00 a.m. to 9:00 p.m.) d. preparing computerized attendance lists. One list shall be ordered by attendee name and a second list shall be ordered by company name. The lists shall be provided by 4:00 p.m. on the first day of the conference. Updated lists,



Exhibit 3 (continued)

NRC-03-94-028

Section C

C.5 (Continued)

including late registrants, shall be provided by 4:00 p.m. on the second day of the conference. e. distribution of attendance list to attendees f. cleanup and packing of conference materials (6:00 p.m. through 8:00 p.m. on the second day). The contractor shall provide logistical support items d and e above, at each small meeting, conference and/or seminar requiring registration.

10. For each Regulatory Information Conference, the contractor shall provide final computerized lists of attendees by the NRC identified affiliation category (from information on the registration forms). For each small meeting, conference and/or seminar, the contractor shall provide final computerized lists of attendees.

11. The contractor shall submit a letter report to the NRC with recommendations for improving the conference process.

C.6 LEVEL OF EFFORT AND PERIOD OF PERFORMANCE

The maximum level of effort for three Regulatory Information Conferences and up to twelve small meetings, conferences and/or seminars is estimated at 2,955 professional staff hours over a 36 month period. Each Regulatory Information Conference is estimated to require 425 professional staff hours over a 10 week period. Each small meeting, conference, or seminar is estimated to require 140 professional staff hours over a 3-4 week period.

C.7 DELIVERABLES

a. Monthly Business Letter Report

See attachment.

b. Technical Reporting Requirements

For each Regulatory Information Conference, a technical letter report is required each week, that lists attendees by affiliation category. A updated, list of attendees by affiliation category is due at 4:00 p.m. each day of the Regulatory Information Conference. A final computerized list of attendees is due 1 week after completion of the Regulatory Information Conference. The possible three smaller meetings, conferences, or seminars will only require a same day computerized list of attendees. A letter report providing recommendations for improving the process is due 3 weeks after the completion of the conference. The transmittal letter and cover page of each report will include the job code number. All reports will be addressed to the Project Manager, Karen Pulsipher, TAMS/PMAS/NRR, with a copy to the Technical Monitor, Anna May Haycraft, PMSB/PMAS/NRR.

**Exhibit 3 (continued)**

NRC-03-94-028

Section C

**C.8 MEETINGS AND TRAVEL**

Meetings and travel shall be performed in accordance with each individual task order.

**C.9 NRC-FURNISHED MATERIALS**

The contractor will be provided a list of affiliation categories for use in preparing statistical information, conference signage, and a sample computerized name badge.

**C.10 OTHER APPLICABLE INFORMATION**

**a. License Fee Recovery**

The work specified in this SOW is not license fee recoverable.

**b. Computer Equipment**

The contractor will provide appropriate computer equipment to generate the list of attendees by affiliation category, and the name badges.

[End of Clause]

**C.11 NRCAR 2052.215-83 TRAVEL APPROVALS (JAN 1998)**

(a) All domestic travel requires the prior approval of the project officer.

(b) All foreign travel must be approved in advance by the NRC on NRC Form 445 and must be in compliance with FAR 52.247-63 Preference for U.S. Flag Air Carriers. Foreign travel approval must be communicated in writing through the contracting officer.

[End of Clause]

## Exhibit 4 Conference Planning Checklist\*

Conference Title: \_\_\_\_\_  
Dates: \_\_\_\_\_  
Sponsor (Office/Division): \_\_\_\_\_ Name of Coordinator: \_\_\_\_\_  
Coordinator's Phone Number: \_\_\_\_\_ Mail Stop: \_\_\_\_\_ E-Mail Address: \_\_\_\_\_  
Number of Expected Attendees: \_\_\_\_\_ Agenda Attached: [Yes] \_\_\_\_\_ [No] \_\_\_\_\_

### Conference Materials

- I will need assistance in obtaining the following:
- |   |  |                                     |
|---|--|-------------------------------------|
| <input type="checkbox"/> printing services                      | <input type="checkbox"/> badges              | <input type="checkbox"/> tent cards |
| <input type="checkbox"/> preparation of brochures               | <input type="checkbox"/> onsite copier       | <input type="checkbox"/> name pin   |
| <input type="checkbox"/> pencils, pads, binders, folders        | <input type="checkbox"/> hotel lobby signs   |                                     |
| <input type="checkbox"/> tickets for events, food, refreshments | <input type="checkbox"/> NRC seal for podium |                                     |

