

# U.S. NUCLEAR REGULATORY COMMISSION

## DIRECTIVE TRANSMITTAL

**TN:** DT-09-03

To: All NRC Employees

Subject: Transmittal of Management Directive 8.18, "NRC Generic Communications Program"

Purpose: Directive and Handbook 8.18 are being issued to provide agency-level guidance on the NRC Generic Communications Program.

Office and  
Division of Origin: Office of Nuclear Reactor Regulation  
Division of Policy and Rulemaking

Contact: Anthony Markley, 301-415-3165

Date Approved: **March 5, 2009**

Volume: 8 Licensee Oversight Programs

Directive: 8.18 NRC Generic Communications Program

Availability: Rulemaking, Directives, and Editing Branch  
Office of Administration  
Michael T. Lesar, 301-492-3663  
Christy Moore, 301-492-3675

---

**OFFICE OF ADMINISTRATION**

NRC Generic  
Communications  
Program

---

Directive  
8.18

---

## Contents

Policy .....	1
Objectives .....	1
Organizational Responsibilities and	
Delegations of Authority .....	2
Commission .....	2
Executive Director for Operations (EDO) .....	2
Office of the General Counsel (OGC) .....	3
Director, Office of Nuclear Reactor Regulation (NRR) .....	4
Director, Office of New Reactors (NRO) .....	5
Director, Office of Nuclear Material Safety and Safeguards (NMSS) .....	5
Director, Office of Federal and State Materials and Environmental Management Programs (FSME) .....	6
Director, Office of Nuclear Security and Incident Response (NSIR) .....	7
Director, Office of Information Services (OIS) .....	7
Director, Office of Enforcement (OE) .....	8
Committee to Review Generic Requirements (CRGR) .....	8
Advisory Committee on Reactor Safeguards (ACRS) .....	8
Proposing Generic Communications or Changes to the NRC Generic Communications Program .....	8
Applicability .....	9
Handbook .....	9
References .....	10



# U. S. Nuclear Regulatory Commission

Volume: 8 Licensee Oversight Programs

NRR

---

## NRC Generic Communications Program Directive 8.18

### Policy (8.18-01)

It is the policy of the Nuclear Regulatory Commission to have an effective generic communications program for the purpose of communicating with the nuclear industry on matters having generic applicability. These communications may include issues of safety, security, safeguards, and environmental significance. Some generic communications request information that may reveal issues regarding compliance with NRC rules and regulations or the licensing basis. They may also address a broad spectrum of matters on which NRC finds it appropriate to inform the industry, and matters on which NRC may request voluntary industry cooperation and participation.

### Objectives (8.18-02)

- To define the purpose of each generic communication product (bulletin (BL), generic letter (GL), regulatory issue summary (RIS), security advisory (SA), Information Assessment Team advisory (IATA), and information notice (IN)). (021)
- To describe the process for the preparation of each generic communication product. (022)
- To establish staff and organizational responsibilities for implementation of the generic communications program. (023)
- To require appropriate organizational and management-level support for a proposed generic communication. (024)

Organizational Responsibilities and  
Delegations of Authority  
(8.18-03)

Commission  
(031)

- Reviews information papers from the Executive Director for Operations (EDO) informing the Commission of the staff's intent to issue a generic communication, that is, a BL, a GL, or, as appropriate, a RIS. (a)
- The Commission retains the option to take action on the proposed generic communication. (b)

Executive Director for Operations (EDO)  
(032)

- Ensures that generic communication products are made publicly available to the extent practicable and consistent with information security requirements. (a)
- Notifies the Commission via SECY information paper of the staff's intent to issue a BL, a GL, or certain RISs. Authorizes the issuance of IATAs and provides informational copies to the Commission. (b)
- Ensures that arrangements are made for any requested formal or informal Commission briefing. (c)
- Ensures that any Commission comments on generic communications are satisfactorily resolved. (d)
- Provides direction and program oversight for the NRC Generic Communications Program. (e)
- Authorizes the issuance of IATAs and informs Commission of staff's intent to issue an IATA. (f)

Organizational Responsibilities and  
Delegations of Authority  
(8.18-03) (continued)

Office of the General Counsel (OGC)  
(033)

- Provides comments and concurrence to the Office of Nuclear Reactor Regulation and the Office of New Reactors on generic communications that address nuclear reactor issues, including all BLs, GLs, and RISs, and on notifications to the Commission pertaining to the staff's intent to issue a generic communication. (a)
- Provides comments and concurrence to the Office of Nuclear Security and Incident Response on SAs. (b)
- Provides comments and concurrence to the Office of Nuclear Material Safety and Safeguards (NMSS) and the Office of Federal and State Materials and Environmental Management Programs (FSME) on generic communications that address materials and fuel cycle issues, including all BLs, GLs, and RISs, and on notifications to the Commission pertaining to the staff's intent to issue a generic communication. (c)
- Advises NRC program offices on the "rule" status<sup>1</sup> of generic communications (including BLs, GLs, and RISs) under the Small Business Regulatory Enforcement Fairness Act of 1996 (Congressional Review Act (CRA)). (d)

---

<sup>1</sup> Federal agencies are required to provide Congress with an opportunity to review agency rules. The definition of "rule" is broad enough to capture most NRC generic actions (including certain generic communications).

