

U.S. NUCLEAR REGULATORY COMMISSION MANAGEMENT DIRECTIVE (MD)

MD 3.52	AVAILABILITY AND RETENTION OF CODES AND STANDARDS	DT-12-10
<i>Volume 3, Part 2:</i>	Information Management Records Management	
<i>Approved By:</i>	R. W. Borchardt Executive Director for Operations	
<i>Date Approved:</i>	October 19, 2012	
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<i>Issuing Office:</i>	Office of Information Services Information Services Branch	
<i>Contact Name:</i>	Anna McGowan 301-415-7204	

EXECUTIVE SUMMARY

Directive and Handbook 3.52 replace Manual Chapter and Appendix 0215. Directive and Handbook 3.52 are designed to inform the staff about the agency’s program for obtaining, maintaining, and retaining current and historic copies of industry and professional codes and standards in support of the NRC’s regulatory mission and describe the NRC Technical Library’s support of this charge.

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I. POLICY

- A.** It is the policy of the U.S. Nuclear Regulatory Commission to make available and retain the national, international, military, and trade society codes and standards which are—
1. Incorporated by reference into Chapter I of Title 10 of the *Code of Federal Regulations* (10 CFR) as requirements;
 2. Cited in NRC regulatory guides as an acceptable way of meeting regulatory requirements;
 3. Used by NRC in published safety evaluation reports in support of licensing actions and topical reports;
 4. Referenced in a substantive manner in NRC documents (for example, inspection/investigation reports, branch technical positions, Standard Review Plans, and NUREGs included in NRC orders); and
 5. International standards and codes that have been recently developed or are under development to enhance global safety regimes/systems, particularly those used in international reviews (e.g., Integrated Regulatory Review Service) and conventions (Joint Convention and Convention of Nuclear Safety).
- B.** These codes and standards may include not only the current published version but also one or more draft versions and one or more superseded versions. Any of the versions may be retained in the NRC Technical Library as a printed and/or electronic version for access and use by the agency staff and to the public. Codes and standards incorporated by reference into 10 CFR must be permanently retained.

II. OBJECTIVES

- Provide for systematic identification of the codes and standards which are used in a substantive manner during the regulatory process.
- Procure these codes and standards for retention by NRC.
- Index these codes and standards.
- File codes and standards at a physical location within NRC that is available to the public, that is, the NRC Technical Library.
- Continue to make referenced codes and standards available to the NRC staff and to the public through the Technical Library (see Section III.F.1 of this directive).

III. ORGANIZATIONAL RESPONSIBILITIES AND DELEGATIONS OF AUTHORITY

A. Director, Office of Information Services (OIS)

Administers the required procurement, indexing, storage, and use of codes and standards cited in licensing documents.

B. Directors of Office of Federal and State Materials and Environmental Management Programs (FSME) and Office of Nuclear Material Safety and Safeguards (NMSS)

1. Responsible for identifying codes and standards cited in licenses for the following:
 - (a) Possession and use of radioactive materials and byproducts,
 - (b) The associated facilities equipment, and
 - (c) Radioactive material transportation packages.
2. Responsible for identifying codes and standards in other staff documents pertinent to the licensing process.

C. Directors of Office of New Reactors (NRO) and Office of Nuclear Reactor Regulation (NRR)

1. Responsible for identifying in safety evaluation reports, Standard Review Plans, branch technical positions, and NRC orders, those codes and standards used in supporting NRR and NRO licensing actions for nuclear reactors.

2. Responsible for identifying codes and standards cited in inspection reports which are integral to licensing criteria.

D. Director, Office of Nuclear Regulatory Research (RES)

Responsible for identifying codes and standards referenced in NRC regulatory guides.

E. Office Directors and Regional Administrators

1. Various offices, as listed in Exhibit 1 of Handbook 3.52, are responsible for developing and administering procedures to identify referenced codes and standards within the scope of this program.
2. If the reference is to a draft standard, the office is further responsible for supplying the draft to the Technical Information Center Section, Information Services Branch (ISB), Information and Records Services Division (IRSD), Office of Information Services (OIS).

F. Director, Information and Records Services Division (IRSD), Office of Information Services (OIS)

1. Through delegation to the Technical Information Center Section (TICS)—
 - (a) Procures each identified, published industrial code and standard, and
 - (b) Maintains for staff reference any draft standards identified in accordance with Section III.E.1 and supplied in accordance with Sections III.A through III.D of this directive.
2. The TICS will identify, collate, bibliographically index, file, and maintain for reference all codes and standards procured or supplied. These documents must be readily available to the staff and to the public. The TICS will supplement NRC staff access to the information by assisting in negotiating license agreements for electronic editions of the codes and standards.

