

U.S. NUCLEAR REGULATORY COMMISSION

DIRECTIVE TRANSMITTAL

TN: DT-94-09

To: NRC Management Directive System Custodians

Subject: Transmittal of Management Directive 3.57, "Correspondence Management"

Purpose: Directive and Handbook 3.57 replace Manual Chapter and Appendix 0240. Major changes include the following:

1. An electronic version of the concurrence grid has been added with the document name to show how the document is saved.
2. The docket/project number now appears near the distribution list.
3. The header on continuation pages no longer includes the date.
4. The responsibilities of the originator, those concurring, and the signer of correspondence have been outlined in accordance with the EDO's guidance.
5. Standard formats for NRC correspondence that will be incorporated into AUTOS have been established.
6. The format for memoranda has been changed to replace "MEMORANDUM FOR" with "MEMORANDUM TO," to delete the signature block at the end of memoranda, and to use "attachments" instead of "enclosures" on memoranda.

Office and Branch of Origin: Office of Information Resources Management
Information and Records Management Branch

Contact: Beverly Martin, 415-5877

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OFFICE OF ADMINISTRATION

Correspondence Management

Directive

*(Formerly
MC 0240)* **3.57**

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U. S. Nuclear Regulatory Commission

Volume: 3 Information Management
Part: 2 Records Management

IRM

Correspondence Management Directive 3.57

Policy (3.57-01)

All official correspondence of the U.S. Nuclear Regulatory Commission (NRC) must be prepared, controlled, and processed in accordance with the standards, procedures, and guidelines specified in this directive and handbook.

Objectives (3.57-02)

- To produce clear and concise correspondence that is uniform in style and format and is neat and businesslike in appearance. (021)
- To establish uniform procedures and methods throughout the NRC for the preparation, coordination, and expeditious handling of correspondence. (022)
- To identify and expedite the handling of incoming communications that on the basis of their source, subject matter, or sensitivity require processing as "principal correspondence." (023)
- To implement Federal and NRC standards for correspondence management. (024)

Organizational Responsibilities and Delegations of Authority (3.57-03)

The Director, Office of Information Resources Management (IRM) (031)

- Develops and maintains, in consultation with office directors and regional administrators, NRC policies, standards, and procedures for the preparation and control of NRC correspondence. (a)
- Provides telecommunications services, including facsimile (FAX) messages and data lines, for computer use. (b)
- Develops policies and standards on hardware and software used to produce agency correspondence. (c)

The Office of the General Counsel (OGC) (032)

Reviews for legal considerations principal correspondence and other communications referred to OGC by offices reporting to the Commission and to the Executive Director for Operations (EDO).

The Director, Office of Congressional Affairs (OCA) (033)

- Reviews communications from congressional sources, acknowledges their receipt, and provides guidance to offices assigned action, as necessary, on the nature of required responses. (a)
- Reviews and concurs in replies to congressional correspondence prepared by NRC offices. (b)
- Dispatches all congressional mail to Congress. (c)
- Monitors, as necessary, and concurs in all congressionally related Commission Papers before they are distributed to the Commission. (d)

**The Director, Office of Congressional
Affairs (OCA)
(033) (continued)**

- Monitors material sent for information purposes to House and Senate committees that have jurisdiction over NRC activities. (e)

**The Secretary of the Commission (SECY)
(034)**

- Receives, reviews, assigns action and suspense dates, tracks status, and controls, as appropriate, all communications addressed to the Chairman or the Commission and, upon request, communications addressed to individual Commissioners or offices that report directly to the Commission. (a)
- Receives, reviews, assigns action and suspense dates, tracks status, and controls, as appropriate, all communications addressed to the Office of the Secretary of the Commission. (b)
- Reviews and controls, as appropriate, staff correspondence prepared at the direction of the Commission. (c)
- Determines those categories of incoming communications that warrant identification and control as principal correspondence and functions as the central point of control for action assignments. (d)
- Coordinates principal correspondence referrals to and from Commission-level offices and the Office of the EDO and acts in direct liaison with those offices on related inquiries and status reporting. (e)

**Office Directors and
Regional Administrators
(035)**

- Designate correspondence officers for their organizations to coordinate and control principal correspondence actions. (a)
- Ensure that the official record copy of letters, memoranda, and other correspondence is maintained in the official NRC files in accordance with NUREG-0910, Revision 2, "NRC Comprehensive Records Disposition Schedule." (b)

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**Office Directors and
Regional Administrators
(035) (continued)**

- Implement this directive and handbook within their areas of responsibility. (c)

**The Director, Division of
Security (SEC), Office of
Administration (ADM)
(036)**

Establishes security classification requirements for the receipt, handling, control, and transmission of classified correspondence and monitors those requirements in the course of security surveys.

**The Chief, Information and Records
Management Branch, IRM
(037)**

- Directs the NRC-wide correspondence management program and periodically evaluates implementation of the program by headquarters and regional offices. (a)
- Establishes standards, procedures, and requirements for NRC correspondence style, format, preparation, coordination, and handling. (b)
- Receives and reviews incoming mail addressed to the NRC Document Control Desk and forwards it to the Distribution and Mail Services Section (DMSS), Printing and Mail Services Branch (PMSB), Division of Freedom of Information and Publications Services (DFIPS), ADM, for appropriate distribution within NRC. (c)

**The Chief, Administrative and Correspondence
Branch, Office of the Executive Director
for Operations (EDO)
(038)**

- Determines and stipulates, in coordination with SECY, requirements and procedures necessary to process principal correspondence. (a)

**The Chief, Administrative and Correspondence
Branch, Office of the Executive Director
for Operations (EDO)
(038) (continued)**

- Reviews and processes all communications addressed or referred to the Office of the EDO. (b)
- Determines those categories of incoming communications that warrant identification and control as principal correspondence; functions as the central point of control for action assignments within the EDO and for all offices and divisions that report to the EDO. (c)
- Coordinates principal correspondence referrals to and from SECY and acts as direct liaison with SECY on related inquiries and status reporting. (d)

**Definitions
(3.57-04)**

Correspondence. A generic term for any written communication.

Correspondence Management. A system designed to establish and implement policies, standards, and guidelines to improve the production of written communications.

Docket Case File. A compilation of official record copies of correspondence and other documents on a given licensing transaction that is usually filed under a governing case control number.

Form Letters. Preprinted letters, memoranda, and postal cards designed for repetitive use in correspondence.

Generic Correspondence. Letters or memoranda to a specific group of recipients. For example, correspondence addressed to “All NRC Employees,” “All Boiling Water Reactor Licensees,” or “All Medical Licensees.”

Official Record Copy. The original NRC-generated correspondence that contains the concurrences of the involved NRC program officials.

Definitions

(3.57-04) (continued)

Principal Correspondence. Executive correspondence that on the basis of its source, subject matter, sensitivity, or possible impact on NRC programs requires priority control, response, and management awareness. Types of communications included in this category are listed in Handbook 3.57, Part II.

Suspense Date. The latest possible date that the reply or other appropriate action is due at the correspondence control office that originates the request.

Applicability

(3.57-05)

Employees

(051)

This directive and handbook apply to and must be followed by all NRC headquarters and regional office employees except the NRC boards and advisory committees that report directly to the Commission.

Handbook

(3.57-06)

Standards and guidance for preparing NRC correspondence are contained in Handbook 3.57.

References

(3.57-07)

1. Federal Information Resources Management Regulation (FIRMR) 201-4.001, 201-6.002-J, 201-9.103-H and I1, Bulletin B-4, and Bulletin C-11.
2. NRC Management Directive 3.23, "Mail Management" (formerly MC 0255).
3. NRC Management Directive 2.3, "Telecommunications" (formerly MC 0270).
4. NRC Management Directive 12.2, "NRC Classified Information Security Program" (formerly Parts III and XV of MC 2101).

References

(3.57-07) (continued)

5. NRC Management Directive 12.6, "NRC Sensitive Unclassified Information Security Program" (formerly Part IV of MC 2101).
6. NRC Management Directive 3.13, "Printing, Copying, and Typesetting" (formerly MC 0260).
7. NRC Management Directive 3.50, "Document Management" (formerly MC 0232).
8. GSA Information Resources Management Handbook, "Correspondence Management," 1989, Stock Number 7610-00-187-3858.
9. GSA Information Resources Management Handbook, "Form and Guide Letters," 1973, Stock Number 7610-00-117-8777.
10. GSA Information Resources Management Handbook, "Plain Letters," 1973, Stock Number 7610-00-205-1091.
11. U.S. Government "Correspondence Manual," 1992, Stock Number 7610-00-889-3558.
12. *U.S. Government Printing Office Style Manual*, 1984, Stock Number 7610-00-NRC-0002X.
13. NUREG-1379, "NRC Editorial Style Guide," October 1989.
14. U.S. Postal Service Publication 28, "Postal Addressing Standards," January 1992.
15. U.S. Postal Service Notice 221, "Addressing for Success," April 1991.
16. NUREG/BR-0072, Revision 2, "EDO Procedures Manual," August 1990.
17. NRC Management Directive 3.53, "NRC Records Management Program" (formerly MC 0231).
18. NUREG-0910, Revision 2, "NRC Comprehensive Records Disposition Schedule," March 1992.
19. NRC Management Directive 3.1, "Freedom of Information Act" (formerly MC 0211).

References

(3.57-07) (continued)

NOTE: Of these references,

- Reference 1 is on file in the NRC Library.
- References 2 through 7, 13, and 16 through 19 are available from the Distribution and Mail Services Section (DMSS), PMSB, DFIPS, ADM, through the U.S. Government Printing Office, telephone (202) 512-2409.
- References 8 through 10 can be ordered from the Property, Procurement, and Grants Branch (PPGB), Division of Contracts (DC), ADM, on NRC Form 30, "Request for Administrative Services."
- References 11 and 12 are available in the NRC supply rooms.
- References 14 and 15 are available from the Information and Records Management Branch (IRMB), IRM.

The dates of the most recent issues of the references are given; however, these documents are subject to change and the most current issue should be consulted.

Correspondence Management

Handbook

*(Formerly
Appendix 0240)* **3.57**

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Part I

General Requirements and Practices

Introduction (A)

This handbook provides guidance on the preparation of written communications for transacting the NRC's business. Both writers and typists should follow this handbook when preparing correspondence.

Standard Formats (B)

Standard formats have been developed for NRC correspondence and will be incorporated into each AUTOS (agency upgrade of technology for office systems) file server. The following are the keys to the formats:

- Alt A = Chairman Backup Questions and Answers
- Alt B = Bevill Questions and Answers
- Alt C = Concurrence
- Alt D = Draft Report
- Alt F = Final Report
- Alt L = Letter
- Alt M = Memorandum
- Alt Q = Congressional Questions and Answers
- Alt S = SECY Paper

If you have any questions about these formats, contact your local area network (LAN) administrator.

Nomenclature (C)

The word "Commission" must be used when referring to the members appointed by the President. The members of the Commission include the Chairman and the Commissioners. (1)

Nomenclature (C) (continued)

The “Nuclear Regulatory Commission” (NRC) must be used when referring to the organization as a whole, including the “Commission” and all other employees. (2)

Types of Written Communications (D)

Several types of written communications are in common use throughout the U.S. Government. Those commonly used in NRC are discussed in the following parts of this handbook:

- Part II, “Principal Correspondence”
- Part III, “Letters”
- Part IV, “Memoranda”
- Part V, “Informal Communications”

Stationery (E)

Letters and Memoranda (1)

The prescribed size for NRC letter and memorandum stationery is 8-1/2 x 11 inches, including authorized letterhead stationery (see Figure I-1) and blank white bond paper. All NRC offices must use the common-use NRC letterhead stationery; however, special letterhead stationery is available to those listed below:

- The Chairman
- The Commissioners
- The Atomic Safety and Licensing Board Panel
- The Advisory Committee on Reactor Safeguards/the Advisory Committee on Nuclear Waste
- The Office of the Inspector General
- The Office of Investigations
- The Office of the Secretary

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 <p align="center">UNITED STATES NUCLEAR REGULATORY COMMISSION WASHINGTON, D.C. 20555-0001</p>	 <p align="center">UNITED STATES NUCLEAR REGULATORY COMMISSION WASHINGTON, D.C. 20555</p> <p align="center">OFFICE OF COMMISSIONER APPELLATE ADJUDICATION</p>
 <p align="center">UNITED STATES NUCLEAR REGULATORY COMMISSION WASHINGTON, D.C. 20555</p> <p align="center">CHAIRMAN</p>	 <p align="center">RESERVED</p>
 <p align="center">UNITED STATES NUCLEAR REGULATORY COMMISSION WASHINGTON, D.C. 20555</p> <p align="center">OFFICE OF THE COMMISSIONER</p>	 <p align="center">UNITED STATES NUCLEAR REGULATORY COMMISSION REGION I 475 ALLENDALE ROAD KING OF PRUSSIA, PENNSYLVANIA 19406-1416</p>
 <p align="center">UNITED STATES NUCLEAR REGULATORY COMMISSION ADVISORY COMMITTEE ON REACTOR SAFEGUARDS ADVISORY COMMITTEE ON NUCLEAR WASTE WASHINGTON, D.C. 20555</p> <p align="center">OFFICE OF ACRS/ACNW</p>	 <p align="center">UNITED STATES NUCLEAR REGULATORY COMMISSION REGION II 101 MARIETTA STREET, N.W. ATLANTA, GEORGIA 30333</p>
 <p align="center">UNITED STATES NUCLEAR REGULATORY COMMISSION ATOMIC SAFETY AND LICENSING BOARD PANEL WASHINGTON, D.C. 20555</p>	 <p align="center">UNITED STATES NUCLEAR REGULATORY COMMISSION REGION III 801 WARRENVILLE ROAD LISLE, ILLINOIS 60532-4351</p>
 <p align="center">UNITED STATES NUCLEAR REGULATORY COMMISSION WASHINGTON, D.C. 20555</p> <p align="center">OFFICE OF THE INSPECTOR GENERAL</p>	 <p align="center">UNITED STATES NUCLEAR REGULATORY COMMISSION REGION IV 811 RYAN PLAZA DRIVE, SUITE 400 ARLINGTON, TEXAS 76011-8064</p>
 <p align="center">UNITED STATES NUCLEAR REGULATORY COMMISSION WASHINGTON, D.C. 20555</p> <p align="center">OFFICE OF THE SECRETARY</p>	 <p align="center">UNITED STATES NUCLEAR REGULATORY COMMISSION REGION IV Walnut Creek Field Office 1450 Maria Lane Walnut Creek, California 94596-5368</p>

Figure I-1 NRC Letterheads

Stationery (E) (continued)

Letters and Memoranda (1) (continued)

- The Office of Commission Appellate Adjudication
- Regional offices

Informal (2)

Informal stationery authorized for NRC use is discussed in Part V of this handbook.