Organizational Responsibilities and  
Delegations of Authority  
(8.18-03) (continued)

Director, Office of Nuclear Reactor  
Regulation (NRR)  
(034)

- Establishes written procedures for NRR on the criteria, responsibilities, and guidance for the preparation and issuance of, and followup to, NRC generic communications. (a)
- Serves as the agency focal point for the administration of the NRC Generic Communications Program. (b)
- Provides managerial and procedural control of generic communications program to promote consistency, effective record keeping, and to maintain the scope and integrity of the generic communications process. (c)
- Ensures that the impact of generic communications on other NRC offices/programs is considered and evaluated. (d)
- Provides agency oversight through the Division of Policy and Rulemaking (DPR) in NRR for ensuring the implementation of the NRC Generic Communications Program. (e)
- Evaluates the effectiveness of the generic communications program under NRR's purview. (f)
- Maintains an agencywide tracking system for generic communications. (g)
- Responsible for the technical and legal adequacy of its generic communication products and ensuring that these products are appropriately reviewed and vetted with internal and external stakeholders. (h)

Organizational Responsibilities and  
Delegations of Authority  
(8.18-03) (continued)

Director, Office of New Reactors (NRO)  
(035)

- Ensures NRO coordinates through NRR/DPR (the focal point for NRC Generic Communications Program) to ensure the consistent implementation of the NRC Generic Communications Program. (a)
- Establishes written procedures for NRO on the criteria, responsibilities, coordination, and guidance for the preparation and issuance of, and followup to, NRC generic communications. (b)
- Evaluates the effectiveness of the generic communications program under NRO's purview. (c)
- Responsible for the technical and legal adequacy of its generic communication products and ensuring that these products are appropriately reviewed and vetted with internal and external stakeholders. (d)

Director, Office of Nuclear Material  
Safety and Safeguards (NMSS)  
(036)

- Ensures NMSS coordinates through NRR/DPR (the focal point for NRC Generic Communication Program) to ensure the consistent implementation of the NRC Generic Communications Program. (a)
- Establishes written procedures for NMSS on the criteria, responsibilities, coordination, and guidance for the preparation and issuance of, and followup to, NRC generic communications. (b)
- Evaluates the effectiveness of the generic communications program under NMSS's purview. (c)



Organizational Responsibilities and  
Delegations of Authority  
(8.18-03) (continued)

Director, Office of Nuclear Material  
Safety and Safeguards (NMSS)  
(036) (continued)

- Responsible for the technical and legal adequacy of its generic communication products and ensuring that these products are appropriately reviewed and vetted with internal and external stakeholders. (d)

Director, Office of Federal and State Materials and  
Environmental Management Programs (FSME)  
(037)

- Ensures FSME coordinates through NRR/DPR (the focal point for NRC Generic Communications Program) to ensure the consistent implementation of the NRC Generic Communications Program. (a)
- Establishes written procedures for FSME on the criteria, responsibilities, coordination, and guidance for the preparation and issuance of, and followup to, NRC generic communications. (b)
- Evaluates the effectiveness of the generic communications program under FSME's purview. (c)
- Responsible for the technical and legal adequacy of its generic communication products and ensuring that these products are appropriately reviewed and vetted with internal and external stakeholders. (d)

Organizational Responsibilities and  
Delegations of Authority  
(8.18-03) (continued)

Director, Office of Nuclear Security  
and Incident Response (NSIR)  
(038)

- Ensures NSIR coordinates through NRR/DPR (the focal point for NRC Generic Communications Program) to ensure the consistent implementation of the NRC Generic Communications Program. (a)
- Establishes internal written procedures for NSIR on the criteria, responsibilities, coordination, and guidance for the preparation and issuance of, and followup to, NRC generic communications. (b)
- Coordinates with NRR, NRO, NMSS, and FSME, as appropriate, to obtain concurrence in the issuance of security-related generic communications that affect licensees and applicants within the respective office's programmatic responsibility. (c)
- Evaluates the effectiveness of the generic communications program under NSIR's purview. (d)
- Responsible for the technical and legal adequacy of its generic communication products and ensuring that these products are appropriately reviewed and vetted with internal and external stakeholders. (e)

Director, Office of Information Services (OIS)  
(039)

Advises NRC program offices on the implementation of the Paperwork Reduction Act in all outgoing generic communications (including BLs, GLs, and RISs).

Organizational Responsibilities and  
Delegations of Authority  
(8.18-03) (continued)

Director, Office of Enforcement (OE)  
(040)

Advises NRC program offices on the enforcement implications in outgoing generic communications (BLs, GLs, and RISs).

Committee to Review Generic Requirements (CRGR)  
(041)

Reviews new or revised generic communications in accordance with the responsibilities outlined in the CRGR Charter.

Advisory Committee on Reactor Safeguards (ACRS)  
(042)

Provided an opportunity to request a briefing for all bulletins, generic letters, and regulatory issue summaries (only those in which the CRGR has requested a formal briefing).

Proposing Generic Communications or  
Changes to the NRC Generic  
Communications Program  
(8.18-04)

- Any NRC office may propose a generic communication on an issue within its technical purview. (041)
- If the subject matter of a generic communication pertains to issues within the purview of multiple offices (any combination of NRO, FSME, NMSS and NRR), a joint communication may be signed by the applicable offices (the preferred approach), or separate communications may be issued. If the generic

Proposing Generic Communications or  
Changes to the NRC Generic  
Communications Program  
(8.18-04) (continued)

communication affects reactor licensees or applicants, the procedures of NRR that govern generic communications take precedence. (042)

- NRR facilitates the preparation, issuance, and dissemination of generic communications, except advisories, sponsored by NRC offices other than NRO, NMSS, and FSME. (043)
- Any individual, NRC office, other Government agency, licensee, certificate holder, or member of the public may recommend changes in the NRC Generic Communications Program, including the regulatory and procedural aspects of the process. Recommendations should be made to the Director of NRR. (044)

Applicability  
(8.18-05)

The policy and guidance in this directive and handbook apply to all NRC employees.

