

October 4, 2001

MEMORANDUM TO: David B. Matthews, Director, DRIP
Bruce A. Boger, Director, DIPM
John A. Zwolinski, Director, DLPM
Jack R. Strosnider, Director, DE
Gary M. Holahan, Director, DSSA
James E. Lyons, Director, NRLPO
Michael J. Case, Director, PMAS

FROM: Samuel J. Collins, Director **/RA by Jon Johnson/**
Office of Nuclear Reactor Regulation

SUBJECT: REVISED GUIDANCE FOR TRACKING COMMITMENTS

This memorandum provides revised guidance for reporting and tracking NRR-generated commitments made to other offices in NRC, licensees, the public, the Congress, and other external stakeholders. This guidance supercedes the Commitment Information Tracking Form (CITF) system and is to be implemented immediately.

Background

On March 16, 2000, I signed out a memorandum to the division directors regarding commitment tracking and the CITF. The purpose of the memorandum was to establish increased discipline in the tracking and disposition of NRR's commitments to external stakeholders. The process required the use of the CITF for all documents signed out by a division director or above. Requiring the form ensured that all of these documents would be screened for commitments and the commitments would be entered into a database if they were not currently being tracked by WITS.

With operating experience, the following problems emerged: (1) commitments were not consistently captured, (2) commitments were not uniformly updated, and (3) a large number of staff were not aware of the system.

Requirements

A group of Technical Assistants and members of PMAS met to review the operating experience of the CITF system and developed a proposal to overcome the problems noted above. This proposal was presented to the Leadership Team and the Executive Team; both approved the revised concept. One of the primary benefits of the revised approach to commitment tracking is that it relies on the existing yellow ticket system and eliminates a separate tracking mechanism.

Therefore, I am requiring the following:

- All documents that are generated by NRR staff will be screened in accordance with the intent of the March 16, 2000, memorandum. That is, we will continue to capture commitments in those documents that are signed out by division directors or above and that are addressed to external stakeholders: other NRC offices, licensees, the public, Congress, and others outside NRC.
- All commitments will be tracked as yellow tickets in WITS through the use of the attached form. After filling out the form, the document originator will attach the form to the document package. For those documents that are signed out at the division director level, the staff will send the form to Tajuan Gorham (MS: O5-A4) who will then enter the information into WITS. For those instances where the document is to be signed by a member of the Executive Team or above, the form should accompany the document to the NRR mail room.
- If a response to an existing yellow ticket incorporates a commitment, the following actions should be taken: (1) the original yellow ticket will be closed and (2) a new yellow ticket will be opened, reflecting a new commitment to be signed out by a division director or above.

A commitment should be considered as establishing a promise or an agreement to undertake an action in the future. That action may involve replying to a request, instituting a change, providing documentation, or setting up a meeting.

In most instances, filing out one form for each document will be sufficient even if multiple commitments are made. However, there may be instances where the commitment is complex, involving multiple divisions responsible for parts of the commitment and/or multiple delivery dates; in these instances the originating staff should fill out more than one form to correspond to the complexity of the commitment.

A second attachment to this memorandum provides guidance on completing the form.

I request that each of you send copies of this memorandum to your staff; follow-up questions and concerns should be addressed to Michael Kaltman (x2905, mxk2).

Attachments: As stated

cc: B. Sheron, ADPT	B. Borchardt, ADIP
R. Perch, DONR	G. Suh, DIPM
K. Olive, PMAS	R. Elliott, ADIP
M. Marshall, ADPT	M. Gamberoni, NRLPO
D. Skeen, DRIP	S. Coffin, DE
D. Skay, DLPM	W. Kane, EDO
P. Ray, DSSA	ET Secretaries, NRR

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* Please see previous concurrence

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OFFICE	PIMB:PMAS	PIMB:PMAS	PMAS:NRR	NRR	NRR
NAME	M. Kaltman	T. Koshy	M. Case	J. Johnson	S. Collins
DATE	9/28/01	9/28/01	9/25/01	10/04/01	10/04/01

YELLOW TICKET TRACKING FORM

FROM:

TO:

SUBJECT/TITLE:

FOR SIGNATURE OF:

DOCUMENT DATE:

DIVISION ASSIGNED TO:

DUE DATE:

CONTACT:

REMARKS:

RETURN TO TAJUAN GORHAM, O5-A4

Filling Out the Form

The staff is to use the Yellow Ticket Tracking Form for every document that contains a commitment to an external entity and that is signed out by a division director or above.

Responses to yellow tickets that include a subsequent commitment will result in the closing of the original yellow ticket and the opening of a new yellow ticket, reflecting the commitment to be signed out by a division director or above.

The form will be filled out by the document originator; all forms are then included with the document package.

All information on the form will be entered into WITS by PMAS/PIMB.

For those documents that are signed out by the Division Director, the form will be sent on to Tajuan Gorham (MS:O5-A4) by the Division Director's secretary after the document is signed; there is no need to send a copy of the document itself. In those instances where the document is to be signed by a member of the Executive Team or above, the form should accompany the document to the NRR mail room.

Information on the following items is taken directly from the document: "TO," "FROM," "SUBJECT," and "DOCUMENT DATE."

"FOR SIGNATURE OF" refers to the proposed signatory authority of the document in which the commitment is closed.

"DIVISION ASSIGNED TO" refers to the division responsible for completing the commitment; in those instances where two or more divisions are collaborating on the same commitment, the divisions should decide which division will have the lead.

"DUE DATE" is the initial date on which the commitment is proposed to be completed.

"CONTACT" refers to the staff person who is responsible for meeting the commitment. In general, the contact should be in the division listed above and should not default to the division director unless he/she is the person who will perform the work to close out the commitment.

"REMARKS" should contain no more than 250 characters and should briefly describe the nature of the commitment. In addition, the remarks should contain the ADAMS Accession Number of the document.

If you have any questions related to commitment tracking, please contact Mike Kaltman (x2905, MXK2).