### Audiovisual (AV) Services

- I will need sound reinforcement.
- I will need the following equipment:
- |  |   |  |
|--|---|--|
| <input type="checkbox"/> podium w/microphone | <input type="checkbox"/> pointer          | <input type="checkbox"/> overhead projector  |
| <input type="checkbox"/> 35mm projector      | <input type="checkbox"/> remote changer   | <input type="checkbox"/> 16mm projector      |
| <input type="checkbox"/> table microphone    | <input type="checkbox"/> aisle microphone | <input type="checkbox"/> lavalier microphone |
| <input type="checkbox"/> flip chart easel    | <input type="checkbox"/> flip chart pad   | <input type="checkbox"/> flip chart pens     |
| <input type="checkbox"/> chalk board         | <input type="checkbox"/> screen           | <input type="checkbox"/> audio record        |
| <input type="checkbox"/> video playback      | <input type="checkbox"/> video record     |  |

### Conference Facilities

- I would like the room to be arranged in the following manner:
- |                                  |                                    |                                  |
|----------------------------------|------------------------------------|----------------------------------|
| <input type="checkbox"/> theatre | <input type="checkbox"/> classroom | <input type="checkbox"/> U-shape |
| <input type="checkbox"/> square  | <input type="checkbox"/> circular  | <input type="checkbox"/> open    |
- I would like to set up a registration area with:
- |                                   |  |   |
|-----------------------------------|--|---|
| <input type="checkbox"/> table    | <input type="checkbox"/> telephone   | <input type="checkbox"/> message board                        |
| <input type="checkbox"/> ac power | <input type="checkbox"/> office supplies<br>(scissors, tape,<br>stapler, pens) | <input type="checkbox"/> literature table                     |
|                                   |  | <input type="checkbox"/> typewriter for<br>last-minute badges |

### Graphics

- I will need the following visuals:
- |   |                                   |  |
|---|-----------------------------------|--|
| <input type="checkbox"/> 35mm slides          | <input type="checkbox"/> vugraphs | <input type="checkbox"/> flip chart    |
| <input type="checkbox"/> brochure preparation | <input type="checkbox"/> maps     | <input type="checkbox"/> other visuals |

### Photography

- I will need photographic services.  
Dates \_\_\_\_\_ Times \_\_\_\_\_  
Location: \_\_\_\_\_

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\*This list is not exhaustive, but suggests some possibilities. It is designed to assist you in planning your conference. Provision of food services may be restricted. Contact the Division of Contracts and Property Management for guidance.

**Exhibit 4 (continued)**

**Financial Arrangements**

- Create a log for the receipt of checks and send the log and all checks to the Division of Accounting and Finance.
- Verify third-party fund transactions with the Division of Contracts and Property Management

**Transportation**

- I will need bus transportation.

**Security**

- I will need to make the following security arrangements:
  - releasability review/certifications for submissions
  - access control
  - security guards
  - storage of high-value equipment (PCs, etc.)

Exhibit 5

NRC Form 390, "Release to Publish Unclassified NRC Staff Speeches, Papers, and Journal Articles"

NRC FORM 390 (1-87) NRC-40 3.0		U. S. NUCLEAR REGULATORY COMMISSION	
<b>RELEASE TO PUBLISH UNCLASSIFIED NRC STAFF SPEECHES, PAPERS, AND JOURNAL ARTICLES</b>			
<i>(Please type or print)</i>			
1. TITLE <i>(State in full as it appears on the speech, paper, or journal article)</i>			
2. AUTHOR(S)			
3. NAME OF CONFERENCE, LOCATION, AND DATE(S)			
4. NAME OF PUBLICATION			
5. NAME AND ADDRESS OF THE PUBLISHER			TELEPHONE NUMBER OF THE PUBLISHER
YES	NO	<b>6. PAGE CHARGES</b>	
		If yes, attach a completed and signed NRC Form 30, "Request for Administrative Services." The NRC Form 30 must be transmitted for funding and an obligating document issued by ACM before the paper is sent for publication. If an NRC Form 30 is not submitted, NRC may refuse to pay the page charges, and the author will become personally responsible.	
YES	NO	<b>7. CERTIFICATION (ANSWER ALL QUESTIONS)</b>	
		<b>A. TECHNICAL AND POLICY REVIEWS</b> - Speeches, papers, and journal articles require management and policy reviews of technical and policy issues per NRC MD 3.8, Part 1(A)(2). Please check the "YES" box to certify that the speech, paper, or journal article complies with this statement.	
		<b>B. COPYRIGHTED MATERIAL</b> - Does this speech, paper, or journal article contain copyrighted material? If yes, attach a letter of release from the source that holds the copyright.	
		<b>C. PATENT CLEARANCE</b> - Does this speech, paper, or journal article require patent clearance? If yes, the NRC Patent Counsel must sign clearance by signing below.	
		NRC PATENT COUNSEL (Type or Print Name)	DATE
		SIGNATURE	
		<b>D. REFERENCE AVAILABILITY</b> - Is all material referenced in this speech, paper, or journal article 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 below the specific availability of each referenced document.	
		SPECIFIC AVAILABILITY	
		<b>E. METRIC UNIT CONVERSION</b> - Does this speech, paper, or journal article contain measurement and weight values? If yes, all must be converted to the International System of Units, followed by the English units in brackets, pursuant to the NRC Policy Statement implementing the Omnibus Trade and Competitiveness Act of 1988, Executive Order 12770, July 28, 1981.	
<b>8. RESPONSIBLE STAFF MEMBER</b>			
NAME (Type or print name)		OFFICE/DIVISION	MAIL STOP
SIGNATURE		TELEPHONE NUMBER	E-MAIL ID.
DATE			
<b>9. AUTHORIZATION (Cannot be the same person listed in block 8.)</b>			
NRC OFFICIAL AUTHORIZING RELEASE (Type or print name)			
SIGNATURE			DATE