Handbook  
(8.18-06)

Handbook 8.18 provides criteria for the use of each generic communication type, guidance on obtaining approval for a proposed generic communication, and guidance on its preparation, issuance, distribution, and followup.

References  
(8.18-07)

*Code of Federal Regulations*

Title 10, "Energy."

NRC Documents

Charter of the Committee To Review Generic Requirements. (The current version of the charter can be found in the Agencywide Documents Access and Management System (ADAMS); the CRGR Charter folder in the Main Library of the ADAMS Document Manager lists charter revisions in chronological order.)

NRC Inspection Manual Chapter 0730, "Generic Communications Regarding Materials and Fuel Cycle Issues."

NRC Regulatory Issue Summary 99-01, "Revisions to the Generic Communications Program," dated October 4, 1999.

NRR Office Instruction LIC-503, "Generic Communications Affecting Nuclear Reactor Licensees."

NSIR Office Procedure COM-215, "Generic Communications."

SECY-99-143, "Revisions to Generic Communication Program," dated May 26, 1999.

SECY-01-0121, "Industry Initiatives in the Regulatory Process," dated July 5, 2001.

Staff Requirements Memorandum on SECY-01-0121, "Industry Initiatives in the Regulatory Process," dated August 2, 2001.

*United States Code*

Atomic Energy Act of 1954, Section 182a, as amended (42 U.S.C. 2011 et seq.).

# NRC Generic Communications Program

---

Handbook

8.18

---

## Contents

### Part I

Introduction .....	1
--------------------	---

### Part II

Overview of the NRC Generic Communications Program .....	3
Types of Generic Communications and Their Application (A) .....	3
Bulletin (1) .....	3
Generic Letter (2) .....	4
Regulatory Issue Summary (3) .....	5
Information Assessment Team Advisory (4) .....	6
Security Advisory (5) .....	7
Information Notice (6) .....	9
Approval for Development of Generic Communications (B) .....	9
Bulletins, Generic Letters, and Certain Regulatory Issue Summaries (1) ..	9
Regulatory Issue Summaries (2) .....	11
Information Assessment Team Advisories (3) .....	12
Security Advisories (4) .....	12
Information Notices (5) .....	12

### Part III

Generic Communications Life Cycle .....	13
Preparation of a Bulletin (A) .....	13
Senior Office Management Review and Approval (1) .....	13
Preparation and Coordination (2) .....	13
Review by the Committee To Review Generic Requirements (CRGR) (3) .	13
Advisory Committee Notification (4) .....	13
Commission Information Paper (5) .....	14
Issuance (6) .....	14
Preparation of a Generic Letter (B) .....	14
Senior Office Management Review and Approval (1) .....	14
Preparation and Coordination (2) .....	14
Initial CRGR Review (3) .....	15
Initial Advisory Committee Notification (4) .....	15
Public Comment and Comment Resolution (5) .....	15
Final CRGR Review (6) .....	16

## Contents (continued)

Final Advisory Committee Notification (7) .....	16
Commission Information Paper (8) .....	16
Issuance (9) .....	16
Preparation of a Regulatory Issue Summary (C) .....	16
Management Review and Approval (1) .....	16
Preparation and Coordination (2) .....	17
Informal or Formal CRGR Review (3) .....	17
Public Comment and Comment Resolution (4) .....	18
Informal or Formal CRGR Review (Final) (5) .....	18
Issuance (6) .....	19
Preparation of an Information Assessment Team Advisory (D) .....	19
Management Review and Approval (1) .....	19
Preparation and Coordination (2) .....	19
Issuance (3) .....	20
Preparation of a Security Advisory (E) .....	20
Management Review and Approval (1) .....	20
Preparation and Coordination (2) .....	20
Review, Approval, and Issuance (3) .....	20
Preparation of an Information Notice (F) .....	21
Management Review and Endorsement (1) .....	21
Preparation and Coordination (2) .....	21
Review, Approval, and Issuance (3) .....	21
Considerations Common to the Preparation of Bulletins, Generic Letters, and Regulatory Issue Summaries (G) .....	21
Office of Enforcement (1) .....	21
Office of Management and Budget Clearance for Information Collections (2) .....	21
Applicability of the Congressional Review Act of 1996 (3) .....	22
Issuance of Generic Communications (H) .....	22
Closeout of Generic Communications (Bulletins and Generic Letters) (I) ....	23
Effectiveness Review of Generic Communications (J) .....	24
Bulletins and Generic Letters (1) .....	24
Regulatory Issue Summaries, Information Assessment Team Advisories, Security Advisories, and Information Notices (2) .....	25



## Part I Introduction

NRC communicates with the nuclear industry on matters of generic applicability through its generic communications program. Any NRC office may propose a generic communication on an issue within its purview. There are six types of generic communications currently in use: bulletin (BL), generic letter (GL), regulatory issue summary (RIS), security advisory (SA), Information Assessment Team advisory (IATA), and information notice (IN). NRR has primary oversight responsibility for implementing the NRC Generic Communications Program and for ensuring the appropriate application of generic communications. (A)