Envelopes and Labels (3)

Authorized envelopes and labels are described in Management Directive (MD) 3.23, "Mail Management."

Replies to Incoming Communications (F)

Principal Correspondence (1)

Time limits are established on the control forms accompanying correspondence defined as "principal correspondence." This correspondence must receive prompt attention. (a)

See Part II, "Principal Correspondence," of this handbook for style and format. (b)

Routine Correspondence, Interim Replies, and Acknowledgments (2)

Answer all other communications within 15 working days. When requested information is not readily available or a direct reply cannot be made within 15 working days, send an interim reply or acknowledgment. When the originator deems it appropriate, an acknowledgment postcard may be used when responding to externally generated correspondence.

Classified or Official Use Only Communications (G)

Classified and Official Use Only letters and memoranda are prepared in the same format as ordinary unclassified correspondence except for

Classified or Official Use Only Communications (G) (continued)

the additional or alternate requirements specified in MD 12.2, “NRC Classified Information Security Program,” which prescribe the various markings, receipts, envelopes, and mailing practices for classified documents.

Responsibilities of the Originator (H)

The originator is responsible for—

- Determining the appropriate type of correspondence to be used and its content. (1)
- Providing complete, clear, and concise information by—(2)
 - Following “Staff Correspondence Writing Guidelines” (Exhibit 1). (a)
 - Using terms or words that the reader can understand readily. The reader may be unfamiliar with abbreviated or highly technical NRC terms. (b)
 - Using full names or titles of organizations, technical processes, issuances, or reference citations when first mentioned in correspondence. If abbreviations or short titles are to be used thereafter, they should follow the first mention of the full use of the term in parentheses, for example—(c)

Unresolved Safety Issue (USI)
 - Using the abbreviation alone will suffice if the name or title is known to be familiar to the addressee. (d)
 - Arranging content in a logical sequence. (e)
- Ensuring that correspondence is properly coordinated and documented on the official record copy. (3)
- Ensuring that correspondence involving classified and Official Use Only material is prepared, marked, cleared, and protected as prescribed in MD 12.2. (4)
- Verifying that all aspects of the communications are correct. (5)

Responsibilities of Secretaries and Typists (I)

Secretaries and typists are responsible for assisting correspondence originators by using this handbook as a guide for style, format, appearance, proper stationery, proper terminology, forms of address, copy requirements, distribution, and any other typing or preparation requirements.

Paragraphing (J)

Paragraphs are not formally numbered in NRC correspondence. Follow the formats prescribed in Parts III and IV of this handbook for correspondence so complex that it is necessary to subdivide paragraphs to arrange the material efficiently and to make it easier to read.

Proofreading (K)

Carefully proofread all work, giving particular attention to spelling, punctuation, grammar, and word hyphenation. For questions on English usage, such as those involving commonly used abbreviations, spelling, proper use of numerals, punctuation, and word division, consult a current standard dictionary, the *Government Printing Office Style Manual*, “NRC Editorial Style Guide” (NUREG-1379), or a current textbook on English grammar. (1)

Proofreading symbols are illustrated in Exhibit 2 to help originators, reviewers, coordinators, signers, secretaries, and typists identify and mark errors. Clearly mark material that must be retyped. When using proofreading symbols, place them in the margins rather than over the print or between the lines. (2)

Appearance and Corrections (L)

Use the following guidelines for correspondence:

- Letter Gothic (12 characters per inch) type style is required for the preparation of all correspondence, including congressional correspondence. (1)
- Do not use an italic or script type style for NRC business letters. However, use italics for journal and book titles and other appropriate uses. (2)

Appearance and Corrections (L) (continued)

- Do not use full justification. (3)
- With the existing computer technology, erasures are not acceptable on correspondence. If errors are found in a document, retrieve the document, make corrections, and reprint it. (4)

Part II

Principal Correspondence

Definition (A)

Principal correspondence is defined as executive correspondence that on the basis of its source, subject matter, sensitivity, or possible impact on NRC programs requires priority control, response, and management awareness.

Categories (B)

The following types of communications require identification and control as principal correspondence:

- Those originating in or referred from the Offices of the Chairman, the Commissioners, the Secretary, the General Counsel, Congressional Affairs, Public Affairs, International Programs, and the Inspector General, when substantive matters are involved. (1)
- Those addressed to the Chairman, the Commissioners, the Executive Director for Operations (EDO), and other NRC principal staff officials from non-Government sources and that constitute inquiries or solicit interpretations of NRC policy, organization, programmatic responsibilities, and procedures, or that deal with public relations matters. (2)
- Those received from congressional sources. (3)
- Those received from the heads of Government agencies or their principal assistants, except routine communications. (4)
- Those received from State and local government officials that contain questions or comments on NRC policies and procedures. (5)
- Those received from foreign governments and international organizations, except those relating to routine requests for information or documents. (6)

Categories (B) (continued)

- Those received from any source constituting substantive complaints. (7)
- Replies to the above-referenced types of communications. (8)

Responsibilities (C)

The Office of the Secretary (SECY) is responsible for—(1)

- Assigning suspense dates to principal correspondence addressed to the Chairman, the Commission, the Secretary, and, upon request, individual Commissioners (a)
- Advising the Administrative and Correspondence Branch, EDO, of procedural or format changes requested by the Commission or warranted by specific requirements (b)

The Administrative and Correspondence Branch is responsible for—(2)

- Developing appropriate procedures and standards (a)
- Reviewing principal correspondence for compliance with established procedures and standards (b)
- Developing internal EDO suspense dates (c)

EDO Correspondence Officers (the staff member in each office appointed by the office director, usually a program support staff member or the director's secretary) are responsible for ensuring that respective offices and divisions comply with the procedures, requirements, and standards for principal correspondence. (3)

The primary author is responsible for—(4)

- Ensuring the accuracy of all statements of fact and technical opinion contained in the original document, including ensuring that the content of reference material is accurately reflected (a)
- Ensuring that contributions from others are accurate and that the contributor is an appropriate source for the information (b)

Responsibilities (C) (continued)

- Ensuring that the document is clear and consistent with the NRC's administrative guidelines for format, style, and so forth, as specified in this handbook (c)

The signer is responsible for—(5)

- Agreeing with the content of the document (a)
- Verifying that the appropriate concurrences have been obtained (b)
- Reading the document for clarity (c)

Control Levels and Procedures (D)

Primary (1)

Communications identifiable as principal correspondence are processed at two primary control points within the NRC:

- The Correspondence and Records Branch, SECY, which serves the Commission and those offices reporting directly to the Commission, uses a yellow computerized correspondence control ticket, generally referred to as the “yellow ticket” (Figure II-1), for control of principal correspondence addressed to the Chairman, the Commission, or, upon request, individual Commissioners or offices reporting directly to the Commission. (a)
- The Administrative and Correspondence Branch, EDO, which serves the Office of the EDO and those offices reporting to the EDO, uses a green computerized ticket, generally referred to as the “green ticket” (Figure II-2), for control of principal correspondence addressed or referred to the Office of the EDO and those offices that report to the EDO. The Administrative and Correspondence Branch transmits unclassified principal correspondence in a special green and white envelope, NRC Form 231. (b)

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OFFICE OF THE SECRETARY CORRESPONDENCE CONTROL TICKET		
PAPER NUMBER:	CRC-	LOGGING DATE:
ACTION OFFICE:		
AUTHOR:		
AFFILIATION:		
ADDRESSEE:		
LETTER DATE:		FILE CODE:
SUBJECT:		
ACTION:		
DISTRIBUTION:		
SPECIAL HANDLING:		
CONSTITUENT:		
NOTES:		
DATE DUE:		
SIGNATURE:		DATE SIGNED:
AFFILIATION:		

Figure II-1 Office of the Secretary Correspondence Control Ticket (Yellow Ticket)

 UNITED STATES NUCLEAR REGULATORY COMMISSION <small>WASHINGTON, D. C. 20545</small> EDO Principal Correspondence Control		
FROM:	DUE:	EDO CONTROL: DOC DT: FINAL REPLY:
TO:		
FOR SIGNATURE OF:	** GRN **	CRC NO:
DESC:		ROUTING:
DATE:		
ASSIGNED TO:	CONTACT:	
SPECIAL INSTRUCTIONS OR REMARKS:		

Figure II-2 Office of the Executive Director for Operations Administrative and Correspondence Branch Control Ticket (Green Ticket)

Control Levels and Procedures (D) (continued)

Secondary (2)

Each office reporting to the EDO must designate an EDO Correspondence Officer to control and report on principal correspondence referred to him or her. The office director shall report the name, location, and telephone number of the correspondence officer to the Administrative and Correspondence Branch and shall ensure that this information is current.

Followup (3)

When yellow or green ticket mail is received, recognize that it is a high-priority item. It is suggested that each office establish a system to allow for followup on principal correspondence and to ensure that it is answered by the established due date (the date it is due in the primary control office). The followup system should allow adequate time to prepare the reply, type it, and obtain the necessary concurrences. (a)

The date the reply is due and for whose signature the reply is prepared are two of the most important data entries on the yellow or green ticket. The routing column notes the offices that receive a copy of the incoming reply. A special instructions or remarks block contains any special or unusual instructions that must be followed. (b)

Electronic Mail (E-Mail) (E)

E-mail is used as a type of informal communication. However, depending upon the content, it has the potential to be an official Federal record. See Management Directive (MD) 3.53, "NRC Records Management Program," for clarification. (1)

E-mail records may also be captured under the Freedom of Information Act (FOIA). See MD 3.1, "Freedom of Information Act." (2)

E-mail is used to electronically transmit messages from one computer station to another across the NRC agency upgrade of technology for office systems (AUTOS) network or other networks (e.g., INTERNET). An electronic version of the message may be retained in the sender's memory files or a paper copy can be printed and saved by the sender. (3)

Letters (F)

General (1)

Use NRC stationery for replies to principal correspondence. (a)

Prepare letters for the Chairman's signature on Chairman letterhead with the legend "Chairman" under the NRC seal. (See Figure I-1.) The letterhead is available in the supply rooms. See Section (M) of this part for special instructions for preparing letters for the Chairman's signature. (b)

Letters should generally be one to two pages in length. Details requiring lengthy discussion should be added as enclosures and referenced in the letter. (See Exhibit 1 for Staff Correspondence Writing Guidelines issued by the EDO's office.) (c)

Prepare replies to principal correspondence on word processing equipment (such as personal computers using WordPerfect) capable of communicating by data phone whenever possible. Separate identification containing the appropriate document name or disk number should accompany the correspondence. Also place the document name and identification above the concurrence grid. (d)

Copy Requirements for Principal Correspondence (2)

The copy requirements for principal correspondence are as follows:

- Official record copy (Figure II-3) for the official files. When the correspondence refers to more than one docketed case, reproduce a copy from the official record copy for each referenced docket number. (a)
- The green ticket control number file. (b)
- The EDO. (c)
- The EDO reading file (if the correspondence is signed by the EDO). (d)
- SECY (when the correspondence is referred by SECY). Reference SECY's correspondence record control (CRC) number. (e)
- Office of Congressional Affairs (when the correspondence responds to a congressional letter or inquiry or is related to congressional issues). (f)

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October 1, YYYY

Mr. Robert Johnson
XYZ Nuclear Power Plant
123 Highland Road
Detroit, MI 48217-1234

Dear Mr. Johnson:

This figure illustrates the official record copy of a letter. It is a copy of the original letter with distribution information and a concurrence grid placed at the end of the letter.

When there is not enough space at the bottom to include the concurrence grid, the typist may delete spacing on the top edge and the bottom edge of the paper to make it fit on one page.

Enclosure, "cc," "bcc," and distribution information is provided below as an illustration.

Sincerely,

↓ FOUR LINES BETWEEN

John H. Jones, Chief
Information and Records Management Branch
Office of Information Resources Management

Do not type on original if letter is for the Chairman's signature—type on copies only.

Docket No. 50-000

Enclosure: NRC Management Directive 3.57

If letter is for the Chairman's signature, type the enclosure notation on the original two lines below the signature block and, if applicable, on the copies two lines below the docket number.

cc w/ encl: R. E. Black, ABC Nuclear Power Plant

Above the line appears on the original and all copies

bcc w/o encl: G. Luana, XYZ Nuclear Power Plant

Below the line appears on file and internal copies only

Distribution:

Docket File w/encl

R. Powers, IRM/IRMB w/encl

EDO 0000 w/encl

PUBLIC w/encl

SECY CRC-YY-0000 w/encl

File Center w/encl

When responding to a yellow or green ticket, cite the specific identification number beside the office name on the distribution list (for example, EDO 0000 and SECY CRC-YY-0000).

DOCUMENT NAME: G:IRMB\OFRECCPY

Indicate here how the document is saved by originator.

To receive a copy of this document, indicate in the box: "C" = Copy without attachment/enclosure "E" = Copy with attachment/enclosure "N" = No copy

OFFICE	IRM/IRMB	IRM/IRMB	IRM/IRMB			
NAME	JSmith:bhm	HJohnson	JJones			
DATE	MM/DD/YY	MM/DD/YY	MM/DD/YY			

OFFICIAL RECORD COPY

Figure II-3 Official Record Copy

Letters (F) (continued)

Copy Requirements for Principal Correspondence (2) (continued)

- **Offices receiving a copy of the incoming letter.** The routing column on the green ticket indicates the individuals to whom the Administrative and Correspondence Branch has sent copies. Send these individuals a copy of the reply. (g)
- **Other information copies designated by the originator of the letter.** (h)
 - **Information Copies.** Indicate concurrences and the complete distribution of all copies on the concurrence copy and on all internal copies. Reproduce copies from the original for parties outside NRC. These copies must not show concurrences or internal distribution. (i)
 - **Incoming Copies.** The Administrative and Correspondence Branch will initially distribute incoming principal correspondence to all clearly involved offices and staff. Include offices receiving copies of the incoming communication on the distribution list for a copy of the response. (ii)
 - **Copies of Principal Correspondence.** Do not reproduce copies of principal correspondence until it is signed. (iii)

Distribution and Reproduction (3)

Figures II-3 and II-4 provide distribution information. (a)

Copies will be reproduced after signature. (b)

Documents to be made available to the public are reproduced from the official record copy by the Information and Records Management Branch, Office of Information Resources Management. If the document is to be placed in the Public Document Room (PDR) and/or the Local Public Document Room (LPDR), the originating office must designate "PUBLIC" on the official record copy distribution list. (c)

White House mail is not to be placed in the PDR because only White House officials can make White House records public. (d)

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Sincerely,

John H. Jones, Chief
Information and Records Management Branch
Office of Information Resources Management

Above the line appears on the original and all copies.
Below the line appears on file and internal copies only.