IV. APPLICABILITY

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

V. DIRECTIVE HANDBOOK

Directive Handbook 3.52 contains procedures for retaining codes and standards.

VI. REFERENCES

Nuclear Regulatory Commission Documents

Memorandum from Chilk to Gossick, "Codes and Standards, Retention and Availability," January 25, 1980.

NRC SECY-79-553, "Codes and Standards, Retention and Availability," September 27, 1979.

NRC SECY-79-553A, "Codes and Standards, Retention and Availability," December 31, 1979.

U.S. NUCLEAR REGULATORY COMMISSION DIRECTIVE HANDBOOK (DH)

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I. PROCEDURES APPLICABLE TO THE RETENTION OF CODES AND STANDARDS

A. Procedures for Identifying Industry Codes and Standards

1. NRC staff documents which endorse industry codes and standards (excluding computer codes) or that use such codes and standards to support the staff position provided in the document must include those codes and standards as appropriate references.
2. Staff documents include all documents used in support of licensing actions; for example, safety evaluation reports, environmental statements, Standard Review Plans, branch technical positions, NRC orders, regulatory guides, rules and regulations (Title 10 of the *Code of Federal Regulations* (10 CFR)), and inspection reports.
3. Exhibit 1 contains a list of the NRC offices responsible for codes and standards referenced in 10 CFR.

B. References to Codes and Standards

1. Each reference to a code or standard must include the following information:
 - (a) The name of the originating organization if it is other than the American National Standard Institute;
 - (b) The identification number of the code or standard;
 - (c) The title of the code or standard;
 - (d) The date of issue if the date is not given as part of the identifying number; and
 - (e) An availability statement if the code or standard is still in draft form, that is, available in the NRC Technical Library for inspection.
2. Examples:
 - (a) American National Standards Institute/American Nuclear Society, ANSI/ANS 8.23-2007, "Nuclear Criticality Accident Emergency Planning and Response," ANS, LaGrange Park, Illinois.

(b) Institute of Electrical and Electronics Engineers (IEEE), IEEE Standard 308-2001, "IEEE Standard Criteria for Class 1E Power Systems for Nuclear Power Generating Stations," New York, New York.

3. For references to the Boiler and Pressure Vessel Code of the American Society of Mechanical Engineers, include the section, division, subarticle, and addendum in which the subarticle appeared. For example—

American Society of Mechanical Engineers, Boiler and Pressure Vessel Code, 1986 edition, Section III, Subsection NCA, "General Requirements for Division 1 and Division 2," 1988 addenda, New York.

C. Availability Statement

The preface note to the section of the staff document presenting the references or the bibliography must include the following statement:

Copies of industry codes and standards used in a substantive manner in the NRC regulatory process are maintained at the NRC Technical Library, 11545 Rockville Pike, Rockville, Maryland, and are available there for reference by the public. Codes and standards are usually copyrighted and may be purchased from the originating organization or, if they are American National Standards, from the American National Standards Institute, 25 West 43rd Street, 4th Floor, New York, NY 10036.

D. Procurement of Codes and Standards

1. The Technical Information Center Section, Information Services Branch (ISB), Information and Records Services Division (IRSD), Office of Information Services (OIS), will procure a copy of each identified code and standard.
2. In the case of codes and standards incorporated by reference into Title 10 of the *Code of Federal Regulations*, the Technical Information Center Section will procure a copy for filing with the Office of the Federal Register upon written request from the Rules, Announcements, and Directives Branch, Division of Administrative Services, Office of Administration.

E. Cataloging and Storing of Codes and Standards in the Library

1. The Technical Information Center Section will bibliographically catalog and store in a non-circulating reference file all codes and standards procured under this program. The online public catalog will provide access to the library collection of codes and standards.

2. The cataloging and storage system must be designed so that—
 - (a) Only one copy of a specific version of each code or standard is required.
 - (b) It can be determined whether a specific code or standard is included in the system.
 - (c) Codes and standards identified but not yet included can be listed.
 - (d) Databases of electronic editions of codes and standards, procured by the Technical Information Center Section and available to NRC staff, are also included in the indexing and storage system.