If potential conflicts arise among office procedures regarding the development and issuance of generic communication products addressed to reactor licensees, except advisories, NRR Office Instruction LIC-503, "Generic Communications Affecting Reactor Licensees," will take precedence. (B)

All matters addressed by the staff that could lead to a generic communication will follow a similar process from inception to closeout. The basic steps of the process include— (C)

- issue identification (1)
- office endorsement of the issue (2)
- interaction with stakeholders (3)
- office approval to proceed with a generic communication (4)
- office determination of public notification of a sensitive generic communication (5)
- preparation of the generic communication (6)
- submittal of appropriate generic communication to the Commission for information, if applicable (7)

- issuance of the generic communication after resolving any Commission comments, if applicable (8)
- staff followup (9)
- documentation of results and closure of the generic communication (10)

## Part II

### Overview of the NRC Generic Communications Program

#### Types of Generic Communications and Their Application (A)

The six types of generic communication products currently in use are described below.

##### **Bulletin (1)**

A bulletin (BL) is used to request licensee actions and/or information to address significant issues regarding matters of safety, security, safeguards, or environmental significance that also have great urgency. BLs require a written response. The compensatory actions requested should match the urgency of the issue being addressed. (a)

To the extent that circumstances permit, the NRC staff will interact with the stakeholders on the issue being addressed. (b)

BLs may— (c)

- request actions be taken, (i)
- request information be provided, (ii)
- request analyses be performed and submitted by a specified time, (iii)
- request new or revised commitments that are based on analyses performed and on proposed corrective actions, and (iv)
- require a response from affected licensees. (v)

## Types of Generic Communications and Their Application (A) (continued)

### **Bulletin** (1) (continued)

BLs may NOT— (d)

- request long-term actions, or (i)
- require actions or commitments. (ii)

### **Generic Letter** (2)

A generic letter (GL) addresses either an emergent or routine technical issue with generic applicability for which the NRC staff and the nuclear industry have interacted. GLs may also be issued without extensive prior interaction between NRC and the industry when NRC has determined a risk-significant compliance matter should be brought promptly to the attention of the nuclear industry. (a)

GLs may request information and/or compensatory actions and require a written response from licensees regarding matters of safety, security, safeguards, or environmental significance. (b)

GLs may— (c)

- request actions be taken, (i)
- request information be provided, (ii)
- request analyses be performed and submitted by a specified time, (iii)
- request new or revised commitments that are based on analyses performed and on proposed corrective actions, (iv)

## Types of Generic Communications and Their Application (A) (continued)

### **Generic Letter (2) (continued)**

- request that addressees report the completion of actions by letter with or without prior NRC approval of the actions, and (v)
- require a response from affected licensees. (vi)

GLs may NOT— (d)

- require commitments. (i)

### **Regulatory Issue Summary (3)**

A regulatory issue summary (RIS) is used to communicate with the stakeholders on a broad range of matters that do not involve a request for action or information (unless strictly voluntary). (a)

RISs may— (b)

- communicate NRC endorsement of an industry-developed resolution of a matter on which the staff has interacted with the industry; (i)
- communicate NRC endorsement of industry guidance on technical or regulatory matters; (ii)
- provide the status of staff interaction with the nuclear industry on a matter; (iii)
- request the voluntary participation of the nuclear industry in staff-sponsored pilot programs; (iv)
- inform the nuclear industry of opportunities for regulatory relief; (v)

## Types of Generic Communications and Their Application (A) (continued)

### **Regulatory Issue Summary (3) (continued)**

- communicate staff technical or policy positions on matters that have not been communicated to or are not broadly understood by the nuclear industry; (vi)
- provide guidance to applicants and licensees on the scope and detail of information that should be provided in licensing applications to facilitate staff review; (vii)
- communicate administrative procedure changes in the implementation of regulations or staff positions, the issuance and availability of regulatory documents (topical reports, NUREG-type documents, regulatory guides, and memoranda documenting the closeout of generic safety issues), and changes in NRC internal procedures and organization; and (viii)
- request the voluntary submittal of information which will assist NRC in the performance of its functions. (ix)

### RISs may NOT— (c)

- provide guidance for the implementation of rules and regulations, (i)
- provide guidance to NRC staff on regulatory or technical matters, and (ii)
- be used in lieu of other established agency products. (iii)

### **Information Assessment Team Advisory (4)**

Information Assessment Team advisories (IATAs) provide critical, time-sensitive, threat-related information to specified licensees. IATAs may also suggest or request that recipients execute certain voluntary precautionary or protective actions. (a)

## Types of Generic Communications and Their Application (A) (continued)

### **Information Assessment Team Advisory (4) (continued)**

IATAs are issued whenever the U.S. Attorney General or the Secretary of the Department of Homeland Security makes a change in the Homeland Security Advisory System (HSAS) level. NRC will issue a corresponding IATA elevating security at licensees. (b)

IATAs may— (c)

- inform licensees when the FBI issues a Domestic Threat Advisory that is considered relevant to NRC licensees, (i)
- inform licensees when a significant act of domestic terrorism, or other malevolent act, has occurred, and (ii)
- inform licensees when NRC becomes aware of intelligence information regarding statements or actions taken by foreign persons or by terrorist organizations, or other threat-related information, relating to NRC-licensed facilities or activities. (iii)

IATAs may NOT— (d)

- request information, or (i)
- require commitments or actions. (ii)

### **Security Advisory (5)**

Security advisories (SAs) communicate urgent, time-sensitive, operational information directly relating to the security and common defense of national infrastructure under NRC's cognizance. SAs are operational in nature and are issued in response to urgent situations or recently identified vulnerabilities. The nuclear industry is expected to review the information for