Distribution:
See attached list

Type the distribution list for a letter of more than one page on the last page of the official record copy. If there is insufficient room, type the notation "See attached list" on the last page of the official record copy and attach another sheet to show the distribution.

DOCUMENT NAME: G:IRMB\DISTLIST ← Indicate here how the document is saved by originator.

To receive a copy of this document, indicate in the box: "C" = Copy without attachment/enclosure "E" = Copy with attachment/enclosure "N" = No copy

OFFICE	IRM/IRMB	IRM/IRMB	IRM/IRMB	
NAME	JSmith:bhm	HJohnson	JJones	
DATE	MM/DD/YY	MM/DD/YY	MM/DD/YY	

OFFICIAL RECORD COPY

Distribution: Letter to First M. Last, Dated: (insert date)

EDO 5201
 EDO Reading File
 G. Davis, EDO
 SECY CRC-YY-0000 (if referred by SECY)
 OCA (if congressional letter)
 B. Smith, OCA
 Docket No. 00-000
 PUBLIC
 OGC

Figure II-4 Distribution List

Letters (F) (continued)

Enclosures (4)

Additional material included with a letter is called an enclosure. (In a memorandum, additional material is referred to as an attachment.) Figure II-5 provides information on enclosures. (a)

Label the enclosures in the lower right corner as Enclosure 1, Enclosure 2, and so forth, or as Enclosure A, Enclosure B, and so forth. (b)

The Administrative and Correspondence Branch will attach the enclosures after the letter is signed. (c)

Assembly (5)

Follow the procedures for assembly given in Part III of this handbook. Figure II-6 illustrates assembly of letters and memoranda.

- Do not staple the original of any multipage letter that is forwarded to the Administrative and Correspondence Branch or to the Office of the Secretary for final action. (a)
- Envelopes of the correct size for the correspondence package must be attached to the package when it is forwarded to the Administrative and Correspondence Branch or to the Office of the Secretary. (b)

Dispatch (6)

Principal correspondence is dispatched by the Administrative and Correspondence Branch, the Office of the Secretary, or the Office of Congressional Affairs, regardless of who signs it. Send the complete package, including the original green or yellow ticket, with legible enclosures and a properly addressed envelope to the Administrative and Correspondence Branch. (a)

Do not date the correspondence. (b)



UNITED STATES
NUCLEAR REGULATORY COMMISSION
WASHINGTON, D.C. 20555-0001

October 1, YYYY

Mr. Robert Johnson
XYZ Nuclear Power Plant
123 Highland Road
Detroit, MI 48217-1234

Dear Mr. Johnson:

This figure illustrates a business letter that includes an enclosure notation.

Single-space letters of two or more paragraphs and double-space between paragraphs. Double-space a short letter (10 lines or fewer) and indent the first line six spaces (the first WordPerfect default tab stop).

Type the complimentary close two lines below the last line of the letter, beginning at the WordPerfect default tab 5-10 spaces left of page center. Type the signer's name and title five lines below and flush with the complimentary close. Enclosure, "cc," and "bcc" information is provided below as an illustration.

Type the enclosure notation two lines below the signature block flush with the left margin. Do not use the phrase "As stated" unless the body of the letter SPECIFICALLY itemizes the enclosures.

Sincerely,

FOUR LINES BETWEEN

John H. Jones, Chief
Information and Records Management Branch
Office of Information Resources Management

Enclosure: NRC Management Directive 3.57,
"Correspondence Management"

cc w/ encl: R. E. Black, ABC Nuclear Power Plant

Above the line appears on the original and "cc" copies

bcc w/o encl: C. Mayer, PQR Nuclear Power Plant
K. L. Hutson, EFG Nuclear Power Plant

Below the line appears on "bcc" copies

Figure II-5 Enclosure Notation

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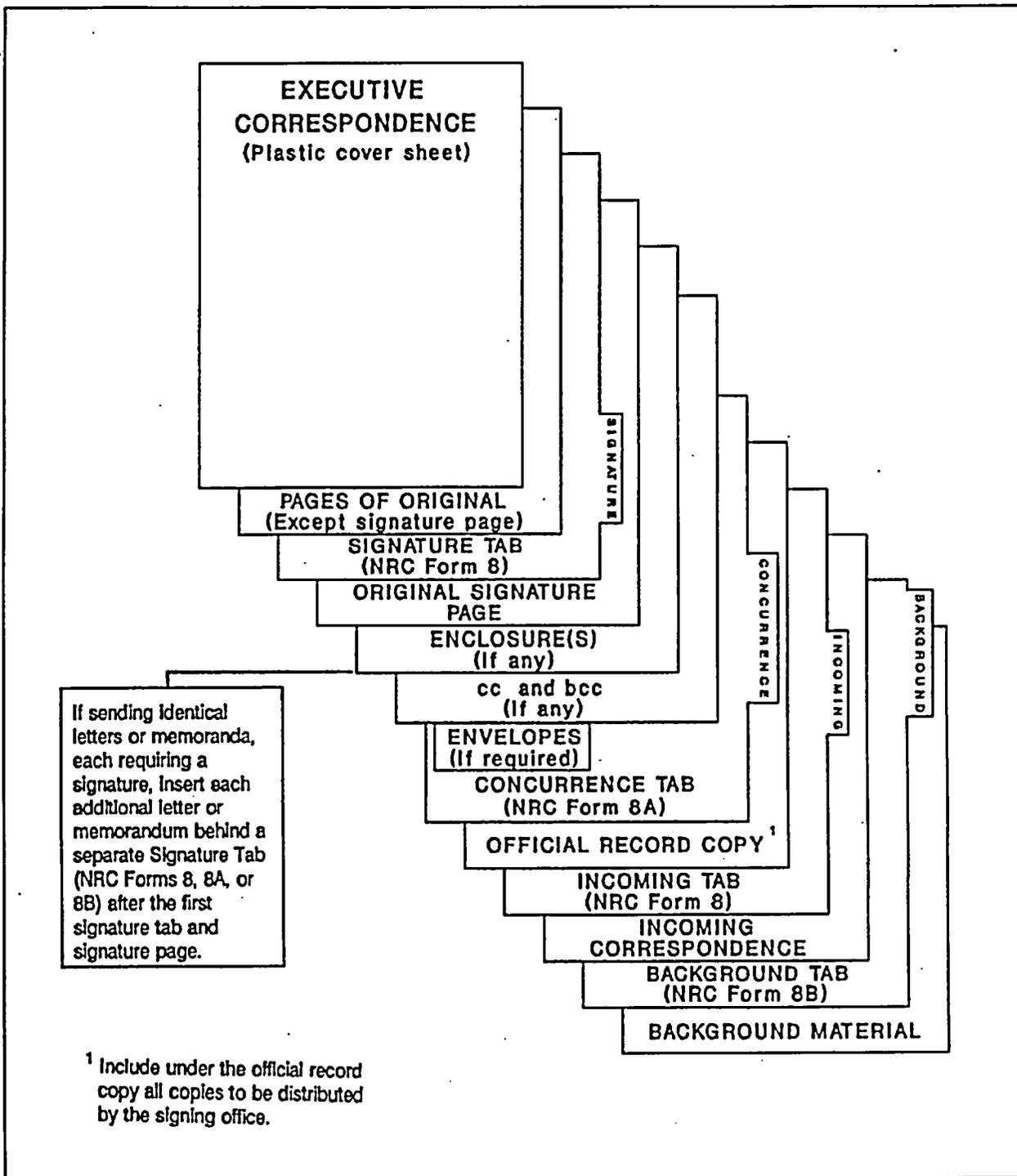


Figure II-6 Assembly of Letters and Memoranda

Assignment of Replies for Signature and Information Routing (G)

General (1)

Unless otherwise indicated, the staff at the primary control point determine who is to sign the reply to principal correspondence and enter this information on the control form. The control form also indicates the routing of the reply for information.

Replies for Signature of the Chairman (2)

Unless otherwise indicated, prepare responses to incoming communications for the signature of the Chairman when they—

- Are addressed to the Chairman or the Commission from members of Congress (a)
- Are from cabinet officers, the heads of Government agencies, or commissions (b)
- Are from high-ranking officials of foreign government agencies or commissions (c)
- Are from major officials of State governments or domestic organizations (d)
- Solicit NRC's position on substantive matters or request the establishment of policy, legislative, or budgetary positions (e)

Replies for Signature of the Commissioners (3)

If correspondence is addressed to a Commissioner by name, prepare the response for the individual Commissioner's signature, or a designee's signature, as directed by SECY.

Replies for Signature of the Executive Director for Operations (4)

Congressional mail assigned to the EDO or members of the EDO's staff will normally be signed by the EDO, except when the response is to be signed by the Chairman or when the response establishes policy, legislative position, or budget requirements (see Section (G)(2)(e) of this part). When responding to congressional inquiries, do not use a staff person's name and telephone number as a contact.

Guidelines for Acknowledgments and Interim Replies (H)

Acknowledgments (1)

The Office of Congressional Affairs will acknowledge the receipt of all congressional mail within 3 days. Acknowledgment of all other mail, if required, must be directed by the primary control point.

Interim Replies (2)

If a substantive reply to principal correspondence cannot be made within the assigned time and an extension cannot be granted or is impractical to obtain, prepare a brief interim reply. The interim reply should explain the reason for the delay and give the expected date of the final reply. An office or division director may sign the interim reply, subject to coordination with the Administrative and Correspondence Branch, EDO, or the Correspondence and Records Branch, SECY.

Suspense Dates and Status Reporting (I)

Suspense Dates (1)

The suspense dates designated on control forms are the dates that final replies to incoming communications are due at the appropriate primary control point. (a)

A communication requiring a reply for the signature of the Chairman or a Commissioner is normally assigned a 10-workday deadline. Six additional workdays are required for the Commission's review of the proposed reply. (b)

A communication requiring a signature other than that of a Commissioner is normally assigned a 10-workday response time. (c)

If a full response cannot be made by the suspense date, contact the appropriate primary control point immediately and make the necessary adjustments to the deadline. Revise the control form to reflect a change in the suspense date. It may also be necessary to establish acknowledgment and interim reply schedules. (d)

Suspense Dates and Status Reporting (I) (continued)

Status Reporting (2)

Primary control points are responsible for monitoring suspense files to ensure that deadlines are met. Any office that is late will be called. Control points within offices should review daily all actions scheduled for completion on the following day to ensure that deadlines are met. If a targeted deadline cannot be met, immediately notify the appropriate primary control point so that the suspense date can be changed. The new suspense date must be recorded on all control forms.

Concurrence and Review (J)

General (1)

All replies to correspondence should reflect the concurrence or review of those NRC organizations exercising functional responsibility for the subject matter involved. Documents should be complete and accurate, yet the developmental process must be efficient and timely. To accomplish these objectives, follow these guiding principles when developing or concurring in staff-originated documents.

Originating Office and Primary Author (2)

It is the responsibility of the primary author (the individual who prepares the document, including the consolidation of contributions from others into an integrated product), in consultation with the originating office's management, to determine the offices or staff members who need to concur in the document. (a)

- Staff and offices exercising functional responsibility for the subject matter should be on concurrence. (i)
- The Office of the General Counsel (OGC) should be on concurrence for correspondence that involves legal issues or regulatory interpretation. (ii)
- The Office of Congressional Affairs (OCA) should be on concurrence for correspondence to Congress. (iii)

The primary author is responsible for the accuracy of all statements of fact and all statement of technical opinion contained in the original document. The primary author must—(b)

Concurrence and Review (J) (continued)

Originating Office and Primary Author (2) (continued)

- Ensure that the document correctly reflects the content of referenced material (i)
- Ensure that contributions from others are accurate or that the contributor is a proper source for accurate information (ii)
- Ensure clarity (iii)
- Ensure that the document is consistent with the agency's administrative guidelines regarding format (iv)

Concurrence (3)

The purpose of obtaining concurrence is to ensure that appropriate managers with collateral responsibility are aware of and agree to what is written. Although it is important that our documents be of the highest possible quality, those concurring should focus on the accuracy and clarity of the information rather than on nonsubstantive editorial changes. The following principles apply to the concurrence process:

- The concurrence chain need not be lengthy and should be limited to those individuals who need to agree on the proposed action from a policy, technical, or legal standpoint, or those who review the document for accuracy and completeness. (a)
- An individual's concurrence does not mean that he or she agrees with the structure or every detail of the document. Concurrence indicates agreement with the overall approach, objective, and technical content in the individual's area of functional responsibility, along with the belief that the document does not or will not adversely affect or conflict with other NRC programs and policies. The concurring individual should devote special attention to the identification of any inaccuracies in the document based on his or her area of expertise. (b)
- The originating office director or regional administrator is to concur in all documents prepared for the signature or concurrence of the EDO. (c)

Concurrence and Review (J) (continued)

Concurrence (3) (continued)

- Concurrence should not delay the timely completion of a document if appropriate staff are involved early in the effort. If significant issues are involved, senior office management should provide guidance early in the process and inform the Office of the EDO (OEDO) of the planned approach. Office staff are responsible for keeping their management informed on the status of lower level coordination. If an EDO due date may be missed because of the originating office's failure to achieve concurrence, the issue should be promptly explained to the OEDO. (d)
- If changes are made to a document that affect specific facts or substance, return the document to the primary author for verification and/or documentation of the change. (e)
- Record concurrence as described in Section (S) of Part III and Section (R) of Part IV of this handbook. (f)

Signer (4)

The signer of the document should agree with its contents, verify that appropriate concurrences have been obtained, and read the document for clarity.

Memoranda to the Commission (K)

General (1)

All memoranda to the Commission from offices reporting to the EDO are prepared for the signature of the EDO. Figure II-7 illustrates the format of a memorandum to the Commission.

Contact (2)

Every principal correspondence memorandum carries a "CONTACT" notation to identify the person, other than the signer, knowledgeable about the information contained in the memorandum.