EXHIBIT

Exhibit 1 List of NRC Offices Responsible for Codes and Standards

The office responsible for codes and standards referenced in 10 CFR are as follows:

CFR Part	Activities and Functions	Responsible Office*
1	Statement of Organization and General Information	ADM
2	Rules of Practice for Domestic Licensing Proceeding and Issuance of Orders	OGC
4	Nondiscrimination in Federally Assisted Programs or Activities Receiving Federal Financial Assistance from the Commission	SBCR, OGC
5	Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance	SBCR
7	Advisory Committees	OGC
9	Public Records	OIS, OGC
10	Criteria and Procedures for Determining Eligibility for Access to Restricted Data or National Security Information or an Employment Clearance	ADM/DFS/PSB
11	Criteria and Procedures for Determining Eligibility for Access to or Control Over Special Nuclear Material	ADM/DFS/PSB, NMSS, FSME
12	Implementation of the Equal Access to Justice Act in Agency Proceedings	OGC
13	Program Fraud Civil Remedies	OGC
14	Administrative Claims Under Federal Tort Claims Act	OGC
15	Debt Collection Procedures	OCFO
16	Salary Offset Procedures for Collecting Debts Owed by Federal Employees to the Federal Government	OCFO

CFR Part	Activities and Functions	Responsible Office*
19	Notices, Instructions and Reports to Workers: Inspection and Investigations	NMSS, NRO, NRR, FSME
20	Standards for Protection Against Radiation	NRO, NRR, NMSS, FSME
21	Reporting of Defects and Noncompliance	NMSS, NRO, NRR, FSME
25	Access Authorization	ADM/DFS/PSB
26	Fitness for Duty Programs	NRR, NSIR
30	Rules of General Applicability to Domestic Licensing of Byproduct Material	FSME
31	General Domestic Licenses for Byproduct Material	FSME
32	Specific Domestic Licenses to Manufacture or Transfer Certain Items Containing Byproduct Material	FSME
33	Specific Domestic Licenses of Broad Scope for Byproduct Material	FSME
34	Licenses for Industrial Radiography and Radiation Safety Requirements for Industrial Radiographic Operations	FSME
35	Medical Use of Byproduct Material	FSME
36	Licenses and Radiation Safety Requirements for Irradiators	FSME
39	Licenses and Radiation Safety Requirements for Well Logging	FSME
40	Domestic Licensing of Source Material	NMSS, FSME
50	Domestic Licensing of Production and Utilization Facilities	NRO, NRR
51	Environmental Protection Regulations for Domestic Licensing and Related Regulatory Functions	FSME, NMSS, NRO, NRR
52	Licenses, Certifications, and Approvals for Nuclear Power Plants	NRO, NRR

CFR Part	Activities and Functions	Responsible Office*
54	Requirements for Renewal of Operating Licenses for Nuclear Power Plants	NRR
55	Operators' Licenses	NRO, NRR
60	Disposal of High-Level Radioactive Wastes in Geologic Repositories	NMSS
61	Licensing Requirements for Land Disposal of Radioactive Waste	FSME
62	Criteria and Procedures for Emergency Access to Non-Federal and Regional Low-Level Waste Disposal Facilities	FSME
63	Disposal of High-Level Radioactive Wastes in a Geological Repository at Yucca Mountain, Nevada	NMSS
70	Domestic Licensing of Special Nuclear Material	FSME, NMSS
71	Packaging and Transportation of Radioactive Material	NMSS, FSME
72	Licensing Requirements for the Independent Storage of Spent Nuclear Fuel, High-Level Radioactive Waste, and Reactor-Related Greater Than Class C Waste	NMSS, FSME
73	Physical Protection of Plants and Materials	NSIR
74	Material Control and Accounting of Special Nuclear Material	NMSS, FSME
75	Safeguards on Nuclear Material - Implementation of US/IAEA Agreement	RES, OIP, OGC, FSME
76	Certification of Gaseous Diffusion Plants	NMSS
81	Standard Specifications for the Granting of Patent Licenses	OGC
95	Facility Security Clearance and Safeguarding of National Security Information and Restricted Data	NSIR
100	Reactor Site Criteria	NRO, NRR
110	Export and Import of Nuclear Equipment and Material	OIP, NMSS, NSIR, FSME

CFR Part	Activities and Functions	Responsible Office*
140	Financial Protection Requirements and Indemnity Agreements	NRR, OGC, FSME
150	Exemptions and Continued Regulatory Authority in Agreement States and in Offshore Waters Under Section 274	FSME
160	Trespassing on Commission Property	ADM/DFS/FSB
170	Fees for Facilities, Materials, Import and Export Licenses, and Other Regulatory Services Under the Atomic Energy Act of 1954, as Amended	OCFO
171	Annual Fee for Reactor Licenses, and Fuel Cycle Licenses and Materials Licenses, Including Holders of Certificates of Compliance, Registrations, and Quality Assurance Program Approvals and Government Agencies Licensed by NRC	OCFO
* ADM/DFS/PSB - Personnel Security Branch, Division of Facilities and Security, ADM ADM/DFS/FSB - Facilities Security Branch, Division of Facilities and Security, ADM		