NRC FORM 390 (1-87)

PRINTED ON RECYCLED PAPER

## Exhibit 6

# NRC Form 390A, "Release to Publish Unclassified NRC Contractor Speeches, Papers, and Journal Articles"

NRC FORM 390A (1-87) NRCMD 3.9		U. S. NUCLEAR REGULATORY COMMISSION	
<b>RELEASE TO PUBLISH UNCLASSIFIED NRC CONTRACTOR                  SPEECHES, PAPERS, AND JOURNAL ARTICLES</b> <i>(Please type or print)</i>			
1. TITLE <i>(State in full as it appears on the speech, paper, or journal article)</i>			
2. AUTHOR(S)			
3. NAME OF CONFERENCE, LOCATION, AND DATE(S)			
4. NAME OF PUBLICATION			
5. NAME AND ADDRESS OF THE PUBLISHER			TELEPHONE NUMBER OF THE PUBLISHER
6. CONTRACTOR NAME AND COMPLETE MAILING ADDRESS <i>(Include ZIP Code)</i>			TELEPHONE NUMBER OF THE CONTRACTOR
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Unsaturated Fractured Rock—  
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Held at  
Radisson Suite Hotel  
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January 7–10, 19XX

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Unsaturated Fractured Rock—  
Related to High-Level  
Radioactive Waste Disposal**

Held at  
Radisson Suite Hotel  
Tucson, Arizona  
January 7-10, 19XX

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Date Published: June 19XX

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## Exhibit 13

### Sample First Page of a Conference Proceedings Paper

**A PROBABILISTIC APPROACH TO  
ROCK MECHANICAL PROPERTY CHARACTERIZATION  
FOR NUCLEAR WASTE REPOSITORY DESIGN**

Kunsoo Kim and Hang Gao  
Henry Krumb School of Mines  
Columbia University  
New York, NY 10027

**ABSTRACT:** A probabilistic approach is proposed for the characterization of host rock mechanical properties at the Yucca Mountain site. This approach helps define the probability distribution of rock properties by utilizing extreme value statistics and Monte Carlo simulation. We analyze mechanical property data of tuff obtained by the NNWSI Project (Price, 1983) to assess the utility of the methodology. The analysis indicates that laboratory measured strength and deformation data of Calico Hills and Bullfrog tuffs follow an extremal probability distribution (the third type asymptotic distribution of the smallest values). Monte Carlo simulation is carried out to estimate rock mass deformation moduli using a one-dimensional tuff model proposed by Zimmerman and Finley (1986). We suggest that the results of these analyses be incorporated into the repository design.

#### 1 INTRODUCTION

The U.S. repository program is founded on the philosophy that the repository performance relies primarily on the natural barrier even though the use of engineered barriers is considered to augment the chance to meet the performance requirements. The requirements are specified in 10 CFR 60 (NRC 1987), 40 CFR 191 (EPA, 1986) and 10 CFR 960 (DOE, 1987) and they drive the repository design and site data collection activities. These activities are, therefore, planned and executed to support the PA computations. The foregoing federal regulations, in particular the EPA's 40 CFR 191, require that assessments of long-term repository performance incorporate uncertainties as a probability distribution.

Rock mechanics analyses supporting the PA computations employ deterministic methods predominantly, and the site data collection activities are designed to support the deterministic methods. Recently, attempts have been made to analyze the long-term stability of emplacement rooms using a probabilistic approach (Kemeny and Cook, 1990). Yet, most numerical and analytical models currently used for design activities are basically deterministic, and employ single values to represent rock mass properties. They do not incorporate statistical variabilities of rock properties into their computational schemes. Therefore, they do not predict the range of situations to which the repository is exposed since they can only consider specific conditions and not the expected range of variable conditions.

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