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UNITED STATES
NUCLEAR REGULATORY COMMISSION
WASHINGTON, D.C. 20555-0001

October 1, YYYY

Prepare the first page of a memorandum to the Commission on NRC letterhead stationery and the second and succeeding pages on plain bond.

MEMORANDUM TO: The Chairman
Commissioner (Surname)
Commissioner (Surname)
Commissioner (Surname)
Commissioner (Surname)

FROM: Sidney W. Martin, Executive Director for Operations

SUBJECT: FORMAT FOR A MEMORANDUM TO THE COMMISSION

Start the body of a memorandum to the Commission at the left margin three lines after the "SUBJECT" line.

List the attachment notation at the left margin two lines below the body of the memorandum. Number attachments as demonstrated below. Do not use the phrase "As stated" unless the body of the memorandum specifically itemizes the attachments.

List the courtesy copy notation two lines below the attachment notation. When the notations are short, place them in columns to conserve space. The distribution copies may also be listed in columns to conserve space if they are not lengthy.

Type the name, office, and telephone number of the contact on the first page regardless of the length of the memorandum. When the memorandum is one page, place the "CONTACT" notation three lines below the last line of the text, the attachment notation, or the "cc" notation, whichever applies. When the memorandum is multipage, place the "CONTACT" notation at least three lines below the text, ending at the bottom margin (1 inch).

Attachments: 1. Schedule of Events
2. Data Analysis

cc: SECY OGC OCA OPA

CONTACT: First M. Last, Office
Telephone number (include area code)

Figure II-7 Commission Memorandum Format With Contact Notation

Memoranda to the Commission (K) (continued)

Copies (3)

The copy requirements for memoranda to the Commission are as follows:

- The original for the Chairman (a)
- Copies reproduced from the original for each Commissioner, the Secretary of the Commission (SECY), the General Counsel (OGC), the Office of Congressional Affairs (OCA), and the Office of Public Affairs (OPA) (b)
- The official record copy for the originator's office, or Central Files, where the official record is maintained (c)
- Copies reproduced from the official record copy for—(d)
 - The EDO (i)
 - The EDO reading file (ii)
 - The EDO green ticket control number file if the memorandum is in response to a green ticket (iii)
- Copies for the individuals concurring in the correspondence as requested in the concurrence grid (e)
- Other copies designated by the originator of the memorandum (f)

Dating (4)

The Administrative and Correspondence Branch dates the memorandum after the EDO signs it.

Dispatch (5)

The Administrative and Correspondence Branch will copy and dispatch the correspondence after the EDO signs it.

Commission Papers (SECY Papers) (L)

General (1)

Commission Papers, also referred to as SECY papers, include responses to issues raised by the Chairman and the Commissioners, papers initiated as a result of petitions for rulemaking, and papers initiated by the staff when it identifies an issue or technical development that should be brought to the Commission's attention for information purposes or for action. Rulemakings involving significant questions of policy are accomplished through SECY papers. Refer to the "EDO Procedures Manual" (NUREG/BR-0072, Revision 2) for more specific details. (a)

SECY papers constitute the principal instrument by which the Commission receives information needed for making decisions. Certain decisional SECY papers are acted upon by formal Commission vote at a Commission meeting. Other papers are acted upon by notation votes from individual Commissioners and do not require a Commission meeting to decide the issue. (b)

Format (2)

Figure II-8 illustrates the format for SECY papers. (a)

All SECY papers prepared by offices reporting to the EDO are signed by the EDO. SECY papers prepared by offices reporting to the Commission are signed by the respective office director. (b)

Prepare an electronic version of the SECY paper, along with all internally generated attachments and, to the extent possible, all externally generated documents (i.e., contractor reports), in WordPerfect 5.1 format for submission to the Office of the Secretary on a 3.5-inch disk, or submit the SECY paper electronically over the AUTOS (agency upgrade of technology for office systems) network via electronic mail (E-mail). (c)

Types of SECY Papers (3)

Consult the "EDO Procedures Manual" for types of SECY papers and their purpose, content, and format.

Begin typing 18 lines (or 3 inches) from the top of the first page and 1 inch from the left edge of the paper.

Stop typing text 16 lines (or 2½ inches) from the bottom of the first page

FOR: The Commissioners

FROM: [First M. Last]
Executive Director for Operations

SUBJECT: PROVIDE FULL SUBJECT OR TITLE

PURPOSE:
State the reason for presenting the paper to the Commission (to inform, request a decision, etc.).

CATEGORY:¹
This paper covers a major/minor policy question or routine matter requiring Commission consideration.

ISSUE:²
Provide a concise statement of the substantive issue. A sentence should suffice.

Contact: ↙ Type the name, office, and telephone number of the contact on the first page regardless of the length of the paper.

Name, Office ← Place this entry below the 2½-inch text and line

Telephone Number

¹This block is not necessary in an Information, Negative Consent, Notation Vote, or Affirmation Paper. However, it is required for the latter two when recommendations imply new NRC resource requirements (or reprogramming of existing resources).

²This block is not necessary in an Information, Negative Consent, Notation Vote, or Affirmation Paper, although it may be used on items of importance.

Figure II-8 Format for SECY Papers

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Center page number and place it 1 inch (six lines) from the top edge.

-2-

DECISION CRITERIA:³ ←

Continue text two lines below page number

List the criteria that must be applied to each alternative in order to select the best decision.

ALTERNATIVES:⁴

List the alternatives one after the other so that they are visible at a glance. (No pros and cons or discussion.)

SUMMARY:

If the text of the paper is more than five typed pages, single-spaced, include a concise summary that sets forth the major issues (e.g., technical, policy, legal), the recommendation of the office sending the paper, and reference to any dissenting views and personnel and financial resource requirements.

BACKGROUND:

In SECY papers, include a background paragraph with information to remind the reader of relevant past actions and explain why the paper is being presented. Reference staff paper numbers, meeting dates, memoranda, and so forth, and Commission actions on them if the paper has had a prior history with the Commission.

DISCUSSION:

In the discussion section, include a concise discussion/explanation that stands by itself, that is, does not simply refer to an attachment. Include details in an attachment. Address any resource adjustments to the NRC Five-Year Plan and value/impact summary comments. If there is no resource impact, state "This action involves no resource adjustments to the NRC Five-Year Plan."

In major policy papers, follow requested decisions by alternatives, listing for each the resource estimates and pros and cons that result from applying criteria to the problem (if extensive, include this information in an attachment). After listing alternatives, provide summary remarks on why a particular alternative is chosen and add any other relevant information.

If the paper (or more usually the attachment) recommends revised text in a matter the Commission has been asked previously to approve, clearly identify the additions and deletions to that text (i.e., line-in, line-out).

³This block is not necessary in an Information, Negative Consent, Notation Vote, or Affirmation Paper, although it may be used on items of importance.

⁴This block is not necessary in an Information, Negative Consent, Notation Vote, or Affirmation Paper, although it may be used on items of importance.

Figure II-8 (continued)

Use 1-inch margins

-3-

Note OGC coordination (e.g., OGC concurs/has no legal objection to this paper).

RECOMMENDATIONS:⁵

State exactly what you recommend, that is, do not make the reader refer to the text. Include notes--to fill out what the Commission should know is also going to take place as a result of recommendations. For example, "Note: congressional committees and licensees will be notified."

SCHEDULING:

Note deadlines to be met, if any. Indicate whether a closed or open session is recommended if the paper is to be scheduled at a Commission meeting. (If none of the above is appropriate, omit the entire line.)

Use a signature block on a SECY paper. Type the signature block five lines below the text.

[First M. Last]
Executive Director
for Operations

Attachments: 1.
2.

Type the attachment notation flush left two lines below the signature block.

⁵This block is not necessary in an Information Paper.

Figure II-8 (continued)

Commission Papers (SECY Papers) (L) (continued)

OGC Coordination (4)

Obtain OGC coordination on all rulemaking and policy papers and other actions with legal or regulatory implications. OGC may use “no legal objection” to indicate that the paper is acceptable with regard to legal issues. Include a statement in the paper that states the nature of the OGC coordination (e.g., “OGC concurs/has no legal objection to this paper”).

Stationery (5)

Prepare all pages of SECY papers on plain bond. SECY papers are reproduced by the Operations Branch, SECY, on the appropriate SECY paper letterhead, as illustrated in Figure II-9.

Copies (6)

Submit the following for all SECY papers: (a)

- An electronic version (i)
- The original on paper for the EDO’s signature (ii)
- The official record copy on paper for the EDO’s concurrence (iii)

Do not send additional paper copies. (b)

Dating (7)

The SECY paper is dated by the Administrative and Correspondence Branch after the EDO signs it.

Distribution Sheet (8)

The distribution sheet for SECY papers, NRC Form 6, is shown in Figure II-10. The originating office prepares this sheet to advise the Office of the Secretary of the number of copies of the paper the office needs to reproduce and to whom the copies should be sent. This form does not have to be typed and may be completed in pen or pencil.

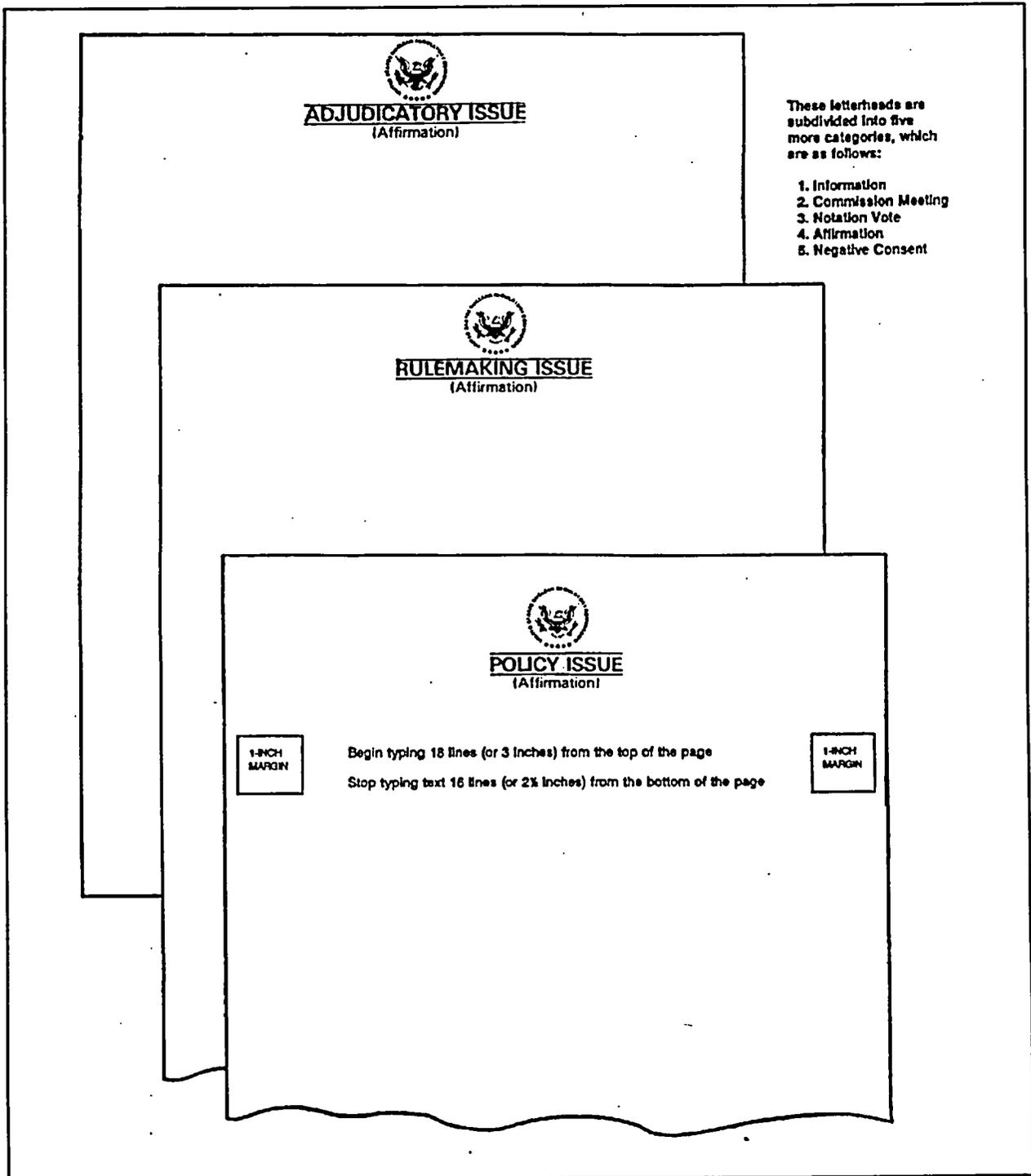


Figure II-9 SECY Paper Letterheads and Spacing

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NRC FORM 6 (4-77) NRCMD 3.57			U.S. NUCLEAR REGULATORY COMMISSION			SECY –		
SECY PAPER DISTRIBUTION						REVIEWED BY		
TYPE OF PAPER				CLASSIFIED				
	POLICY		AFFIRMATION	SURNAME [CHAIRMAN] (1)	SURNAME [COMM] (1)	CLASSIFICATION		
	RULEMAKING		NOTATION	SURNAME [COMM] (1)	OGC (2)			
	ADJUDICATORY		NEGATIVE CONSENT	SURNAME [COMM] (1)	SECY (3)			
	MEETING		INFORMATION	SURNAME [COMM] (1)	FILE CENTER (1)			
DISTRIBUTION								
CHAIRMAN SURNAME (3)				EXECUTIVE DIRECTOR FOR OPERATIONS (3)				
COMMISSIONER SURNAME (3)				DEPUTY EXECUTIVE DIRECTORS (2)				
COMMISSIONER SURNAME (3)				ADMINISTRATION (IF RULEMAKING) (1) (2)				
COMMISSIONER SURNAME (3)				POLICY PLANNING (2)				
COMMISSIONER SURNAME (3)				CONTROLLER (4)				
SECY (FOR MEETING) (12) (30-80)				INFORMATION RESOURCES MANAGEMENT (IF RULEMAKING) (3) (4)				
GENERAL COUNSEL (17)				ANALYSIS AND EVALUATION OF OPERATIONAL DATA (5)				
INSPECTOR GENERAL (2)				NUCLEAR MATERIAL SAFETY AND SAFEGUARDS (5)				
COMMISSION APPELLATE ADJUDICATION (1)				NUCLEAR REACTOR REGULATION (18)				
CONGRESSIONAL AFFAIRS (2)				NUCLEAR REGULATORY RESEARCH (17)				
INTERNATIONAL PROGRAMS (5)				ENFORCEMENT (1)				
PUBLIC AFFAIRS (2)				INVESTIGATIONS (2)				
COMMITTEES AND PANELS				PERSONNEL (1)				
ADVISORY COMMITTEE ON REACTOR SAFEGUARDS (20)				SMALL BUSINESS AND CIVIL RIGHTS (1)				
ADVISORY COMMITTEE ON NUCLEAR WASTE (10)				STATE PROGRAMS (3)				
ATOMIC SAFETY AND LICENSING BOARD PANEL (3)				DOCUMENT CONTROL DESK (1)				
REGIONAL OFFICES: (C&R BRANCH, SECY)				FILE CENTER (1)				
RI - KING OF PRUSSIA (2)			TOTAL NUMBER OF COPIES					
RII - ATLANTA (2)								
RIII - CHICAGO (2)								
RIV - DALLAS (2)								
				RETURN ORIGINAL TO:				

Figure II-10 NRC Form 6, "SECY Paper Distribution"

Commission Papers (SECY Papers) (L) (continued)

Dispatch (9)

The EDO Administrative and Correspondence Branch forwards all SECY papers signed by the EDO to the Operations Branch, SECY, for copying and distribution.

