

**CENTER FOR NUCLEAR WASTE  
REGULATORY ANALYSES**

**ADMINISTRATIVE PROCEDURE**

Proc. AP-002

Revision 0

Page 1 of 11

Title

AP-002 CORRESPONDENCE AND COMMITMENT CONTROL

**EFFECTIVITY AND APPROVAL**

Revision 0 of this procedure became effective on 4/28/88. This procedure consists of the pages and changes listed below.

<u>Page No.</u>	<u>Change</u>	<u>Date Effective</u>
1 - 11	0	4/28/88

**SUPERSEDED**

Supersedes Procedure No. None

Approvals

Written By <i>Wesley Petrick</i>	Date <i>4/27/88</i>	Cognizant Director <i>[Signature]</i>	Date <i>4/28/88</i>
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AP-002 CORRESPONDENCE AND COMMITMENT CONTROL

1. INTRODUCTION

A large number of documents are processed in the normal course of business of the Center. The logging, filing, reviewing, and approval of documents is required to ensure that (1) such documents are controlled and maintained accurately and in a manner consistent with the purpose and objectives of the Center, and (2) commitments made in these documents are recognized and addressed.

2. PURPOSE AND SCOPE

The purpose of this procedure is to provide a process to (1) review and approve out-going nontechnical correspondence and to document that this review and approval has occurred, (2) log incoming correspondence, and (3) identify, monitor, and document commitments that are received by means of incoming correspondence or are made by means of outgoing correspondence. This procedure applies to forms of correspondence including hardcopy, electronic media, etc., directly applicable to the task(s)/work of the Center pursuant to its contract(s) with the U.S. Nuclear Regulatory Commission (NRC).

The review and approval of "technical" documents are controlled by means of the Center Quality Assurance Manual and applicable Technical Operating Procedures. This procedure does not directly apply to such documents, but does apply to the correspondence used to transmit them to the NRC or other organization(s) external to the Center.

This procedure applies only to personnel and organizations that are engaged in activities of the Center.

3. RESPONSIBILITY

3.1 The President of the Center is responsible for promulgation, revision and evaluation of compliance with this procedure.

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- 3.2 The Center's Director of Administration is responsible for implementation of this procedure, including training and indoctrinating personnel, and making available supplies and equipment necessary to meet the requirements of this procedure.
- 3.3 All staff members are responsible for subjecting applicable outgoing correspondence to these procedures and ensuring that incoming correspondence and commitments directed to them are entered into the logging and monitoring system in accordance with Section 4 of this procedure.
- 3.4 The Technical Director of the Center is responsible for fulfillment of commitments that are identified in this procedure. This responsibility is typically delegated to an appropriate action party such as the cognizant Department Director, Element/Subelement Manager, or Principal Investigator.
- 3.5 The Center Secretary is responsible for developing and maintaining all files and logs that are required for execution of this procedure (see Section 4) and for providing reports on outstanding commitments to the President, Director of Administration, Technical Director, and affected Center staff.

4. PROCEDURE

The following detailed procedures apply to the three purposes of review, approval, and documentation of outgoing applicable correspondence (Section 4.1), logging and filing of incoming applicable correspondence (Section 4.2), and identification, monitoring, and documentation of fulfillment of commitments (Section 4.3).

- 4.1 Review, Approval, and Documentation of Applicable Outgoing Correspondence
- 4.1.1 The author prepares the draft correspondence, determines that it is not subject to technical review under the provisions of the Center Quality Assurance Manual, and identifies the reviewers. As a minimum, the cognizant Department Director or his designee must review the document.

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The Center review and approval "stamp" (see example, page 8) shall be used to document approval on the record copy of the applicable correspondence.

- 4.1.2 The cognizant secretary prepares the outgoing document, makes a copy of the document, stamps the copy with the review and approval "stamp" and hard copy correspondence "stamp" (see example, page 8), and submits the document to the reviewers.
- 4.1.3 The author and reviewers resolve comments, if any.
- 4.1.4 The cognizant secretary processes the applicable correspondence. This will include completing the hard copy correspondence stamp information and entering the information in the Center Document Control Log (either the electronic or a hard copy version).
- 4.1.5 In cases where electronic media are the means of correspondence, the author may transmit and confirm receipt of the applicable correspondence and archive such correspondence noting file name, file type and location. Any commitment made in this correspondence will be logged by the cognizant secretary for subsequent monitoring in accordance with Section 4.3 of this procedure.
- 4.1.6 A "send confirmation" slip (see example, page 8) of outgoing facsimile transmissions will be maintained by the Center secretary. The document sent will be processed as noted in Section 4.1.1 - 4.1.4.
- 4.1.7 Outgoing telephone conversations that (1) convey information of interest and importance to staff members other than the initiator of the call and/or (2) establish a commitment will be documented and distributed to appropriate staff (see CNWRA Telephone Conversation Record, page 11) by the call originator. If a commitment is made, it shall be entered into the Commitment Control Log by the cognizant secretary according to Section 4.3 of this procedure.