## Types of Generic Communications and Their Application (A) (continued)

### **Security Advisory (5) (continued)**

applicability to its facilities or operations and consider actions, as appropriate, to avoid similar problems. (a)

SAs may— (b)

- communicate information regarding an urgent security vulnerability that may affect a whole class or several classes of licensees, (i)
- provide licensees additional information following notification via an IATA that the HSAS threat level has been raised, (ii)
- notify affected licensees of National Special Security Events, and (iii)
- recommend voluntary compensatory measures and actions for urgent security-related issues. (iv)

SAs may NOT— (c)

- convey or imply new requirements or new interpretations of existing requirements or guidance, (i)
- require information from or action by addressees, (ii)
- be used in lieu of other generic communication products, and (iii)
- provide guidance for the implementation rules and regulations. (iv)



## Types of Generic Communications and Their Application (A) (continued)

### **Information Notice (6)**

Information notices (INs) communicate recently identified, operational information to the nuclear industry. The results of recently completed research that may affect addressees may also be communicated in an IN. The nuclear industry is expected to review the information for applicability to its facilities or operations and consider actions, as appropriate, to avoid similar problems. (a)

An IN may NOT— (b)

- convey or imply requirements, (i)
- transmit interpretations of regulations, and (ii)
- request information or action from addressees. (iii)

## Approval for Development of Generic Communications (B)

### **Bulletins, Generic Letters, and Certain Regulatory Issue Summaries (1)**

Development approval for BLs, GLs, and certain RISs (i.e., RISs that endorse an industry-developed resolution to a technical issue) shall be at the office director/executive team level within NRR, the Office of New Reactors (NRO), the Office of Nuclear Material Safety and Safeguards (NMSS), and/or the Office of Federal and State Materials and Environmental Management Programs (FSME). These offices have direct responsibility for licensing, licensee project management, and communications with potential generic communication addressees. (a)

Approval for Development  
of Generic Communications (B)  
(continued)

**Bulletins, Generic Letters, and Certain Regulatory Issue Summaries (1) (continued)**

The organization proposing the BL, the GL, or the RIS shall coordinate its consideration through the Division of Policy and Rulemaking (DPR) in NRR to ensure the consistent implementation of the NRC Generic Communications Program. (b)

Whenever a BL or a GL is considered for development, the organization responsible for the issue shall present its case to the respective office director/executive team that the issuance of such generic communication is warranted and obtain the requisite management approval to commit resources to prepare the BL or the GL. (c)

The organization proposing the BL or the GL shall assess the merits of the issue and alternative resolution strategies. The discussion of alternative resolution strategies shall include, as appropriate, the following aspects: (d)

- staff plans to interact with stakeholders to reach consensus on the scope of the emergent issue, its safety and risk significance, and its regulatory basis (i)
- staff plans to promptly prepare a BL or a GL without extensive, formal interaction with stakeholders on the basis of the safety and risk significance of the emergent issue and its urgency (ii)

The organization proposing the BL or the GL shall prepare a summary analysis of the issue. For issues within the purview of NRR or NRO, the analysis should be based on Appendix C of the Charter of the Committee To Review Generic Requirements (CRGR Charter). The current version of the charter can be found in the Agencywide Documents Access and Management System (ADAMS). (e)

Approval for Development  
of Generic Communications (B)  
(continued)

**Bulletins, Generic Letters, and Certain Regulatory Issue Summaries (1) (continued)**

For issues within the purview of NMSS or FSME, Appendix C of the CRGR Charter may be used to the degree applicable, or some other suitable approach may be used, to support decisionmaking. (f)

The organization proposing the BL or the GL shall address the need for a temporary instruction for the conduct of verification inspections to aid in the subsequent closeout of BLs and GLs. An assessment of the short- and long-term actions necessary to close out the BL or the GL shall also be presented. (g)

**Regulatory Issue Summaries (2)**

Except for RISs that endorse an industry-developed solution to a technical issue (discussed above), development approval for RISs shall be at the leadership team (preferred)/division director level. (a)

The organization proposing the RIS shall coordinate its consideration through DPR in NRR to ensure the consistent implementation of the NRC Generic Communications Program. (b)

The organization proposing the RIS shall present its case to its respective office leadership team (preferred)/cognizant division director that the issuance of the RIS is warranted and obtain the requisite management approval to commit resources to prepare the RIS. (c)

Purely administrative or routinely issued RISs that involve NRC voluntary information requests, such as licensed operator examination schedules or updating of information for incident response electronic libraries, require the approval of the cognizant branch chief. (d)

Approval for Development  
of Generic Communications (B)  
(continued)

**Information Assessment Team Advisories (3)**

Development approval for an IATA shall be made at the division director level in the Office of Nuclear Security and Incident Response (NSIR).

**Security Advisories (4)**

Development approval of an SA shall be made at the division director level in NSIR. (a)

The organization proposing the SA shall coordinate its consideration through DPR in NRR to ensure the consistent implementation of the NRC Generic Communications Program. (b)

**Information Notices (5)**

Development approval for INs shall be at the branch chief level. (a)

The organization proposing the IN shall coordinate its consideration through DPR in NRR to ensure the consistent implementation of the NRC Generic Communications Program. (b)

INs communicate recently identified operational information to the attention of stakeholders. Since INs do not impose new requirements or interpretations, and do not request information or action, formal office management review and endorsement are not needed. (c)

## Part III

### Generic Communications Life Cycle

The basic steps involved in the life cycle of each type of generic communication are presented below.