Special Instructions for Preparing Letters for the Chairman's Signature (M)

Style (1)

Begin letters for the Chairman's signature with phrases such as "On behalf of the Commission, I am responding to your letter...." (See Exhibit 1.) (a)

Phrases such as "The Chairman has requested that I respond..." or "I have been asked by the Chairman to respond..." should not appear in responses to incoming letters addressed to the Chairman, except when the Chairman has personally requested the writer to answer the letter for him. (b)

Use of the Initialism "NRC" (2)

Spell out "Nuclear Regulatory Commission" when it is initially used in correspondence but do not include the initialism in parentheses. Use only the initialism "NRC" in succeeding references to the Nuclear Regulatory Commission.

Concurrence of Technical Editor (3)

All correspondence proposed for the Chairman's signature must have the concurrence of a technical editor before it is submitted to the EDO's office. The object is to produce a draft text that is brief, honest, easily understood by the intended recipients (most of whom are not technically trained), and above all, responsive to the concerns expressed in the incoming correspondence.

Stationery (4)

Use NRC stationery with the NRC seal in the upper left corner with the legend "Chairman" under the seal. (See Figure I-1.) Regular NRC stationery may not be used.

Special Instructions for Preparing Letters for the Chairman's Signature (M) (continued)

Signature Block (5)

The Chairman's signature block on a letter contains the Chairman's name without a title.

Length (6)

Letters should generally be one to two pages in length. Details requiring lengthy discussion should be added as enclosures and referenced in the letter.

Copies (7)

The Correspondence and Records Branch, SECY, or the Administrative and Correspondence Branch, EDO, as appropriate, will reproduce, date, and distribute copies of the letter after it is signed by the Chairman.

General Correspondence Requirements (N)

General correspondence refers to the correspondence that does not fit under the principal correspondence category described earlier. General correspondence may include letters to or from other Government agencies, contractors, and the general public. The proper format of general correspondence is similar to that required for principal correspondence. Follow the same concurrence and review procedures as for principal correspondence. See Section (J) of this part.

Signature Guidance and Responsibility (1)

Correspondence to external organizations, such as official State, local, or other related organizations, that deals with NRC policies or controversial issues should be signed at the level of the office director, the regional administrator, or higher, and should be coordinated with the appropriate headquarters managers to ensure that issues are adequately addressed. External correspondence of a more routine

General Correspondence Requirements (N) (continued)

Signature Guidance and Responsibility (1) (continued)

nature may be signed at a lower level (division or branch) as determined by the office director or the regional administrator. It is the responsibility of the signer of the document to confirm that the appropriate type of correspondence is being used (letter versus memorandum), to agree with its contents, to verify that the appropriate concurrences have been obtained, and to read the document for clarity.

Salutation (2)

On letters for the signature of the Chairman, the Commissioners, or the EDO, the salutation should never be on a first-name basis, even when the writer has used a first name.

Complimentary Close (3)

Always use “Sincerely” as the complimentary close unless writing to the President of the United States. In this case, use “Respectfully.”

Signature Block (4)

Type the signature block on the fifth line below and flush with the complimentary close.

Attention and Subject Lines (5)

Attention and subject lines may be used on general correspondence but NOT on principal correspondence.

Docket Numbers (6)

When a letter refers to a docket case, type the docket number on the official record copy two lines below the signature line (two lines above the enclosure notation, if any). Do not include the docket number on original letters prepared for the signature of the Chairman or the Commissioners. Include the docket numbers only on the copies of these letters.

Organization Symbols for NRC Offices (O)

See the NRC Telephone Directory, NUREG/BR-0046, for NRC organizational symbols.

Membership and Addresses of NRC Oversight Committees (P)

Exhibit 3 provides a list of members and addresses of NRC congressional oversight committees. This list is updated by OCA whenever a new session of Congress convenes. Although OCA provides changes to the list of NRC congressional oversight committees, check with OCA before preparing correspondence to the committees to ensure that the information is correct.

Forms of Address for Congressional Members, Government Officials, and Other Officials (Q)

Exhibit 4 provides forms of address for congressional members, Government officials, and other officials.

Part III

Letters

Definition and Format (A)

A letter is any correspondence addressed to other Government agencies or their employees, businesses or other establishments and their employees, and individuals outside the NRC. The format for the NRC letter is illustrated in Figure III-1. See Exhibit 1 for Staff Correspondence Writing Guidelines issued by the EDO's office.

Stationery and Copy Requirements (B)

Original (1)

The original is the final signed document that is dispatched to the addressee. Use NRC letterhead stationery with the official NRC seal printed on bond (see Figure I-1) for the first page of a letter and plain bond for succeeding pages.

Copies (2)

Copies of a letter may include courtesy copies for the addressee, prepared at his or her request; information copies for individuals other than the addressee; true copies (signed); the official record copy; and reading or chronological file copies.

- **Courtesy Copies.** Courtesy copies are copies reproduced from the signed original, as requested by the originator. (a)
- **Blind Courtesy Copies.** Blind courtesy copies are copies reproduced from the signed original, as requested by the originator, with the the bcc notation added before distribution. See Section (R) of this part. (b)

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**UNITED STATES
NUCLEAR REGULATORY COMMISSION**
WASHINGTON, D.C. 20555-0001

Spell out month → **October 1, YYYY** ← Center date two lines below letterhead

Mr. Robert Johnson
XYZ Nuclear Power Plant
123 Highland Road
Detroit, MI 48217-1234
Begin the address at least four lines below the letterhead

Dear Mr. Johnson:
Begin the salutation at the left margin two lines below the last line of the address

This figure illustrates the format for a business letter.

← MINIMUM 1-INCH MARGIN →

Center the date two lines below the letterhead. Type the inside address a minimum of four lines below the letterhead. Set the left and right margins at least 1 inch from the edge of the paper. Left justify the body of the letter.

Single-space letters of two or more paragraphs and double-space between paragraphs. Double-space a short, one-paragraph letter (10 lines or fewer) and indent the first line six spaces (the first WordPerfect default tab stop).

Type the complimentary close two lines below the last line of the letter, beginning at the WordPerfect default tab 5-10 spaces left of page center. Type the signer's name and title five lines below and flush with the complimentary close. Enclosure and "cc" information is provided below as an illustration.

← MINIMUM 1-INCH MARGIN →

Sincerely,

↓ FOUR LINES BETWEEN

Type the signature block at the WordPerfect tab 5-10 spaces left of page center five lines below and flush with the complimentary close

→ **John H. Jones, Chief**
Information and Records Management Branch
Office of Information Resources Management

Docket No.: 50-000
Do not type on original if letter is for the Chairman's signature—type on copies only.

Enclosure: NRC Management Directive 3.57,
"Correspondence Management"
If letter is for the Chairman's signature, type the enclosure notation on the original two lines below the signature block and, if applicable, on the copies two lines below the docket number.

cc w/encl: R. E. Black, ABC Nuclear Power Plant

Figure III-1 Format for an NRC Letter

Stationery and Copy Requirements (B) (continued)

Copies (2) (continued)

- **Information Copies.** Information copies are copies reproduced for individuals other than the addressee. Prepare only the minimum number of information copies required for those who are immediately concerned with the subject matter. Information copies may also be sent to those who received copies of the incoming correspondence if their addresses are known. (c)
 - For recipients outside the agency, reproduce copies from the signed original. (i)
 - For recipients within the agency, show both the distribution and concurrence information on the copies. Reproduce one-page documents from the official record copy. Make copies of multipage documents from the original, except the last page, which must be reproduced from the official record copy. (ii)
 - Public Document Room (PDR) and Local Public Document Room (LPDR) copies are reproduced by the Information and Records Management Branch (IRMB), Office of Information Resources Management (IRM), from the official record copy. If the document is to be placed in the PDR or the LPDR, the originating office must designate "PUBLIC" on the official record copy distribution list. (iii)
- **True Copies.** True copies are reproduced copies of the signed original. (d)
- **Official Record Copy.** The official record is the original NRC-generated document that contains the concurrences of the involved NRC program officials. (e)
 - Prepare an official record copy of each letter for retention in the official file. (See Figure III-2.) A concurrence grid is available on the local area network (LAN) server under the macro "Alt C." (i)

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If the letter is for the Chairman's signature, type the centered page number only as the header

HRJ Inc.

-2-

Use plain white bond for the second and succeeding pages of a letter.

Do not begin a paragraph near the end of a page unless there is room for at least two lines on the page. Do not continue a paragraph on the following page unless at least two lines can be carried over to that page. Do not divide lines between pages.

As the header, type the first initial and last name of the addressee (or the first initial and last name, et al., for multiple addressees, or the abbreviated name of the company when the addressee is not an individual) flush with the left margin 1 inch (six lines) from the top of the page.

Type the complimentary close two lines below the last line of the letter, beginning at the WordPerfect default tab located 5-10 spaces left of page center. Type the signer's name and title on the fifth line below and flush with the complimentary close. Type the organization on the next line, also flush with the complimentary close. Enclosure, "cc," "bcc," and distribution information is provided below as an illustration.

Sincerely,

FOUR LINES BETWEEN

John H. Jones, Chief
Information and Records Management Branch
Office of Information Resources Management

Docket No. 50-000 ← Do not type on original if letter is for the Chairman's signature—type on copies only.

Enclosure: NRC Management Directive 3.57,
"Correspondence Management"

cc w/ encl: R. E. Black, ABC Nuclear Power Plant Above the line appears on the original and all copies

bcc w/o encl: G. Luana, XYZ Nuclear Power Plant Below the line appears on file and internal copies only

Distribution:

Docket File w/encl
PUBLIC w/encl
J. Miles, IRM w/o encl

R. Rogers, IRM/IRMB w/o encl
D. Jackson, IRM/IRMB w/o encl

Begin a double concurrence grid 2-1/2 inches above the bottom of the page

DOCUMENT NAME: G:IRMB\TWOGRIDS ←

Indicate here how the document is saved by originator.

To receive a copy of this document, indicate in the box: "C" = Copy without attachment/enclosure "E" = Copy with attachment/enclosure "N" = No copy

OFFICE	IRM/IRMB	IRM/EUSB	IRM/EUSB	IRM/TIB	IRM/TIB
NAME	LGeorge:bhm	TCarter	GDavis	JSmith	JMathews
DATE	MM/DD/YY	MM/DD/YY	MM/DD/YY	MM/DD/YY	MM/DD/YY
OFFICE	IRM/TIB	IRM/IRMB	IRM/IRMB		
NAME	RGreen	HJohnson	JJones		
DATE	MM/DD/YY	MM/DD/YY	MM/DD/YY		

OFFICIAL RECORD COPY

Figure III-2 Official Record Copy With Two Concurrence Grids

Stationery and Copy Requirements (B) (continued)

Copies (2) (continued)

- When originals of identical letters are sent to several addressees, it is acceptable to prepare one official record copy and list the recipients and their addresses on an attachment. (See Figure III-3.) (ii)
- When the correspondence refers to more than one “docketed case,” reproduce copies for each referenced docket file from the official record copy. These copies **MUST** have the list of recipients and enclosures, if any, attached. Each copy is an official record copy that will be filed in each docket file to which it pertains. (iii)
- Provide the official record copy to the file custodian responsible for maintaining the originator’s official records. (iv)
- When the names and addresses of all the recipients cannot be typed on the official record copy, attach a separate list to the official record copy with the heading: “Addressees—Letter Dated MM/DD/YY, Subject: (if any).” If the addressees are a generic group (such as Plant Safety Managers, Plant Security Managers, etc.), type the generic title on the line below the “Addressees/Title Line.” (See Figure III-4.) (v)
- **Reading or Chronological File Copies.** Prepare reading or chronological file copies as required by the originating office. (f)

Drafts (3)

Figure III-5 illustrates a draft letter.

Date (C)

Date correspondence during preparation only when the date the document will be signed and dispatched is known. In all other cases, date the original and copies of the document at the time of dispatch. **Do not use a date stamp.** Spell out the name of the month in full. (All principal correspondence is dated by the primary control point.) (See Figure III-6.)

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If the letter is for the Chairman's signature, type the centered page number only as the header

R. Johnson

-2-

Type the complimentary close two lines below the last line of the letter, beginning at the WordPerfect default tab located 5-10 spaces left of page center. Type the signer's name and title on the fifth line below and flush with the complimentary close. Type the organization on the next line, also flush with the complimentary close. Enclosure, "cc," "bcc," and distribution information is provided below as an illustration.

Sincerely,

↓ FOUR LINES BETWEEN

John H. Jones, Chief
Information and Records Management Branch
Office of Information Resources Management

Docket No. 50-000 ← Do not type on original if letter is for the Chairman's signature—type on copies only.

Enclosure: NRC Management Directive 3.57,
"Correspondence Management"

cc w/ encl: R. E. Black, ABC Nuclear Power Plant Above the line appears on the original and all copies

bcc w/o encl: G. Larue, IRM/EUSB Below the line appears on file and internal copies only
R. Powers, IRM/IRMB

Identical letters sent to:
A. J. Bennett, (Plant or Co.)
P. L. Adams, (Plant or Co.)
J. T. Smart, (Plant or Co.)
M. P. Cashell, (Plant or Co.)

or

Identical letters sent to:
Office Directors and
Regional Administrators
(See attached list)

Distribution:
Docket File w/encl R. Rogers, IRM/IRMB w/o encl
PUBLIC w/encl H. Jackson, IRM/IRMB w/o encl
J. Miles, IRM w/o encl

DOCUMENT NAME: G:IRMB\IDENTLTR ← Indicate here how the document is saved by originator.

