

**CENTER FOR NUCLEAR WASTE  
REGULATORY ANALYSES**

**ADMINISTRATIVE PROCEDURE**

Proc. AP-004

Revision 0

Page 1 of 6

Title

PUBLIC, MEDIA, ORGANIZATIONAL AND CONGRESSIONAL INQUIRIES

**EFFECTIVITY AND APPROVAL**

Revision 0 of this procedure became effective on 9/9/88. This procedure consists of the pages and changes listed below.

Page No.

Change

Date Effective

1 - 6

0

9/9/88

**SUPERSEDED**

*Superseded by Revision 1, Chg. 0 - 5/24/95*

Supersedes Procedure No. None

Approvals

Written By

*[Signature]*

Date

*9/9/88*

Cognizant Director

*[Signature]*

Date

*9/9/88*

**CENTER FOR NUCLEAR WASTE  
REGULATORY ANALYSES**

**ADMINISTRATIVE PROCEDURE**

Proc. AP-004

Revision 0

Page 2 of 6

**AP-004 PUBLIC, MEDIA, ORGANIZATIONAL AND CONGRESSIONAL INQUIRIES**

**1. INTRODUCTION**

Inquiries from members of the public, news media, organizations, and governmental sources may be received by the Center for Nuclear Waste Regulatory Analyses (Center). This procedure provides specific guidelines on how such inquiries should be received and responded to by Center personnel.

**2. PURPOSE AND SCOPE**

The purpose of this administrative procedure is to disseminate information and provide a reference source of how to receive and respond to public, media, organizational, and governmental inquiries addressed directly to Center personnel. Inquiries are defined as questions, or searches for information, by various persons or groups. Inquiries of the Center are understood to be concerned with the Nuclear Regulatory Commission (NRC) contract with SwRI, dealing with the NRC-defined scope of work.

**3. RESPONSIBILITY**

- 3.1 Each person assigned to the Center should be aware that they may receive an inquiry from the public, news media, organizations, local, state, or national governmental sources. Such inquiries shall be recorded and responded to in accordance with the procedure below.
- 3.2 The responsibility to respond to organizational, local, state, or U.S. Government/Congressional inquiries resides with the Office of the President of the Center, with NRC coordination.
- 3.3 Following coordination with the NRC Center Program Manager, the responsibility for responding to the news media inquiries rests with the Southwest Research Institute (SwRI) Communications Office.
- 3.4 The responsibility for releasing proprietary information rests with the SwRI Assistant Treasurer and the responsibility to release personnel information rests with the SwRI Director of Personnel. No proprietary and/or personnel information may be released to any person/organization without the approval of the above officials.

**CENTER FOR NUCLEAR WASTE  
REGULATORY ANALYSES**

**ADMINISTRATIVE PROCEDURE**

Proc. AP-004

Revision 0

Page 3 of 6

4. PROCEDURE

4.1 News Media Inquiries

- 4.1.1 Any member of the Center may receive a news media or other inquiry. The recipient shall initiate an Inquiry Form (CNWRA Form AP-4 attached), ascertain how quickly a response is needed, and should inform the requestor that a representative will respond as soon as feasible. The Office of the President of the Center shall be informed of the request and the need to respond.
- 4.1.2 The Office of the President of the Center shall coordinate with the NRC Center Program Manager all responses to requests from the news media for information related to work performed or to be performed pursuant to the NRC contract. Following coordination with the NRC Center Program Manager, the Office of the President of the Center shall authorize the SwRI Communications Office to release such information.
- 4.1.3 Public, organizational, and media inquiries of a general nature, or related to the Center as one of the SwRI Divisions, can be handled directly by the Office of the President of the Center or by the SwRI Communications Office without prior NRC coordination.
- 4.1.4 As a general guideline the responding party should ensure that care and consideration be given to the accuracy, completeness, and timeliness of any response.
- 4.1.5 Sensitive information (such as draft positions, evaluations, etc. that are considered by the NRC to be "pre-decisional") shall not be released by the Center except as directed by the NRC Center Program Manager.
- 4.1.6 Periodic information reports may be provided to the SwRI Communications Office for retention and use in responding to public, organizational, and media inquiries.