#### Preparation of a Bulletin (A)

##### **Senior Office Management Review and Approval (1)**

A staff proposal to issue a bulletin (BL) must be reviewed and approved by senior office management (i.e., office director/executive team level). NRC staff may recommend the issuance of a BL if a safety-significant issue is identified that also has great urgency.

##### **Preparation and Coordination (2)**

The organization responsible for the technical issue (lead technical organization) shall prepare the BL and coordinate its development through the Division of Policy and Rulemaking (DPR) in NRR.

##### **Review by the Committee To Review Generic Requirements (CRGR) (3)**

The lead technical organization shall prepare a CRGR information package, if applicable. The information package consists of the basis for the proposed issuance, a transmittal memorandum and several attachments, including the draft BL, Appendix C of the CRGR Charter, and relevant background material. (a)

The CRGR review is required for BL issuance. However, a BL may be issued with CRGR review coming after the fact. (b)

##### **Advisory Committee Notification (4)**

The lead technical organization shall inform the cognizant advisory committee (Advisory Committee on Reactor Safeguards (ACRS),

## Preparation of a Bulletin (A) (continued)

### **Advisory Committee Notification (4) (continued)**

or the Advisory Committee on the Medical Uses of Isotopes (ACMUI)) of the intended action. The advisory committee should be given the opportunity of requesting a briefing. (a)

The advisory committee review is required for BL issuance. However, a BL may be issued with advisory committee review coming after the fact. (b)

### **Commission Information Paper (5)**

The lead technical organization shall prepare an information paper informing the Commission of the staff's intent to issue the BL. A BL may be issued with Commission notification, with the subsequent information paper review coming after the fact.

### **Issuance (6)**

Upon obtaining requisite approvals, the cognizant generic communications division director will sign and issue the BL.

## Preparation of a Generic Letter (B)

### **Senior Office Management Review and Approval (1)**

A staff proposal to issue a generic letter (GL) must be reviewed and approved by senior office management (i.e., office director/executive team level). NRC staff may recommend the issuance of a GL to resolve an issue on which the NRC staff has interacted with the nuclear industry, or to identify a risk-significant emergent issue without extensive prior interaction.

### **Preparation and Coordination (2)**

The lead technical organization shall prepare the GL and coordinate its development through DPR in NRR.

## Preparation of a Generic Letter (B) (continued)

### **Initial CRGR Review (3)**

The lead technical organization shall prepare a CRGR information package, if applicable. The information package consists of the basis for the proposed issuance, a transmittal memorandum and several attachments, including the draft GL, Appendix C of the CRGR Charter, and relevant background material. (a)

The staff may request a waiver of the initial CRGR review before obtaining public comments. The CRGR, on its own prerogative, may choose to grant or deny this waiver request. (b)

### **Initial Advisory Committee Notification (4)**

The lead technical organization shall inform the cognizant advisory committee (the ACRS or the ACMUI) of the intended action. The advisory committee should be given the opportunity of requesting a briefing. (a)

The staff may request a waiver of the initial advisory committee review prior to obtaining public comments. The advisory committee, on its own prerogative, may choose to grant or deny this waiver request. (b)

### **Public Comment and Comment Resolution (5)**

Upon completion of required reviews and management approvals, the proposed GL will be published in the *Federal Register* for comment. While the public will be given at least 30 days to comment, which may be extended upon request from a member of the public, a 60-day initial comment period is preferred. (a)

The public will be requested to comment on the technical and the value/impact aspects of the proposed GL. The lead technical organization should consider holding a public meeting on a proposed GL to allow interested parties to discuss relevant issues. The need for a meeting will be based on the complexity of the issues that are involved and the level of interest shown by the industry or the public. The lead technical organization will resolve the public comments and revise the proposed GL, as appropriate. (b)

## Preparation of a Generic Letter (B) (continued)

### **Final CRGR Review (6)**

The lead technical organization prepares the final information package that is submitted to the CRGR, if applicable. The final information package consists of a transmittal memorandum, the draft GL revised to reflect relevant public comments, the documentation of the comment letters received and the staff's resolution of each relevant comment (or group of similar or related comments), a copy of each public comment letter received, Appendix C of the CRGR Charter, including a simplified value-impact analysis, and relevant background material. CRGR endorsement following the public comment period is a prerequisite to finalizing the GL for issuance.

### **Final Advisory Committee Notification (7)**

The lead technical organization shall inform the cognizant advisory committee (the ACRS or the ACMUI) of the intended action. The lead technical organization will provide the advisory committee with a copy of the final CRGR information package. The advisory committee should be given the opportunity of requesting a briefing.

### **Commission Information Paper (8)**

The lead technical organization shall prepare an information paper informing the Commission of the staff's intent to issue the GL.

### **Issuance (9)**

Upon obtaining requisite approvals, the cognizant generic communications division director will sign and issue the GL.

## Preparation of a Regulatory Issue Summary (C)

### **Management Review and Approval (1)**

Management, as discussed above, must review and approve any staff proposal to issue a regulatory issue summary (RIS).



Preparation of a Regulatory Issue  
Summary (C) (continued)

**Preparation and Coordination (2)**

The lead technical organization shall prepare the RIS and coordinate its development through DPR in NRR.