To receive a copy of this document, indicate in the box: "C" = Copy without attachment/enclosure "E" = Copy with attachment/enclosure "N" = No copy

OFFICE	IRM/EUSB	IRM/EUSB	IRM/EUSB	IRM/TIB	IRM/TIB
NAME	LGeorge:bhm	TCarter	GDavis	JSmith	JMathews
DATE	MM/DD/YY	MM/DD/YY	MM/DD/YY	MM/DD/YY	MM/DD/YY
OFFICE	IRM/TIB	IRM/IRMB	IRM/IRMB		
NAME	RGreen	HJohnson	JJones		
DATE	MM/DD/YY	MM/DD/YY	MM/DD/YY		

OFFICIAL RECORD COPY

Figure III-3 Official Record Copy Showing Recipients of Identically Prepared Letters

Addressees – Memorandum Dated MM/DD/YY
Nuclear Plant Safety Managers
SUBJECT: MULTIPLE ADDRESSEE LIST

James A. Brandon, Arkansas 1
Gerald Ward, Arkansas 2
Jason Cotter, Beaver Valley 1
William C. Peters, Beaver Valley 2
Stephen G. Baker, Bellefonte 1
Dana C. Garvey, Bellefonte 2
Lloyd Carney, Big Rock Point
Harold Preston, Braidwood 1
Dennis Martin, Braidwood 2
Joseph Foulds, Browns Ferry 1
Michael J. Fox, Browns Ferry 2
James M. Little, Browns Ferry 3
George H. Carter, Brunswick 1
Harvey L. Thomas, Brunswick 2
James R. Dresden, Byron 1
Gerald F. Farmer, Byron 2
Patrick Adams, Callaway 1
Jordan Hochston, Calvert Cliffs 1
Ronald M. Kanner, Calvert Cliffs 2
Michael L. Smith, Jr., Catawba 1
James Shea, Catawba 2
Hayward Clifton, Clinton
Patricia Hayward, Comanche Peak 1
William G. Walton, Comanche Peak 2
Robert B. Daniels, Cook 1
Thomas E. Mason, Cook 2

Figure III-4 Format for a Multiple Addressee List for a Letter or a Memorandum

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Identify drafts at the top of the page. Include in the identification the draft number, the date, the originator's name, the typist's initials (if any), the organization symbol, and how the document is saved for retrieval.

DRAFT NO. 1, MM/DD/YY
JSMITH:bhm,IRM;[G:\HOW THE DOCUMENT IS SAVED BY ORIGINATOR]

Mr. Robert Johnson
XYZ Nuclear Power Plant
123 Highland Road
Detroit, MI 48217-1234

Dear Mr. Johnson:

This figure illustrates a draft letter. Double-space the body of a draft and quadruple-space between paragraphs so that the spacing will be correct when the final is prepared.

Sincerely,

↓ FOUR LINES BETWEEN

John H. Jones, Chief
Information and Records Management Branch
Office of Information Resources Management

Figure III-5 Draft of an NRC Letter

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October 1, YYYY

Mr. Robert Johnson
XYZ Nuclear Power Plant
123 Highland Road
Detroit, MI 48217-1234

Dear Mr. Johnson:

This figure illustrates an official record copy of a letter.

←→
MINIMUM
1-INCH
MARGIN

Center the date two lines below the letterhead. Type the inside address a minimum of four lines below the letterhead. Set the left and right margins at least 1 inch from the edge of the paper. Left justify the body of the letter.

←→
MINIMUM
1-INCH
MARGIN

Sincerely,

↓
FOUR LINES BETWEEN

John H. Jones, Chief
Information and Records Management Branch
Office of Information Resources Management

Do not type on original if letter is for the Chairman's signature—type on copies only.

Docket No. 50-000

Enclosure: NRC Management Directive 3.57,
"Correspondence Management" ←

If letter is for the Chairman's signature, type the enclosure notation on the original two lines below the signature block and, if applicable, on the copies two lines below the docket number.

cc w/ encl: R. E. Black, ABC Nuclear Power Plant

Above the line appears on the original and all copies

bcc w/o encl: G. Larue, IRM/EUSB
R. Powers, IRM/IRMB

Below the line appears on file and internal copies only

Distribution:
Docket File w/encl
PUBLIC w/encl
J. Miles, IRM w/o encl

R. Rogers, IRM/IRMB w/o encl
H. Jackson, IRM/IRMB w/o encl

DOCUMENT NAME: G:IRMB\ONEGRID ←

Indicate here how the document is saved by originator.

To receive a copy of this document, indicate in the box: "C" = Copy without attachment/enclosure "E" = Copy with attachment/enclosure "N" = No copy

OFFICE	IRM/EUSB	IRM/EUSB	IRM/IRMB	IRM/IRMB			
NAME	LGeorge:bhm	GDavis	HJohnson	JJones			
DATE	MM/DD/YY	MM/DD/YY	MM/DD/YY	MM/DD/YY			

OFFICIAL RECORD COPY

Type "OFFICIAL RECORD COPY" in all capital letters centered on the bottom of the first page. On the last page, type a concurrence grid and the caption "OFFICIAL RECORD COPY" in all capital letters centered below the grid.

On the last page of the official record copy, set the bottom margin to zero (0). WordPerfect will default to the least amount of space allowed.

Figure III-6 Official Record Copy of an NRC Letter

Docket or Project Numbers (D)

Figure III-6 provides guidance on docket numbers.

Margins (E)

Figure III-6 provides guidance on margins.

Address on the Letter (F)

Begin the address at least four lines below the last line in the letterhead. (1)

Type the address single-spaced, block style. Left justify all lines of the address. For example—(2)

**Mr. Claude J. Jones
1500 E. Main Avenue
Glory, VA 22152-1010**

When a line in an address extends beyond the center of the page, go to the next line and indent it two spaces from the left margin. For example—(3)

**Mr. James Reed
American Academy of Architects
and Construction Engineers
1400 Pennsylvania Avenue NW.
Washington, DC 20005-1357**

When using a foreign address, always place the country's name by itself on the last line. Use proper abbreviations. For example—(4)

**Mr. Thomas Clark
117 Russell Drive
London W1P6HQ
England**

Use either a street address or a post office box number; never use both. (5)

When both a box number and a post office station name or number are used, type the box number first. For example—(6)

Address on the Letter (F) (continued)

Mr. John R. Brown
ABC Company
P.O. Box 2, Potomac Station 1
Potomac, MD 20858-5432

When a letter is addressed to rural delivery, do not use the words “rural,” “route,” “number,” “No.,” or the “#” symbol in the address. For example—(7)

Ms. Jane A. Jackson
Rural Route 2, Box 152
Wading River, NY 10972-1234

becomes

Ms. Jane A. Jackson
RR 2, Box 152
Wading River, NY 10972-1234

When an apartment, room, suite, or other unit number is used, type it after the delivery address and on the same line. For example—(8)

Mrs. Sue Brown
7000 Vernon St., Apt. 2
Camp Springs, MD 20022-1443

If the delivery address line is too long, type the apartment, room, suite, or other unit number above the delivery address line, but never to the left or below. For example—(9)

Mrs. Sally James
Apt. 2
1629 Inverness Racing Circle Parkway
Winona, MD 26213-1330

Type the city, State, and ZIP + 4 code as the last line of the address. Use two-letter State and Territory abbreviations designated by the U.S. Postal Service (USPS) as an aid in automated mail sorting. (See Exhibit 5.) For a complete listing of the two-letter State and Territory abbreviations, see USPS Publication 28 and Notice 221 (References 14 and 15 of this directive.) (10)

Address on the Letter (F) (continued)

When using window envelopes, type the address on the letter single-spaced, block style, using uppercase letters, as required by the USPS addressing standards. Omit all punctuation except the hyphen in the ZIP + 4 code. (See References 14 and 15 of this directive.) Type the address on the page so that it can be clearly seen after the document is inserted in the envelope. Type addresses with more than four lines on envelopes. Follow these guidelines when using 3-7/8- by 8-7/8-inch window envelopes. (11)

- Vary the spacing from the top of the page depending upon the number of lines in the address, as follows: (a)

Number of Lines in Address	Number of Lines From Top of Page
4	12
3	13
2	14

- Type the address 1 inch from the left of the page and do not extend the lines horizontally beyond 3-1/4 inches. (b)
- Fold the letter so that the address shows in the window of the envelope. Use an envelope as a guide and make each fold slightly less than the height of the envelope. (c)

Address on the Envelope (G)

As required by the USPS addressing standards, when addressing envelopes, type the address single-spaced, block style, using uppercase letters. Omit all punctuation, except the hyphen in the ZIP + 4 code. (For placement requirements, see Management Directive 3.23, "Mail Management," References 14 and 15 of this directive, and Figure III-7.) For example—

**MR JOHN R BROWN
ABC COMPANY
PO BOX 2
POTOMAC MD 20858-5432**

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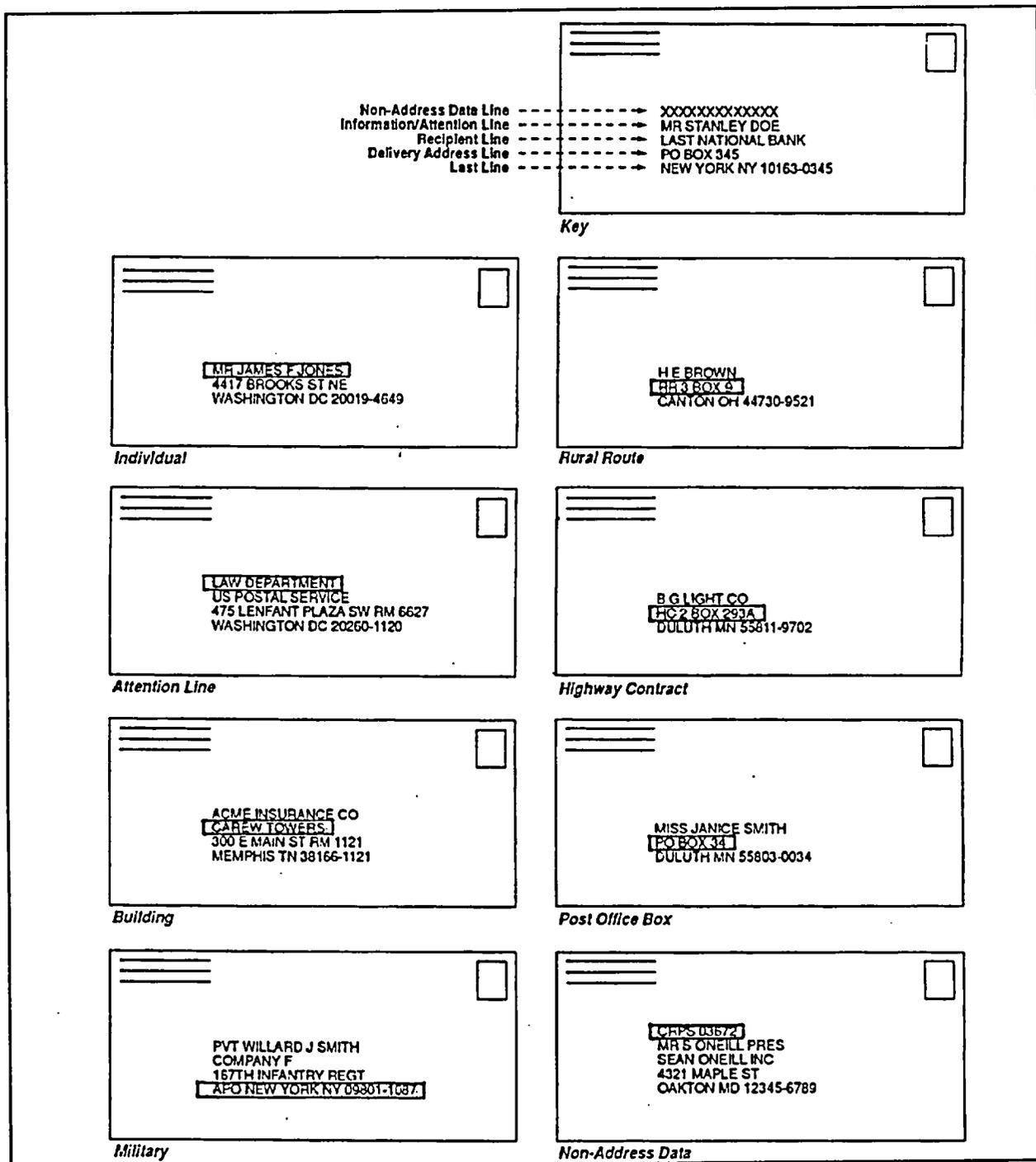


Figure III-7 Address Types for Envelopes

Attention Line (H)

Figure III-8 provides guidance on an attention line.

	<p>UNITED STATES NUCLEAR REGULATORY COMMISSION WASHINGTON, D.C. 20555-0001</p> <p>October 1, YYYY</p> <p>Mr. John Jackson, President ATTN: Mr. Robert Roe XYZ Nuclear Power Plant 123 Highland Road Detroit, MI 48217-1234</p> <p>SUBJECT: NRC BUSINESS LETTER (YOUR LETTER DATED MM/DD/YY) ILLUSTRATING FORMAT AND SPACING, SALUTATION, SIGNATURE, ENCLOSURE NOTATION, AND OTHER NOTATIONS</p> <p>Dear Mr. Roe: ← Begin the salutation at the left margin two lines below the last line of the subject.</p> <p>This figure illustrates a business letter with an attention line and a subject line. DO NOT USE an attention line or a subject line on letters for the signature of the Chairman, the Commissioners, or the Executive Director for Operations or on any principal correspondence.</p> <p>Although a short subject is preferred, occasionally a subject will require more than one line. Second and succeeding lines begin on the next line flush with the first word of the subject. If appropriate, type in parentheses a reference to previous correspondence or other matter.</p> <p>Sincerely,</p> <p>FOUR LINES BETWEEN</p> <p>John H. Jones, Chief Information and Records Management Branch Office of Information Resources Management</p> <p>Docket No.: 50-000 ← Do not type on original if letter is for the Chairman's signature – type on copies only.</p> <p>Enclosure: NRC Management Directive 3.57, "Correspondence Management"</p> <p>cc w/encl: R. E. Black, ABC Nuclear Power Plant</p>
---	---

Figure III-8 Format for an NRC Letter With an Attention Line and a
Subject Line

Subject (I)

Letters for signature of office directors, regional administrators, and individuals below this level may include a subject line. DO NOT INCLUDE A SUBJECT LINE ON LETTERS FOR THE SIGNATURE OF THE CHAIRMAN, THE COMMISSIONERS, OR THE EXECUTIVE DIRECTOR FOR OPERATIONS. Figure III-8 provides guidance on the signature line.