# CENTER FOR NUCLEAR WASTE REGULATORY ANALYSES

## ADMINISTRATIVE PROCEDURE

Proc. AP-004

Revision 0

Page 4 of 6

### 4.2 Governmental/Congressional Inquiries

4.2.1 Any member of the Center may receive an inquiry from local, state, national government agencies, a member of the U.S. Congress or from Congressional staff related to work being carried out by the Center pursuant to its NRC contract. If such an inquiry is received, the Center employee, irrespective of their position, shall first ascertain the urgency of the response, inform the requestor that a representative will respond as soon as feasible, initiate an Inquiry Form, and inform the Office of the President of the Center about the call and the need to respond.

4.2.2 The Office of the President of the Center shall determine the appropriate Center personnel to respond to the inquiry and if any other staff is required to provide input. The person contacted may be directed to respond to the inquiry, if appropriate, or may be directed to provide an interim response while the final response is being formulated. The Office of the President of the Center may also provide an interim response.

4.2.3 Center personnel, after informing the Office of the President of the Center, may refer such contacts with governmental/Congressional Offices directly to the NRC Program Manager. In all cases, the Office of the President of the Center, as well as the responsible NRC Program Element Manager shall be notified of the governmental/Congressional inquiry.

### 5. FORMAT AND RECORDS

5.1 The response to public, news media, organizational or governmental/Congressional inquiries may be in any medium, including verbal, printed, video tape, etc., so long as adequate documentation of the response is maintained. Copies of such inquiries, forms, and associated responses shall be maintained in Center record files.

5.2 In cases where the inquiry and/or the response are verbal, a complete transcript (if available), a Telephone Conversation Record, meeting minutes, or Inquiry Form of the salient content of the exchange, shall be prepared and entered into the Center record files.

**CENTER FOR NUCLEAR WASTE  
REGULATORY ANALYSES**

**ADMINISTRATIVE PROCEDURE**

Proc. AP-004

Revision 0

Page 5 of 6

- 5.3 The Center Inquiry Form may be utilized to obtain authorization for a response to an inquiry. This self-explanatory form shall be completed and retained in Center record files with objective evidence listed in 5.2.

# CENTER FOR NUCLEAR WASTE REGULATORY ANALYSES INQUIRY FORM

DATE RECEIVED

CENTER INDIVIDUAL RECEIVING INQUIRY

COGNIZANT ELEMENT(S)

RESPONSE NEEDED BY (Date)

TYPE OF INQUIRY (Circle Inquiry)

NEWS MEDIA

STATE/LOCAL AGENCY

OTHERS \_\_\_\_\_

FEDERAL AGENCY

ORGANIZATION

CONGRESSIONAL

CORPORATE \_\_\_\_\_

INQUIRY FROM (Name, Group, Address, Phone No.):

BRIEF DESCRIPTION OF INQUIRY

RESPONSE AUTHORIZATION

Office of the President, CNWRA

NRC AUTHORIZATION (If Required)

NRC CNWRA Program Manager

PERSON AUTHORIZED TO PROVIDE RESPONSE

DATE FINAL RESPONSE PROVIDED

ATTACH FINAL RESPONSE TO THIS FORM OR MAKE REFERENCE  
AS TO FORMAT AND LOCATION OF FINAL RESPONSE COPY

FORMAT \_\_\_\_\_

LOCATION \_\_\_\_\_

**CENTER FOR NUCLEAR WASTE  
REGULATORY ANALYSES**

**ADMINISTRATIVE PROCEDURE**

Proc. AP-004

Revision 1

Page 1 of 7

Title

**PUBLIC, MEDIA, ORGANIZATIONAL, AND CONGRESSIONAL INQUIRIES**

**EFFECTIVITY AND APPROVAL**

Revision 1 of this procedure became effective on 5/18/95. This procedure consists of the pages and changes listed below.

<u>Page No.</u>	<u>Change</u>	<u>Date Effective</u>
1-7	X 0 <i>Ben</i> <i>5/18/95</i>	5/18/95

Supersedes Procedure No. Revision 0 effective 9/9/88

**Approvals**

Written By

*Shirley M. ...*

Date

*5/18/95*

Cognizant Director

*[Signature]*

Date

*5/18/95*

# CENTER FOR NUCLEAR WASTE REGULATORY ANALYSES

## ADMINISTRATIVE PROCEDURE

Proc. AP-004

Revision 1

Page 2 of 7

### AP-004 PUBLIC, MEDIA, ORGANIZATIONAL AND CONGRESSIONAL INQUIRIES

#### 1. INTRODUCTION

Inquiries from members of the public, news media, independent organizations, and governmental bodies may be received by any staff member of the Center for Nuclear Waste Regulatory Analyses (CNWRA). This procedure provides specific guidelines on how such inquiries should be received, handled, and responded to by CNWRA staff.