**Informal or Formal CRGR Review (3)**

Purely administrative or routinely issued RISs that involve NRC voluntary information requests such as licensed operator examination schedules or updating of information for incident response electronic libraries do not require CRGR review. (a)

For other RISs, the staff will request an informal review by the CRGR. Before submitting an informal review request, the staff must obtain concurrence at the level of division director. The CRGR staff will review the document to confirm that it does not contain language that could give the appearance of backfit. (b)

The CRGR Chairman may request an informal briefing from the lead technical organization. The lead technical organization will support this briefing and ensure resolution of any comments or issues identified. (c)

The CRGR may, at its discretion, request a formal review of a RIS. The lead technical organization shall prepare a CRGR information package. The information package consists of the basis for the proposed issuance, a transmittal memorandum, the draft RIS, Appendix C of the CRGR Charter, and relevant background material. The NRC staff may not proceed with RIS approval until after receiving CRGR endorsement. (d)

Preparation of a Regulatory Issue  
Summary (C) (continued)

**Public Comment and Comment Resolution (4)**

NRC will normally seek public comment for a RIS that involves the endorsement of an industry-developed solution to a technical issue. In addition, the staff may also seek public comments on RISs that deal with controversial topics or have potentially significant impacts. The lead technical organization shall coordinate with NRR/DPR to determine whether the draft RIS, should be published for comment in the *Federal Register*. (a)

Upon completion of required reviews and management approvals, the proposed RIS will be published in the *Federal Register* for comment. While the public will be given at least 30 days to comment, which may be extended upon request from a member of the public, a 60-day initial comment period is preferred. (b)

The public will be requested to comment on the technical and the value/impact aspects of the proposed RIS. The lead technical organization shall coordinate with NRR/DPR to determine the need for a public meeting. The need for a meeting will be based on the complexity of the issues that are involved and the level of interest shown by the industry or the public. The lead technical organization will resolve the public comments and revise the proposed RIS, as appropriate. (c)

**Informal or Formal CRGR Review (Final) (5)**

For RISs that were published for public comment, the staff will request an informal review by the CRGR. Before submitting an informal review request, the staff must obtain concurrence at the level of division director. The CRGR staff will review the document to confirm that it does not contain language that could give the appearance of backfit. (a)

The CRGR Chairman may request an informal briefing from the lead technical organization. The lead technical organization will support this briefing and ensure resolution of any comments or issues identified. (b)

Preparation of a Regulatory Issue  
Summary (C) (continued)

**Informal or Formal CRGR Review (Final) (5) (continued)**

The CRGR may, at its discretion, request a formal review of a RIS. The organization responsible for the technical issue and preparation of the RIS (lead technical organization) shall prepare a CRGR information package. The information package consists of the basis for the proposed issuance, a transmittal memorandum, the draft RIS, Appendix C of the CRGR Charter, and relevant background material. The NRC staff may not proceed with development of the RIS until the conclusion of the CRGR formal review or notice that a formal review will not be conducted. (c)

**Issuance (6)**

Upon obtaining requisite approvals, the cognizant generic communications division director will sign and issue the RIS.

Preparation of an Information  
Assessment Team Advisory (D)

**Management Review and Approval (1)**

Office of Nuclear Security and Incident Response (NSIR) management (i.e., division director) must review and approve any staff proposal to issue an Information Assessment Team Advisory (IATA).

**Preparation and Coordination (2)**

Because of the critical, time-sensitive nature of IATAs, NSIR should attempt to coordinate these documents with NRR, the Office of New Reactors (NRO), the Office of Nuclear Material Safety and Safeguards (NMSS), and the Office of Federal and State Materials and Environmental Management Programs (FSME), and regional offices, as applicable. However, given the critical timeliness nature of some information that does not allow for staff coordination, NSIR shall issue the IATA and provide the Directors of NRR, NRO, NMSS, and FSME, and the regional administrators, as applicable, a copy of the IATA upon issuance. (a)

Preparation of an Information  
Assessment Team Advisory (D)  
(continued)

**Preparation and Coordination (2) (continued)**

The Executive Director for Operations (EDO) authorizes the issuance of each IATA and informs the Commission of the staff's intent to issue an IATA. (b)

**Issuance (3)**

Upon obtaining requisite approvals, the cognizant generic communications division director will sign and issue the IATA.

Preparation of a Security Advisory (E)

**Management Review and Approval (1)**

NSIR management (i.e., division director) must review and approve any staff proposal to issue a security advisory (SA).

**Preparation and Coordination (2)**

The lead technical organization shall prepare the SA and coordinate its development and issuance through DPR in NRR.

**Review, Approval, and Issuance (3)**

NSIR shall obtain concurrences from the appropriate licensing division director and the Directors of NRR, NRO, NMSS, and FSME, as applicable, for SAs. (a)

The cognizant division director of NSIR authorizes the issuance of each SA and informs the EDO and the Commission of the staff's intent to issue an SA. (b)

NSIR will issue SAs to affected licensees using methods appropriate for the highest level of controlled information contained in the SA. To the extent practicable, a publicly available summary of the SA will be placed in the Agencywide Documents Access and Management System (ADAMS). (c)

## Preparation of an Information Notice (F)

### **Management Review and Approval (1)**

Management (i.e., branch chief level) must review and approve any staff proposal to issue an information notice (IN).

### **Preparation and Coordination (2)**

The lead technical organization shall prepare the IN and coordinate its development through DPR in NRR.