Salutation (J)

Figures III-1 and III-8 provide guidance on the salutation. When the principal addressee is an organization, use “Gentlemen” as the salutation as shown in Figure III-9. If it is obvious that the organization is female-oriented, use “Ladies” as the salutation. For example—(1)

Federally Employed Women (female organization)
4552 N. Capitol Street
Washington, DC 20040-1000

Ladies:

Direct the salutation to the principal addressee unless an “ATTN” line is used that directs the correspondence to a specific person, as shown in Figure III-8. (2)

Do not use a salutation when writing a generic letter. Use a generic address line. For example—(3)

To All Boiling Water (generic letter)
Reactor Licensees

(No Salutation)

Body (K)

Figure III-1 provides guidance on the body of a letter. (1)

If paragraphs are subdivided and numbered, use the sequence and format in WordPerfect. Consider making text material that requires numbering and paragraph subdivision into an enclosure rather than part of the body of the letter. Frequently, such material is technical and useful for reference, unrelated to the addressee and the signer, and would have greater utility as a separate document. (2)

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Body (K) (continued)

When replying to incoming correspondence with a control symbol such as (Code 105.5), reference the symbol in the opening paragraph or the subject line, if the letter includes a subject line. If possible, avoid the use of control symbols in principal correspondence. (3)

Figure III-9 provides guidance for quoted matter in a letter. (4)

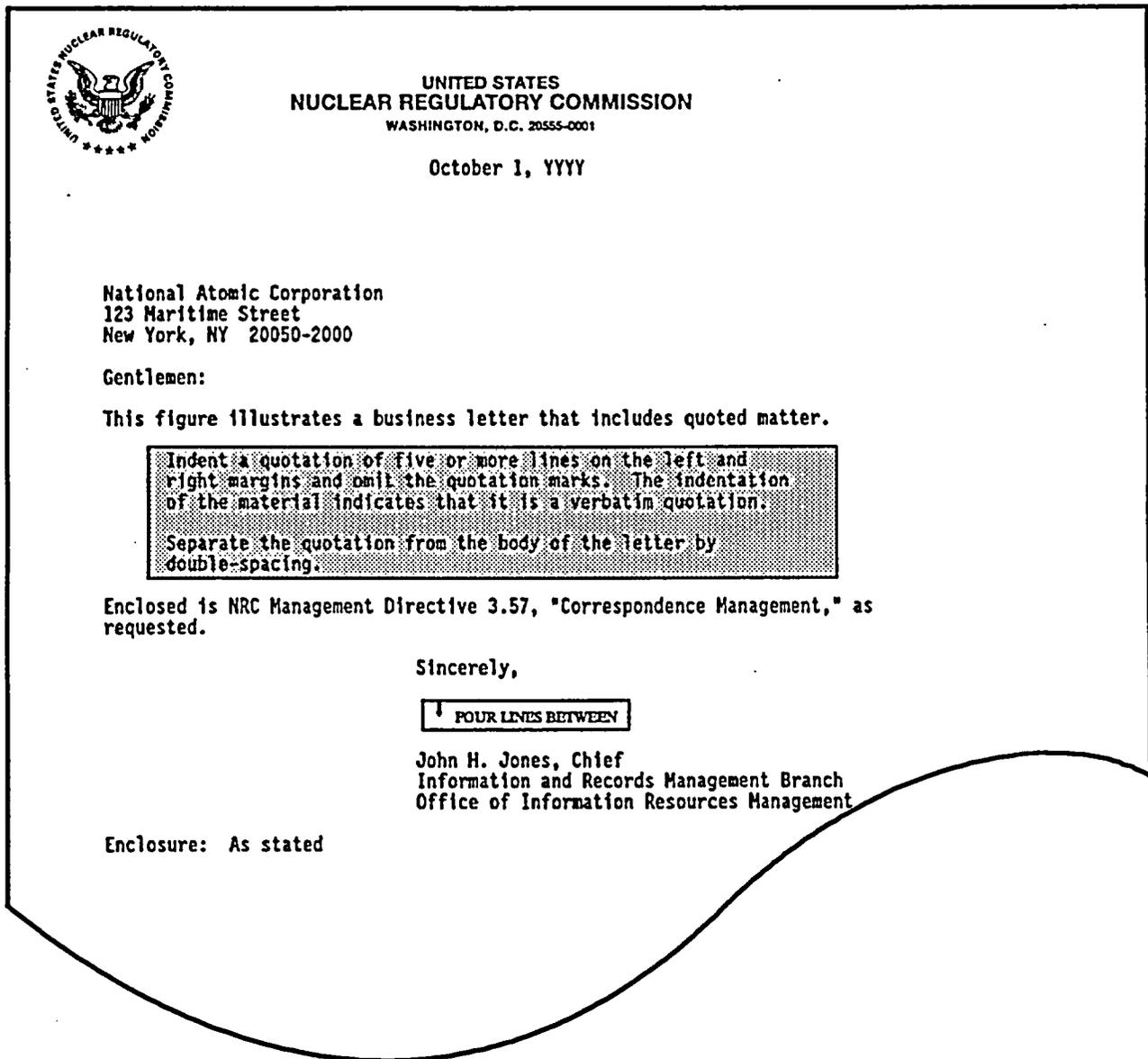


Figure III-9 Format for Quoted Matter in a Letter

Continuation Pages (L)

Figure III-2 provides guidance on continuation pages. (1)

The following headers should be used on continuation pages: (2)

- For a single addressee, type the first initial and last name of the addressee. (a)
- For multiple addressees when all are listed as addressees, type the first initial and last name of the first individual followed by “et al.” (b)
- For a generic addressee, such as Office Directors and Regional Administrators, Power Reactor Licensees, and so forth, type the abbreviation of the generic addressee. For example: ODs & RAs or PRLs. (c)
- For a list of addressees with no generic addressee name, type “TOTAL,” which indicates “Those on the Attached List.” (d)
- For a business, type the abbreviated name of the company. (e)

Complimentary Close (M)

Figure III-1 provides guidance on the complimentary close. Use the complimentary close “Respectfully” on letters to the President of the United States.

Signature (N)

Placement (1)

Figure III-1 provides guidance on the signature block. Type the signer’s name and title on the fifth line below and flush with the complimentary close. Type the signer’s organization on the next line. When the signer’s name and title require more than one line, indent the second and succeeding lines two spaces: (a)

**John H. Jones, Director
Office of Administration**

**M. A. Smith, Assistant Director
for Domestic Procurement
Division of Contracts
Office of Administration**

Signature (N) (continued)

Placement (1) (continued)

Exception. When the signer's title does not include the name of the organization, type the signer's name and title on separate lines, as follows: (b)

**Richard Coe
General Counsel**

In the signature space on the official record copy, type or print the name of the individual who signed the original, or use a stamp that states "Original signed by...." (c)

"Acting" or "For" Signature Lines (2)

When a formal appointment of an "acting" official is made to an otherwise vacant position, type the signature line as follows: (a)

**Jane M. Smith, Acting Director
Information and Records Management Branch
Office of Information Resources Management**

When an official delegates authority to another person to act for him or her, type the name and title of the official who is regularly assigned to the position as follows: (b)

**Jane M. Smith, Director
Division of Engineering
Office of Nuclear Reactor Regulation**

←

(The person who has delegated authority signs in this manner.
NOTE: This replicates an actual signature.)

In the signature space on the official record copy, type or print the name of the individual who signed for the official, as follows: (c)

**Jane M. Smith, Director
Division of Engineering
Office of Nuclear Reactor Regulation**

Signature (N) (continued)

Contractual, Financial, Legal, and Other Similar Actions (3)

Contractual, financial, legal, and other similar actions often take the form of a letter or a memorandum. Authority to sign such a document is granted by specific delegation. Prepare these documents for the signature of the person delegated to sign. True copies will usually be required. (See Section (B)(2)(d) of this part.)

Enclosure Notation (O)

Any additional material included with a letter is called an enclosure. (In a memorandum, additional material is referred to as an attachment.) Figure III-10 provides guidance on enclosures.

Identification (1)

Identify each enclosure by name, title, or number, as shown in Figure III-10. (a)

When a letter serves as a transmittal for enclosures and the enclosures are enumerated or described in the text, type “As stated” in the enclosure notation and include the number of enclosures. For example—(b)

Enclosure: As stated or **Enclosures: As stated (4)**

Label (2)

Label each enclosure and/or its attachment in the lower right corner approximately 1/2 inch above the bottom edge. Label each enclosure as “Enclosure 1,” “Enclosure 2,” and so forth. Label each attachment to an enclosure as “Enclosure 1, Attachment A,” “Enclosure 1, Attachment B,” “Enclosure 2, Attachment A,” and so forth.

Separate Cover Notation (P)

Figure III-11 provides guidance for a separate cover notation.

Special Mailing Notations (Q)

Figure III-12 provides guidance on special mailing notations. See Management Directive (MD) 3.23, “Mail Management,” for processing instructions for special mailings.

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UNITED STATES
NUCLEAR REGULATORY COMMISSION
WASHINGTON, D.C. 20555-0001

October 1, YYYY

Mr. Robert Johnson
XYZ Nuclear Power Plant
123 Highland Road
Detroit, MI 48217-1234

Dear Mr. Johnson:

This figure illustrates a business letter that includes an enclosure notation. Type the enclosure notation flush with the left margin two lines below the signature block, or two lines below the docket number if there is one.

Single-space letters of two or more paragraphs and double-space between paragraphs. Double-space a short letter (10 lines or fewer) and indent the first line six spaces (the first WordPerfect default tab stop).

Type the complimentary close two lines below the last line of the letter, beginning at the WordPerfect default tab 5-10 spaces left of page center. Type the signature line on the fifth line below the complimentary close. Enclosure and "cc" information is provided below as an illustration.

Sincerely,

FOUR LINES BETWEEN

John H. Jones, Chief
Information and Records Management Branch
Office of Information Resources Management

Docket No.: 50-000

Do not type on original if letter is for the Chairman's signature – type on copies only.

Enclosures: 1. HRC Management Directive 3:57
2. Ltr MM/DD/YY Lt. James Gray,
USArmy, to Chm, NRC, w/enc1
3. Ltr MM/DD/YY Chm, NRC, to
Lt. James Gray, USArmy, w/o enc1

Type an enclosure with its enclosure as one enclosure.

Do not extend lengthy descriptions of an enclosure much beyond the middle of a page. Indent the second and subsequent lines two spaces.

cc w/enc1: R. E. Black, XYZ Nuclear Power Plant

Figure III-10 Format for an Enclosure Notation



UNITED STATES
NUCLEAR REGULATORY COMMISSION
WASHINGTON, D.C. 20555-0001

October 1, YYYY

National Atomic Corporation
123 Maritime Street
New York, NY 20050-2000

Gentlemen:

This figure illustrates a business letter that includes a separate cover notation. When material referred to in the text of the letter is to be sent under separate cover, type the separate cover notation as shown below. List the material whether or not it is identified in the text. Enclose a copy of the letter with the material sent under separate cover.

We are enclosing the information requested in your letter, and we are sending additional information under separate cover that we believe will be beneficial to you.

Sincerely,

↓ FOUR LINES BETWEEN

John H. Jones, Chief
Information and Records Management Branch
Office of Information Resources Management

Enclosure: NRC Handbook 3.57,
"Correspondence Management"

Separate Cover: NRC Handbook 3.53, "NRC Records
Management Program"

↑
Type the separate cover notation flush with the left margin two lines below the last line of the signature block, or two lines below the enclosure notation, if any.

Figure III-11 Format for a Separate Cover Notation

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If the letter is for the Chairman's signature, type the centered page number only as the header

R. Johnson

-2-

Type or stamp special mailing instructions (CERTIFIED MAIL, REGISTERED MAIL, SPECIAL DELIVERY, etc.) in all capital letters flush with the left margin two lines below the distribution list on the official record copy. Type the document name and concurrence grid on the bottom of the page.

Sincerely,

↓ FOUR LINES BETWEEN

John H. Jones, Chief
Information and Records Management Branch
Office of Information Resources Management

Docket No. 50-000 ←

Do not type on original if letter is for the Chairman's signature—type on copies only.

Enclosure: NRC Management Directive 3.57

cc w/ encl: R. E. Black, ABC Nuclear Power Plant Above the line appears on the original and all copies

bcc w/o encl: G. Luana, XYZ Nuclear Power Plant Below the line appears on file and internal copies only

Distribution:

Docket File w/encl

PUBLIC w/encl

J. Miles, IRM w/o encl

R. Rogers, IRM/IRMB w/o encl

D. Jackson, IRM/IRMB w/o encl

REGISTERED MAIL

DOCUMENT NAME: G:IRMB\SPECHAIL ←

Indicate here how the document is saved by originator.

To receive a copy of this document, indicate in the box: "C" = Copy without attachment/enclosure "E" = Copy with attachment/enclosure "N" = No copy

OFFICE	IRM/IRMB	IRM/IRMB	IRM/IRMB			
NAME	JSmith:bhm	HJohnson	JJones			
DATE	MM/DD/YY	MM/DD/YY	MM/DD/YY			

OFFICIAL RECORD COPY

Figure III-12 Format for Special Mailing Notations

“CC,” “BCC,” and Distribution Notations (R)

Figure III-13 provides guidance on “cc,” “bcc,” and distribution notations.

Concurrence and Review (S)

All replies to correspondence should reflect the concurrence or review of those NRC organizations exercising functional responsibility for the subject matter involved. Documents should be complete and accurate, yet the development process must be efficient and timely. To accomplish this objective, follow the guidelines provided in Part II, Section (J), of this handbook.