#### 2. PURPOSE AND SCOPE

The purpose of this administrative procedure is to provide fundamental criteria, disseminate information, and provide a reference source on how to receive and respond to any type of inquiry regarding the CNWRA, its staff, or work performed by CNWRA on behalf of its sponsor or other clients. Inquiries are defined as any questions or searches for information by persons or groups.

This procedure applies to CNWRA staff, SwRI staff working for the CNWRA, and consultants who are performing activities for the CNWRA. When an inquiry is received and there is a question as to whether or not this procedure should be invoked, the inquiry should be referred to the CNWRA President or Technical Director.

#### 3. DEFINITIONS

Inquiries: An inquiry is a question which has been posed to a CNWRA staff member. Inquiries are divided into three generic groups: (i) "general knowledge," (ii) "specific project/sponsor issues," and (iii) "personnel or proprietary."

General Knowledge Inquiry: A general knowledge type of inquiry can be asked of a CNWRA staff member primarily because of the education and experience of the CNWRA individual, but the inquiry does not involve specific project/sponsor issues. A general knowledge inquiry can be generally described as subject matter that does not relate directly to the work being accomplished for sponsor/clients and can be freely discussed with persons who ask such questions. This allows CNWRA staff members to answer questions in their areas of expertise as long as the inquiry does not enter into specific project/sponsor and personnel and propriety issues. General knowledge inquiries specifically exclude the following issues: licensing, site suitability, client/sponsor policies, government/congressional inquiries, and liability matters. An example of a general knowledge inquiry would be a news media request for a CNWRA earthquake specialist to



# **CENTER FOR NUCLEAR WASTE REGULATORY ANALYSES**

## **ADMINISTRATIVE PROCEDURE**

Proc. AP-004

Revision 1

Page 3 of 7

provide information regarding the nature, origin, geologic impact, historical significance, and other general questions related to an earthquake (provided such does not relate to proposed repository sites). These general types of questions can be answered by CNWRA staff without referring the question to CNWRA management because they do not directly involve sponsored work, or personnel or proprietary matters.

Specific Project/Sponsor Issue Inquiry: These outside inquiries involve issues regarding specific CNWRA project work for the sponsor or other clients. Specific project/sponsor inquiries may involve sensitive issues, such as site suitability, licensing, sponsor or client policies, results of testing, etc., that our client(s) may prefer to answer themselves or to refer to another authority to provide a detailed response. Inquiries may also include information regarding a sponsor/client which is of a more general or scientific nature where such sensitivities do not exist.

Personnel or Proprietary: These outside inquiries involve questions regarding SwRI and CNWRA personnel matters (refer such questions to the SwRI Personnel Department) or proprietary matters. These type of inquiries should not be answered by CNWRA staff members because of legal liabilities that might be incurred.

### **4. RESPONSIBILITY**

- 4.1 Each CNWRA Element Manager (EM) shall ensure that persons working in the CNWRA are aware that they may receive inquiries from various sources, including the news media, independent organizations, local, state, or national governmental sources, or members of the public. The EMs are responsible for providing access to and training in use of this administrative procedure.
- 4.2 The President or Technical Director of the CNWRA is responsible for making decisions regarding dissemination of information and notifications to appropriately implement this procedure.
- 4.3 The responsibility for releasing CNWRA/SwRI proprietary information rests with the SwRI Communications Department. The responsibility to release personnel information rests with the SwRI Personnel Department. No proprietary or personnel information may be released to any person or organization without the approval of the above departments.
- 4.4 Each staff member working in the CNWRA has the responsibility to apply this procedure to project/sponsor specific inquiries, while retaining the freedom to use their best judgement in answering general knowledge category questions.