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4.2 Logging and Filing of Incoming Applicable Correspondence

4.2.1 All applicable incoming correspondence will be logged, distributed as appropriate, and filed by the cognizant secretary. Any commitments indicating such correspondence will be logged and monitored in accordance with Section 4.3 of this procedure.

4.2.2 A file of incoming facsimile transmissions will be maintained (see example Facsimile Service Request, page 10). The incoming document will also be logged, distributed as appropriate, and filed as noted in Section 4.2.1 by the cognizant secretary. Any commitments indicated by the facsimile transmission will be logged and monitored in accordance with Section 4.3 of this procedure.

4.2.3 In cases where electronic media are the means of correspondence, the incoming document may be archived and distributed by electronic means only. In this case, the cognizant secretary would log the receipt, annotated with the archival location and program file name. Any commitment made in this correspondence will be logged by the cognizant secretary for subsequent monitoring in accordance with Section 4.3 of this procedure.

4.2.4 Incoming telephone conversations that (1) convey information of interest and importance to staff members other than the recipient of the call and/or (2) establish a commitment will be documented and distributed to appropriate staff (see CNWRA Telephone Conversation Record) by the cognizant secretary or individual making telecon record.

4.3 Identification, Monitoring, and Documentation of Commitment Fulfillment

4.3.1 The Center Document Control Log (see example, page 7), which can exist electronically or in hard copy, permits issuance of the Document Control Number and provides for tracking commitments on the Commitment Control Log. The Document Control Number is a 12-digit number issued to outgoing and incoming applicable documents from Center Document Control Log. The Document Control

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Log includes key information and, when applicable, references identifier number for the Commitment Control Log.

- 4.3.2 The recipient or originator of all applicable correspondence will identify any commitments associated with such correspondence and provide the pertinent information to the cognizant secretary.
- 4.3.3 The cognizant secretary enters the data into the computer-based Commitment Control and provides periodic status reports on the status of these commitments to the cognizant parties and appropriate level of CNWRA management (Section 3.5).
- 4.3.4 The action party for a commitment takes the steps necessary to fulfill that commitment and periodically provides status information to the cognizant secretary for incorporation in the database.
- 4.3.5 Applicable outgoing correspondence to fulfill a commitment will reference the correspondence which generated the commitment. The log will be annotated as necessary to establish the cross-reference between the correspondence that generated and fulfilled the commitment.
- 4.3.6 Commitments that are generated by incoming and outgoing telephone conversations will be logged and monitored in accordance with this procedure (Section 4.1.7).

CENTER DOCUMENT CONTROL LOG

<u>Document Number</u>	<u>Originator</u>	<u>Recipient</u>	<u>Title/Subject</u>	<u>Location</u>	<u>Originator File Name</u>	<u>Recipient File Name</u>	<u>Commitment Identifier Number</u>
-----	-----	-----	-----	-----	-----	-----	-----

CENTER STAMPS

HARD COPY CORRESPONDENCE STAMP

Doc. No. (20-Yr-Mo-Day-Sequence No.)	_____
Originator	_____
Recipient	_____
Doc. Type	_____
Reference	_____
Subject	_____
Commitment (Identifier Number)	_____
Location	_____

CENTER REVIEW AND APPROVAL STAMP

	Initials	Date
Cognizant Director Approval	_____	_____
Element/Subelement Approval	_____	_____