### **Review, Approval, and Issuance (3)**

DPR in NRR, NMSS, FSME, and NRO will ensure that proposals to prepare an IN meet the requirements of this management directive. Program-specific INs will be issued by the licensing program office. INs that affect multiple licensing offices should be jointly issued. (a)

Upon obtaining requisite approvals, the cognizant generic communications division director will sign and issue the IN. (b)

## Considerations Common to the Preparation of Bulletins, Generic Letters, and Regulatory Issue Summaries (G)

### **Office of Enforcement (1)**

OE will review BLs, GLs, and RISs to evaluate the implications of positions taken in these documents for consistency with existing enforcement guidance and practice.

### **Office of Management and Budget Clearance for Information Collections (2)**

Under the Paperwork Reduction Act (PRA) of 1995, an agency may not collect identical information from 10 or more respondents unless it first obtains approval from the Office of Management and Budget (OMB). OMB must review proposed agency collections of information to ensure that they are necessary, are obtained with a minimum of burden on respondents, and do not duplicate information already collected by other Federal agencies. (a)

Considerations Common to the  
Preparation of Bulletins, Generic Letters,  
and Regulatory Issue Summaries (G)  
(continued)

**Office of Management and Budget Clearance for Information  
Collections (2) (continued)**

The requirement for advance OMB approval for each information request could conflict with the NRC mandate to protect the health and safety of the public, especially if an event strongly suggests a generic safety problem may exist. Therefore, so that NRC is not unduly restricted, OMB has granted generic clearance numbers to be used by all NRC program offices when issuing generic communications. They are 3150-0011 for non-urgent requests for information under current regulations to verify licensee compliance (GL) or for the voluntary provision of information (RIS), and 3150-0012 for urgent requests for information (BL) to address a safety or security issue. (b)

As a condition for using generic clearance numbers, NRC staff must ensure that the burden estimate is accurate. Information needed to make this determination can be requested if the draft generic communication is published for comment in the *Federal Register*, or by using other means to solicit information from stakeholders. (c)

Each program office is responsible for ensuring that an appropriate PRA statement is included in a generic communication. DPR in NRR will provide the appropriate generic OMB clearance number. As appropriate, the responsible program office information management coordinator may need to obtain an OMB clearance number that is unique to the issue being addressed. (d)

**Applicability of the Congressional Review Act of 1996 (3)**

The Congressional Review Act of 1996 (CRA) requires Federal agencies to provide Congress with an opportunity of reviewing agency rules. The definition of “rule” is broad enough to capture many NRC generic actions, including generic communications. Each program office is responsible for developing a procedure for complying with the CRA. The NRC staff should consult with the

Considerations Common to the  
Preparation of Bulletins, Generic Letters,  
and Regulatory Issue Summaries (G)  
(continued)

**Applicability of the Congressional Review Act of 1996 (3)**  
(continued)

Office of the General Counsel to determine the rule status of a generic communication under the CRA.

Issuance of Generic Communications (H)

Management and procedural control over the process for the issuance and distribution of NRC generic communications resides with DPR in NRR. DPR will assist program offices in issuing a generic communication. (a)

NMSS and FSME may issue and distribute generic communications within their purview independently from NRR; however, these offices are expected to coordinate with DPR in NRR in doing so. (b)

NSIR issues and distributes security advisories (SAs) and IATAs. NSIR is expected to coordinate the issuance of these documents with the respective licensing office and with DPR in NRR. (c)

Closeout of Generic Communications  
(Bulletins and Generic Letters) (I)

The lead technical organization shall coordinate activities leading to closeout of the generic communication. The lead technical organization must exercise judgment in deciding which of the activities listed below are applicable in closing out a generic communication and how best to implement them—

- Preparing guidance to cognizant NRC staff on the strategy that will be used to close out the generic communication, including evaluating addressee replies, conducting site inspections or other followup actions, reviewing inspection reports and other summary reports prepared by the regions, and preparing closeout reports. Any proposed use of inspection resources

Closeout of Generic Communications  
(Bulletins and Generic Letters) (I)  
(continued)

should include an assessment of additional inspector training requirements and NRC inspection resources required. The responsible program organization should concur with this guidance before the use of inspection resources is directed. (1)

- Developing a task action plan to keep relevant NRC staff fully informed of the status of generic communication closeout activities, and maintaining a record of the closeout status of the affected addressees. (2)
- Arranging for relevant NRC staff to receive addressee replies to the generic communication (BL or GL), related correspondence from the public and other nuclear industry organizations, and NRC inspection reports. (3)
- Informing relevant NRC staff that evaluations of licensee responses to generic communications must be documented in sufficient detail to allow for public consideration of the bases for staff conclusions. (4)
- Ensuring that all documents prepared by relevant NRC staff and the affected addressees become publicly available agency records. (5)

Effectiveness Review of Generic  
Communications (J)

**Bulletins and Generic Letters (1)**

The lead technical organization shall conduct an effectiveness review of the BL or the GL upon closeout. This review shall—

- Evaluate the generic communication's focus in communicating the safety or security concern; the adequacy of the request for information and/or actions, the adequacy of addressee response to the generic communication, and whether the generic communication was sufficient in providing a basis for regulatory decisionmaking. (a)



Effectiveness Review of Generic  
Communications (J)  
(continued)

**Bulletins and Generic Letters (1) (continued)**

- Provide the effectiveness evaluation to the respective office management and DPR in NRR. (b)

**Regulatory Issue Summaries, Information Assessment Team  
Advisories, Security Advisories, and Information Notices (2)**

RISs, IATAs, SAs, and INs do not require effectiveness evaluations.