# **CENTER FOR NUCLEAR WASTE REGULATORY ANALYSES**

## **ADMINISTRATIVE PROCEDURE**

Proc. AP-004

Revision 1

Page 4 of 7

### **5. PROCEDURE**

The following criteria form the basis for evaluating whether an inquiry can be responded to directly by a staff member working in the CNWRA, or whether it will need to be referred to the CNWRA President or Technical Director. If the inquiry clearly fits into the general knowledge category, it can be answered directly by the staff member. If the inquiry fits in the specific project/sponsor category, the question shall be referred to the CNWRA President or Technical Director. If the inquiry fits in the personnel and proprietary category, the telephone number for the SwRI Personnel Department or the SwRI Communications Department, as appropriate, should be provided to the inquirer. The flow chart (Fig. 1) provides a logic structure for determining the appropriate course of action for an outside inquiry.

- 5.1 Upon receipt of an inquiry, the CNWRA staff member determines if he or she can answer the inquiry under the general knowledge category definition. If so, a clear response should be provided and a short message describing the inquiry and response should be sent to the CNWRA President and Technical Director. The description of the inquiry and response can take the form of electronic mail, the CNWRA Inquiry Form (Form AP-4, included in this procedure), or any other form which is maintainable in CNWRA records. The CNWRA President or Technical Director will determine if the cognizant CNWRA sponsor should be notified that a general knowledge category inquiry has been received and responded to.
- 5.2 Should the inquiry be related to a specific project/sponsor, the inquiry shall be referred to the CNWRA President or Technical Director.
- 5.3 If the inquiry is related to personnel or proprietary matters, provide them with the appropriate telephone numbers. Promptly call the Personnel or Communications Department regarding the contact.
- 5.4 The CNWRA President or Technical Director shall decide whether it is appropriate for the CNWRA to respond to the inquiry based on the available information. If it is decided that no one from the CNWRA or SwRI should respond to the inquiry, then they will direct the inquirer to a specific office of the cognizant CNWRA sponsor/client.
- 5.5 If the CNWRA President or Technical Director decide that the inquiry should be responded to by the CNWRA, they will contact the cognizant CNWRA sponsor/client to obtain permission to make the response, as appropriate. In general, approval will be sought only for cases where sponsor/client sensitive information is involved (see Definitions). Included in the discussion will be

**CENTER FOR NUCLEAR WASTE  
REGULATORY ANALYSES**

**ADMINISTRATIVE PROCEDURE**

Proc. AP-004

Revision 1

Page 5 of 7

limitations that should be imposed in the response to protect the interests of the CNWRA sponsor/client.

- 5.6 The CNWRA President or Technical Director shall give due consideration to the impacts of the response prior to providing an answer to the inquiry.
- 5.7 After consulting with the cognizant sponsor/client to obtain approval, a response to the inquiry in the preferred method (verbal, electronic mail, paper "hard copy," fax, etc.) shall be made.
- 5.8 Following completion of the formal response to the inquiry, the CNWRA shall inform the SwRI Communications Office of the response if they had been earlier involved. A copy of the CNWRA response (or a description of the response) shall be provided to the cognizant sponsor/client the same day as the response. A completed Form AP-4, with appropriate signature(s), shall be forwarded to the correspondence files.

**6. FORMAT AND RECORDS**

- 6.1 The response to public, news media, independent organization, governmental/congressional, or any other inquiries may be in any medium required so long as adequate documentation of the response is maintained by the CNWRA. Copies of inquiries, forms, and associated responses shall be maintained in CNWRA correspondence files.
- 6.2 Maintenance of the inquiry and CNWRA response shall be for six years.