SEND CONFIRMATION FORMAT

EXAMPLE

SECRET THE REGIONAL OFFICES



Page No. 1  
03/15/88

## COMMITMENTS IN PROGRESS

## COMMITMENT CONTROL LOG

=====

IDENTIFIER	DESCRIPTION	DATE MADE	DATE DUE	COMPLETED	RESPONSIBLE PARTY	STATUS
**OPS	REVISE "APPROACH" AND "TASK DESCRIPTIONS" OF SUBTASKS 1.1 AND 1.2, SUBMIT CHANGE PAGES	02/25/88	/ /	/ /	WHITING/PATRICK	
**AP 3	PROCEDURE ON COMMENT RESOLUTION	02/24/88	/ /	/ /	MABRITO	
**TRS	DEVELOP PLAN FOR A SAND84-7174 TYPE STUDY PER COOK	02/25/88	/ /	/ /	PIERCE	INITIAL CONTACT, NEED NRC GUIDANCE
**AP 2	PROCEDURE ON CORRESPONDENCE CONTROL	01/04/88	03/16/88	/ /	MABRITO/GARCIA	PATRICK PROVIDED DRAFT
**M 10	PLAN FOR ESTABLISHING CENTER OFFICES - A BRIEF PLAN FOR OCCUPANCY OF PERMANENT FACILITIES AND A BRIEF DESCRIPTION OF THOSE FACILITIES.	02/05/88	03/18/88	/ /	GARCIA	
**	MODIFICATION TO EBS OPS PLAN TO INCLUDE TECHNOLOGY TRANSFER	02/18/88	03/18/88	/ /	NAIR	
**M 1	THE PRELIMINARY WORK BREAKDOWN STRUCTURE AND ACCOUNT NUMBER ASSIGNMENTS. THIS WBS WILL BE MODIFIED AND FORMALIZED IN THE DRAFT CMP.	11/10/87	04/01/88	/ /	GARCIA/PATRICK/ WHITING	TO BE REVISED FOR SEMP
**M 5	THE DRAFT SEMP PROVIDED TO NRC FOR REVIEW AND COMMENT.	02/05/88	04/01/88	/ /	PATRICK/ADLER/WHITING	
**M 18	RECORDS/FILE INDEX - A LIST AND ASSOCIATED NUMERICAL INDEX THAT WILL FORM THE BASIS FOR LOGGING, ARCHIVING, RETRIEVING, AND TRANSMITTING RECORDS RELATED TO THE WORK OF THE CENTER.	02/05/88	04/08/88	/ /	JOHNSON/GARCIA	
**M 3	DRAFT TEXT OF THE CMP DELIVERED TO THE NRC FOR REVIEW AND APPROVAL.	02/05/88	04/15/88	/ /	HELLER/PATRICK	40% COMPLETE
**	RESEARCH PROJECT PLAN 4	02/06/88	04/15/88	/ /	NAIR	
**	RESEARCH PROJECT PLAN 5	02/06/88	04/15/88	/ /	NAIR	
**M 24	AWARD FEE SELF-EVALUATION	03/02/88	04/22/88	/ /	LATZ/PATRICK	OUTLINE IN PREP
**M 7	INFORMATION MANAGEMENT SYSTEM INTERFACE DESCRIPTION - A PICTORIAL AND NARRATIVE DESCRIPTION OF THE VARIOUS INTERFACES AMONG INFORMATION	02/05/88	04/29/88	/ /	JOHNSON	

01/19/88 15:47

EXAMPLE

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001

*JS*  
FILE



UNITED STATES  
NUCLEAR REGULATORY COMMISSION  
WASHINGTON, D. C. 20555

FACSIMILE SERVICE REQUEST

DATE 1/19/88

"PLEASE"  
USE DARK PEN WHEN FILLING  
OUT & REMOVE ALL STAPLES

MESSAGE TO: BARBARA STILTENDOLE c/o J. LATZ

TELECOPY NUMBER 512/522-5155

AUTOMATIC:  YES  NO

VERIFICATION NUMBER 512/522-5154

NO. OF PAGES 17 EXCLUDING COVER SHEET

RETURN COPIES  YES  NO

STATE & CITY SAN ANTONIO, TX

MESSAGE FROM: M. DELLIGATI

TELECOPY NUMBER 301-427-4290 <sup>443-7860</sup> RAPIFAX AUTOMATIC

301-427-4409 3M VRC AUTOMATIC

VERIFICATION NUMBER 301-427-4807 <sup>492-3594</sup> MAIL ROOM #100

BUILDING WILLSTE  OFFICE PHONE  MAIL STOP

CLASS OF SERVICE  OVER NIGHT  4 HOUR

1 HOUR  IMMEDIATE

Received/Time date

Transmitted/Time date

RECEIVED  
JAN 19 1988  
REGISTERED

# CENTER FOR NUCLEAR WASTE REGULATORY ANALYSES

## TELEPHONE CONVERSATION RECORD

Date: \_\_\_\_\_ Project No. \_\_\_\_\_ Time: \_\_\_\_\_

With: \_\_\_\_\_  
Mr./Mrs. \_\_\_\_\_ Phone No.: \_\_\_\_\_  
Organization \_\_\_\_\_ Ext.: \_\_\_\_\_  
Address \_\_\_\_\_ Telephone Charge: \_\_\_\_\_  
City \_\_\_\_\_  Incoming  Outgoing

Purpose: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Resume: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Action to be Taken: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Action to be Taken by: \_\_\_\_\_ Required Date: \_\_\_\_\_

Distribution: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Signature: \_\_\_\_\_

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Revision 1

Page 1 of 4

**TITLE: AP-002 Correspondence and Document Control**

**EFFECTIVITY AND APPROVAL**

Revision 1 of this procedure became effective on January 23, 1995. This procedure consists of the pages and changes listed below.

