

APPENDIX B

STANDARD FORMATS FOR ENFORCEMENT PACKAGES

This appendix includes standard formats to be used in preparing and processing enforcement packages. These standard formats can be individually downloaded in WordPerfect format from the Office of Enforcement's web site.

References to the NRC Enforcement Policy or the regulations in Title 10, Chapter 1 of the *Code of Federal Regulations* should be made as follows:

- The first time the NRC Enforcement Policy is used, it should be referenced as: NRC Enforcement Policy. Subsequent references only need to use the shortened title, i.e., Enforcement Policy.
- References to Title 10, Chapter 1 - Nuclear Regulatory Commission - of the *Code of Federal Regulations* should use the following formats:
 - When a Part in Title 10 is referenced, it should be referenced as, e.g., 10 CFR Part 20;
 - When a Section in Title 10 is referenced, it should be referenced as, e.g., 10 CFR 20.1101 (you may also see it as 10 CFR § 20.1101);
 - When a Subpart of a Part in Title 10 is referenced, it should be referenced as, e.g., 10 CFR Part 20, Subpart E, or Subpart E of 10 CFR Part 20.
 - When an Appendix of a Part in Title 10 is referenced, it should be referenced as, e.g., Appendix C of 10 CFR Part 20;
 - When a Part, Section, or Appendix in Title 10 is referenced several times in a document, it may be shortened to, e.g., Part 20, Section 20.1101, or Appendix A. However, to avoid confusion when other titles of the *Code of Federal Regulations* are cited in the same document, or when different appendices are referenced in the same document, continue to use the full reference to the specific citation;
 - A citation should not be split from one line to the next, i.e., the entire citation should be kept together on one line.
- If the current bound version of Title 10 is the source of the regulation being applied, it is not necessary to include the date after the regulation that has been cited. This applies to other titles of the *Code of Federal Regulations* as well.
- If a *Federal Register* notice is the source of the regulation being applied because the regulation has not yet been published in a bound edition, the *Federal Register* citation should be included after the reference to the regulation being applied.
- If a *Federal Register* notice is the source of the Enforcement Policy being applied, the *Federal Register* citation should be included after the reference to the Enforcement Policy.
- Notwithstanding the existence of a *Federal Register* notice publishing a revision in part to the Enforcement Policy, if the current version of the Enforcement Policy is being applied, it is not necessary to include the date. For example, if a *Federal Register* notice contained a revision to Supplement IV in the Enforcement Policy and the enforcement action was being issued for a violation based on an example in

Supplement I, then it is not necessary to include the date of the current version of the Enforcement Policy. On the other hand, if an enforcement action was being issued where the severity level was based on a new example added by publication in the *Federal Register*, to Supplement IV, and the example was not in the current version of the Enforcement Policy, then the *Federal Register* citation should be included with the reference to the revised Supplement.

- If earlier versions of the Enforcement Policy or the regulations are being applied, the year of the applicable version should be included, e.g., 10 CFR Part 20 (1999).
- The following example provides the correct citation format when a *Federal Register* notice is referenced: In the citation “64 FR 618 (May 2, 2001),” 64 is the volume number, “FR” refers to *Federal Register*, 618 is the page number of the notice. This information is followed by the date of publication of the notice in parenthesis.
- Refer to the “NRC: Quick Reference Style Guide,” (Select **NRC Documents**, then **Abbreviations for NRC**, then **Electronic Style: Quick Reference**) for questions involving the NRC’s use of: abbreviations, acronyms, initials, symbols, capitalization, compound terms, unit modifiers, numbers, and punctuation.

The following is a key to the notation used in the standard formats:

| Symbol | Meaning |
|----------------|--|
| (____) or ____ | Fill in the blank with the appropriate information |
| () | Text within parentheses indicates the optional use of an alternative word or an optional choice or the plural form of the word preceding the parentheses. |
| [] | Text within brackets indicates narrative guidance that should be followed in terms of addressing specific elements that should be included in the particular document. |
| " " | Text within quotes indicates a suggested sentence or language. |