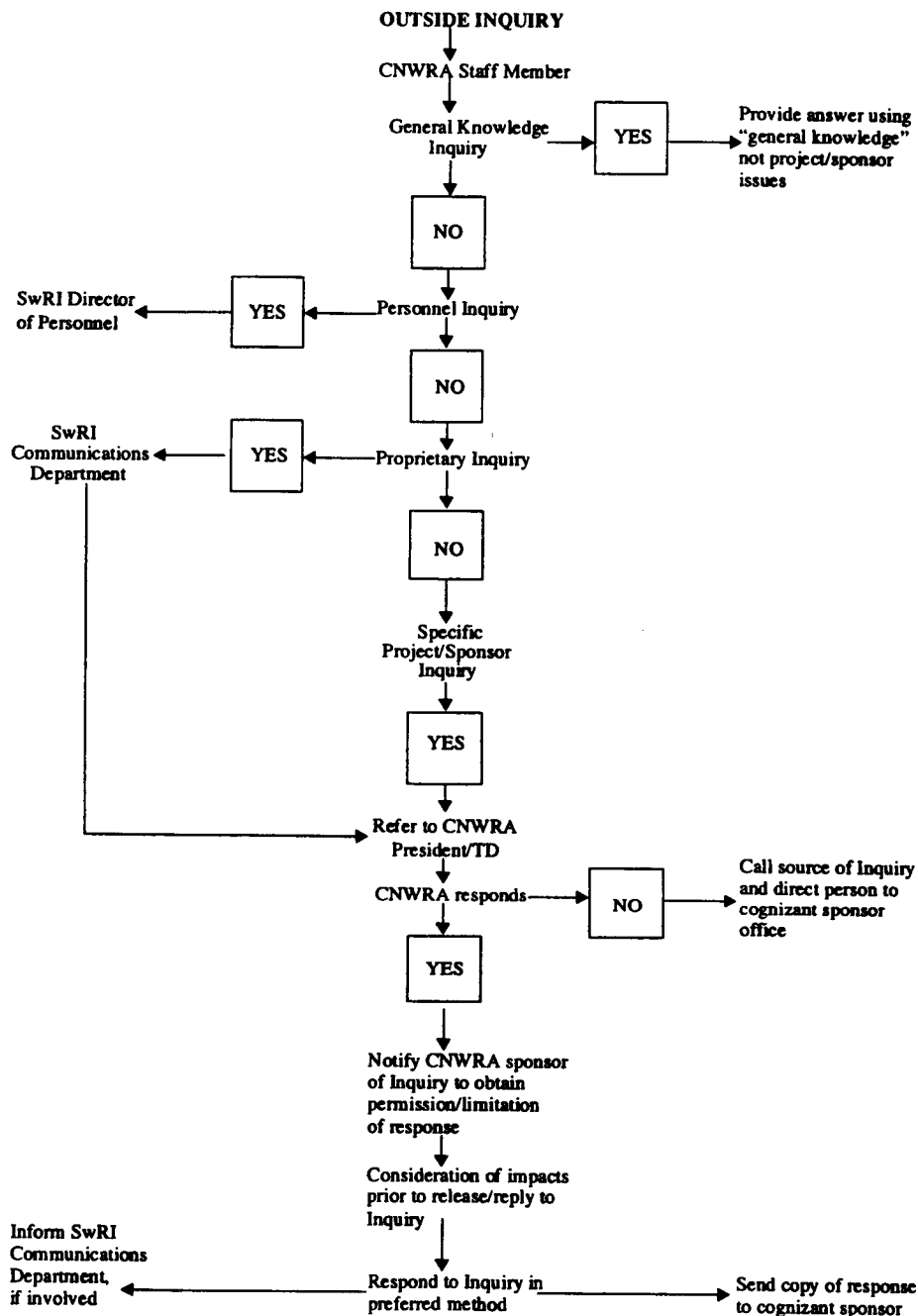
# CENTER FOR NUCLEAR WASTE REGULATORY ANALYSES

## ADMINISTRATIVE PROCEDURE

Proc. AP-004

Revision 1

Page 6 of 7



# CENTER FOR NUCLEAR WASTE REGULATORY ANALYSES

## ADMINISTRATIVE PROCEDURE

Proc. AP-004

Revision 1

Page 7 of 7

CENTER FOR NUCLEAR WASTE REGULATORY ANALYSES INQUIRY FORM	
DATE RECEIVED	CNWRA INDIVIDUAL RECEIVING INQUIRY
COGNIZANT ELEMENT(S)	RESPONSE NEEDED BY (DATE)
TYPE OF INQUIRY (Circle Inquiry) News Media Federal Agency Congressional State/Local Agency Organization Corporate Others _____	
INQUIRY FROM (Name, Group, Address, Phone No. ) _____ _____ _____	
BRIEF DESCRIPTION OF INQUIRY _____ _____ _____ _____ _____ _____ _____ _____	
RESPONSE AUTHORIZATION _____ Office of the President, CNWRA	
NRC AUTHORIZATION (If Required) _____ NRC CNWRA Program Manager	
PERSON AUTHORIZED TO PROVIDE RESPONSE	DATE FINAL RESPONSE PROVIDED
ATTACH FINAL RESPONSE TO THIS FORM OR MAKE REFERENCE AS TO FORMAT AND LOCATION OF FINAL RESPONSE COPY	FORMAT LOCATION

CNWRA Form AP-4

February 1994

CNWRA Form AP-2