<u>Page No.</u>	<u>Change</u>	<u>Date Effective</u>
ALL	0	01/23/95

Supersedes Procedure No. Rev 0, Chg 0

**Approvals**

<b>Written By</b> <i>Bonnie Caudle</i> Bonnie Caudle	<b>Date</b> 1/23/95	<b>Cognizant Director</b> <i>[Signature]</i> Henry F. Garcia	<b>Date</b> 1/23/95
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**AP-002 Correspondence and Document Control**

**1. INTRODUCTION**

A large number of documents are processed in the normal course of business of the Center for Nuclear Waste Regulatory Analyses (CNWRA). The reviewing, approving, logging, and filing of documents is required to ensure that such documents are controlled and maintained accurately and in a manner consistent with the purpose and mission of the CNWRA.

**2. PURPOSE AND SCOPE**

The purpose of this procedure is to provide a process: (i) to review and approve outgoing non-technical correspondence and to document that this review and approval has occurred, and (ii) log and file incoming and outgoing correspondence. This procedure applies to all forms of correspondence, including hardcopy and electronic media, which are directly applicable to the task work of the CNWRA pursuant to its contract(s) with the Nuclear Regulatory Commission (NRC).

The review and approval of technical documents are controlled by means of the CNWRA Quality Assurance Manual (CQAM) and applicable Operating Procedures. This procedure does not directly apply to such documents, but does apply to the correspondence used to transmit them to the NRC or other organization(s) external to the CNWRA.

**3. RESPONSIBILITY**

3.1 The CNWRA's Director of Administration is responsible for implementation of this procedure, including training and indoctrinating personnel, and making available the supplies and equipment necessary to meet the requirements of this procedure.

3.2 All staff members are responsible for subjecting applicable outgoing correspondence to this procedure and ensuring that incoming correspondence are properly stamped, coded, and given to the CNWRA Document Control Clerk.

3.4 The CNWRA Document Control Clerk is responsible for developing and maintaining all files and logs that are required for execution of this procedure.

**4. PROCEDURE**

The following detailed procedure applies to the review, approval, and documentation of outgoing applicable correspondence (Section 4.1) and logging and filing of incoming applicable correspondence (Section 4.2).

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**4.1 Review, Approval, and Documentation of Applicable Outgoing Correspondence.**

**4.1.1** The author shall prepare the correspondence and identify the reviewers. It is preferred that the cognizant Element Manager and Department Director or his designee review the correspondence.

**4.1.2** The cognizant secretary prepares the outgoing correspondence, makes a copy of the correspondence, stamps the copy with the review and approval stamp and submits the correspondence to the reviewers.

The CNWRA review and approval stamp (see example on page 4) shall be used to certify approval on the record copy of the applicable correspondence.

**4.1.3** The author and reviewers resolve comments, if any.

**4.1.4** The cognizant secretary processes the applicable correspondence. This will include making sure that the correspondence review and approval stamp information has been completed prior to mailing. The stamped copy and a signed copy of the correspondence is given to the CNWRA Document Control Clerk for filing.

**4.1.5** Documents will be maintained in the correspondence files in accordance with the numbering system provided in the CNWRA Correspondence Control Subject Code Manual.

**4.2 Logging and Filing of Incoming Applicable Correspondence.**

**4.2.1** All applicable incoming correspondence will be stamped, copied, logged, and distributed, as appropriate, by the cognizant secretary, and the original filed by the CNWRA Document Control Clerk.

**4.2.2** A file of incoming facsimile transmissions will be maintained. The incoming facsimile will be date-stamped and distributed, as necessary, by the appropriate staff. The CNWRA Document Control Clerk will maintain the original facsimile in the CNWRA files in chronological order.

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**REVIEWED BY**

**Cog. Director** \_\_\_\_\_

**Element Mgr.** \_\_\_\_\_

**Subject Code** \_\_\_\_\_