- Obtain the concurrences needed while the letter is in draft form to preclude having to type the letter in final form several times. It is suggested that offices not currently practicing this technique establish it as a time saver, especially in instances that involve reviews by several offices. The draft can go to various reviewers simultaneously and after all the comments are received, the letter can be typed in final form and the distribution copies made at that time. Figure III-14 provides guidance on “concurred in draft” and telephone notations. (1)
- When a letter is changed at some point along the concurrence chain and the changes are not substantive, use a “see previous concurrence” notation. Figure III-15 provides guidance on previous concurrence. (2)
- When changes are made to a letter that affect specific facts or substance, return the letter to the primary author for verification and/or documentation of the change and new concurrences. (3)

Envelopes and Mailing (T)

Fold letters so that the smallest suitable envelope can be used. The envelope should fit the correspondence being mailed. Postage costs are based on the size of the envelope or package, as well as on the weight. Mail weighing 1 pound and more will be sent fourth-class, unless different mailing instructions are provided by the sender. Guidelines and additional information are presented in MD 3.23, “Mail Management.”

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If the letter is for the Chairman's signature, type the centered page number only as the header

R. Johnson

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Type "cc," "bcc," and distribution notations flush with the left margin and two lines below the enclosure notation, if any, or the signature block. Double-space between each group. Include a brief title or address with each name, as necessary. When enclosures are involved, indicate, as appropriate, after each listed recipient, "w/encls" or "w/o encls."

If distribution, either in whole or in part, is NOT to be shown on the original, all file copies and the internal information copies must carry the notation "bcc" to indicate to the recipient the nature of the copy, or "Distribution," followed by a list of copy recipients.

Mark each copy clearly by check, arrow, or highlighter to indicate recipient.

Sincerely,

↓ FOUR LINES BETWEEN

John H. Jones, Chief
Information and Records Management Branch
Office of Information Resources Management

Docket No.: 50-000 ←

Do not type on original if letter is for the Chairman's signature—type on copies only.

Enclosure: NRC Handbook 3.57,
"Correspondence Management"

cc w/encl: Mr. R. E. Black, ABC Nuclear Power Plant

bcc w/o encl: G. Luana, IRM/EUSB
L. Larue, IRM/IRMB

Distribution:
Docket File w/encl J. Miles, IRM w/o encl
PUBLIC w/encl R. Rogers, IRM/IRMB w/o encl
EDO 0000 w/encl D. Jackson, IRM/IRMB w/o encl
SECY-CRC-YY-0000 w/encl

Above the line appears on the original and all copies.

"Bcc" notations appear on the bcc, file, and internal copies. "Bcc" copies are reproduced from the signed original.

Below the line appears on file and internal copies.

When responding to a yellow or green ticket, cite the specific identification number beside the office name.

DOCUMENT NAME: G:IRMB\DISTRBN ←

Indicate here how the document is saved by originator.

To receive a copy of this document, indicate in the box: "C" = Copy without attachment/enclosure "I" = Copy with attachment/enclosure "N" = No copy

OFFICE	IRM/EUSB	IRM/IRMB	IRM/IRMB				
NAME	JSmith:bhm	HJohnson	JJones				
DATE	MM/DD/YY	MM/DD/YY	MM/DD/YY				

OFFICIAL RECORD COPY

Figure III-13 Format for Distribution

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If the letter is for the Chairman's signature, type the centered page number only as the header

R. Johnson

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When concurrence is obtained while the letter is in draft form, type on the official record copy on the line directly above the concurrence grid **"*Concurred in draft,"** as shown below. Type the names of those who have concurred in the appropriate blocks, with an asterisk before the names of their offices. Use the office abbreviations as they are listed in the NRC telephone directory.

When concurrence is obtained by telephone, mark the concurrence grid in the date block with a circled "T" to indicate a telephone reply. If the person concurring is other than the person listed in the grid, also write the name of the person concurring.

Sincerely,

↓ FOUR LINES BETWEEN

Sidney W. Martin
Executive Director for Operations

Docket No.: 50-000

← Do not type on original if letter is for the Chairman's signature—type on copies only.

Enclosure: NRC Handbook 3.57,
"Correspondence Management"

Distribution:

Docket File w/enc1
PUBLIC w/enc1
EDO 0000 w/enc1
SECY CRC-YY-0000 w/enc1

J. Miles, IRM w/o enc1
R. Rogers, IRM/IRMB w/o enc1
D. Jackson, IRM/IRMB w/o enc1

DOCUMENT NAME: G:IRMB\CONCRDRF

← Indicate here how the document is saved by originator.

***Concurred in draft**

To receive a copy of this document, indicate in the box: "C" = Copy without attachment/enclosure "E" = Copy with attachment/enclosure "N" = No copy

OFFICE	*NRR/DRPW	*NRR	*NMSS	RES	SBCR
NAME	JMason:bhm	TMarshall	RJenkins	WReddy	BJames
DATE	MM/DD/YY	MM/DD/YY	MM/DD/YY	MM/DD/YY	MM/DD/YY
OFFICE	IRM	OGC	EDO		
NAME	BBrown	WDavis	SMartin		
DATE	MM/DD/YY	MM/DD/YY	MM/DD/YY		

OFFICIAL RECORD COPY

Figure III-14 "Concurred in Draft" and Telephone Notations

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If the letter is for the Chairman's signature, type the centered page number only as the header

R. Johnson

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For a "see previous concurrence" notation, type on the official record copy on the line directly above the concurrence grid the notation as shown below. On the concurrence grid, type the names of those who have previously concurred in the appropriate blocks, with an asterisk before the names of their offices. Type the dates on which the concurrences were made.

Sincerely,

↓ FOUR LINES BETWEEN

Sidney W. Martin
Executive Director for Operations

Docket No.: 50-000 ← Do not type on original if letter is for the Chairman's signature—type on copies only.

Enclosure: NRC Handbook 3.57,
"Correspondence Management"

Distribution:

Docket File w/enc1
PUBLIC w/enc1
EDO 0000 w/enc1
SECY CRC-YY-0000 w/enc1

J. Miles, IRM w/o enc1
R. Rogers, IRM/IRMB w/o enc1
D. Jackson, IRM/IRMB w/o enc1

DOCUMENT NAME: G:IRMB\SEEPREV ← Indicate here how the document is saved by originator.

See previous concurrence

To receive a copy of this document, indicate in the box: "C" = Copy without attachment/enclosure "E" = Copy with attachment/enclosure "N" = No copy

OFFICE	*NRR/DRPW	*NRR	*NMSS	RES	SBCR
NAME	JMason:bhm	TMarshall	RJenkins	WReddy	BJames
DATE	MM/DD/YY	MM/DD/YY	MM/DD/YY	MM/DD/YY	MM/DD/YY
OFFICE	IRM	OGC	EDO		
NAME	BBrown	WDavis	SMartin		
DATE	MM/DD/YY	MM/DD/YY	MM/DD/YY		

OFFICIAL RECORD COPY

Figure III-15 "See Previous Concurrence" Notation

Assembly (U)

Use NRC Forms 8, 8A, 8B, and 8C, as necessary, when assembling correspondence for concurrence. Assemble the concurrence package as illustrated in Figure II-6.

Fastening (V)

Do not staple the original set of a multipage letter. Fasten the complete package with binder clips at the top edge or side.

Signing and Dispatch (W)

The signing office must ensure that the original and all copies of correspondence are dated before the original is dispatched and that copies and background material are appropriately distributed. All principal correspondence will be dispatched by the primary control point.

Part IV

Memoranda

Definition and Format (A)

Memoranda are correspondence between NRC offices or between NRC offices and NRC contractors. Figure IV-1 illustrates the NRC memoranda format.

Stationery and Copies (B)

Original (1)

Use NRC letterhead stationery for the first page of a memorandum and plain bond for succeeding pages.

Courtesy Copies (2)

Courtesy copies are reproduced copies of the signed original. Send courtesy copies only if specifically requested to do so by the primary author.

Information Copies (3)

Information copies are reproduced copies of the signed original made for individuals other than the addressees. Prepare only the minimum number of information copies required for those who are immediately concerned with the subject matter.

True Copies (4)

True copies are reproduced copies of the signed original.

Copies for Multiple Addressees (5)

Prepare identical memoranda for multiple addressees by the most appropriate of the following two methods:

**Volume 3, Part 2 – Records Management
Correspondence Management
Handbook 3.57 Part IV**



**UNITED STATES
NUCLEAR REGULATORY COMMISSION**

**UNITED STATES
NUCLEAR REGULATORY COMMISSION**
WASHINGTON, D.C. 20555-0001

Use NRC letterhead stationery for the first page and plain bond paper for succeeding pages.

October 1, YYYY

Begin "MEMORANDUM TO" at least four lines below the letterhead

Date the first page. Type the date centered two lines below the last line of the letterhead. Do not use a date stamp. Spell out the name of the month in full.

Do not use personal titles such as Mr., Mrs., Miss, and Ms. for the sender or addressees. However, when addressing a person in the military service, use the appropriate military rank.

MEMORANDUM TO: Jane H. Sanders, Director
Division of Engineering
Office of Nuclear Reactor Regulation

FROM: John H. Jones, Chief
Information and Records Management Branch
Office of Information Resources Management

SUBJECT: PREPARATION OF MEMORANDUM (YOUR MEMO MM/DD/YY) [or]
(EDO 0000) [or] (SECY CRC-YY-0000)

Include the date and reference to previous correspondence in parentheses. When the subject consists of more than one line, type the succeeding lines flush with the first line.

On a single-page memorandum, begin the top margin two lines below the last line of the letterhead (where the date is to appear). Set the left and right margins at least 1 inch from the edge of the paper. Type captions in all capital letters flush with the left margin. Begin "MEMORANDUM TO" a minimum of four lines below the letterhead. Begin entry for each caption at the next WordPerfect default tab setting five spaces to the right of the colon in the "MEMORANDUM TO" line. Double-space between the last line of one caption and the beginning of the next caption. Left justify the body of the memorandum.

Begin the body of the memorandum three lines below the subject line. Single-space a memorandum of two or more paragraphs and double-space between paragraphs. Double-space a short, one-paragraph memorandum (10 lines or fewer) and indent the first line six spaces (the first WordPerfect default tab setting).

Place the docket or project number, when required, flush with the left margin three lines below the last line of the body of the memorandum (two lines above the attachment notation, if any).

Docket No. 50-000

Attachment: NRC Management Directive 3.57,
"Correspondence Management"

CONTACT: Ann Martin, IRM/IRMB
415-NNNN

Do not type on original if memorandum is for the Chairman's signature—type on copies only.

Do not include a signature block. The sender will sign beside or above his or her name in the "FROM" block.

Begin the "CONTACT" notation three lines below the last line of the text, or two lines below the attachment notation, or the "cc" notation, whichever applies, ensuring that adequate space is left for a 1-inch bottom margin. The "CONTACT" notation appears on the first page, regardless of the length of the memorandum.

Figure IV-1 Format for an NRC Memorandum

Copies (B) (continued)

Copies for Multiple Addressees (5) (continued)

- For a memorandum with a generic addressee, such as “Power Reactor Project Managers,” reproduce copies of the memorandum after the primary author signs it and then distribute the memorandum. (a)
- For a memorandum with individual addressees, prepare the memorandum on a software program such as WordPerfect, using the “merge” function to insert the names of addressees and to type each individual memorandum. (b)

Copies for “THRU” Addressees (6)

Send one copy of the signed original to the “THRU” addressee. Figure IV-2 illustrates a memorandum with a “THRU” addressee.

Official Record Copy (7)

The official record is the original NRC-generated document that contains the concurrences of the involved NRC program officials. Prepare an official record copy of each memorandum. Figure IV-3 illustrates the official record copy. (a)

Provide the official record copy to the file custodian responsible for maintaining the originator’s official records. (b)

When the correspondence refers to more than one “docketed case,” reproduce copies for each referenced docket file from the official record copy. These copies **MUST** include a list of recipients and attachments, if any. Each copy is an official record copy that will be filed in each docket file to which it pertains. (c)

Reading or Chronological File Copies (8)

Reproduce copies for the EDO reading file (only if the EDO signs the letter) and for the originating office’s reading file.

Drafts (9)

Figure IV-4 illustrates a draft memorandum.

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October 1, YYYY

MEMORANDUM TO: Jane M. Sanders, Director
Division of Engineering
Office of Nuclear Reactor Regulation

THRU: Harold L. Murphy, Director
Office of Information Resources Management

FROM: John H. Jones, Chief
Information and Records Management Branch
Office of Information Resources Management

SUBJECT: PREPARATION OF MEMORANDUM WITH A "THRU" LINE

The "THRU" addressee should sign or initial the memorandum above or to the right of his or her typed name before the sender signs the memorandum.

This figure illustrates a memorandum with a "THRU" line to a single addressee. The "THRU" addressee appears in the concurrence grid. Type the caption "THRU" in all capital letters flush with the left margin two lines below the "MEMORANDUM TO" line. Type the body of the memorandum three lines below the subject line. Single-space a memorandum of two or more paragraphs and double-space between paragraphs. Double-space a short, one-paragraph memorandum (10 lines or fewer) and indent the first line six spaces (the first WordPerfect default tab setting).

Set the bottom margin to zero (0) to allow the concurrence grid to be as low as possible on the page. Allow 1-1/2 inches above the bottom of the page for a single concurrence grid and 2-1/2 inches above the bottom of the page for a double concurrence grid.

DOCUMENT NAME: G:IRMB\THRU ← Indicate here how the document is saved by originator.

To receive a copy of this document, indicate in the box: "C" = Copy without attachment/enclosure "E" = Copy with attachment/enclosure "N" = No copy

OFFICE	IRM/EUSB	IRM	IRM/IRMB				
NAME	JSmith:bhm	HLMurphy	JJones				
DATE	MM/DD/YY	MM/DD/YY	MM/DD/YY				

OFFICIAL RECORD COPY

The "THRU" addressee should appear on the concurrence grid of the official record copy

Figure IV-2 Memorandum With a "THRU" Addressee

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October 1, YYYY

MEMORANDUM TO: Gary R. Lowenstein, Director
Office of Public Affairs

FROM: Harold L. Murphy, Director
Office of Information Resources Management

SUBJECT: FORMAT FOR NRC MEMORANDUM OFFICIAL RECORD COPY
(EDO 0000) [or] (SECY CRC-YY-0000)

When originals of identical memoranda are sent to several addressees, prepare one official record copy with a list of names of recipients attached.

When responding to a yellow or green ticket, cite the specific identification number in the subject line of the memorandum and beside the office name on the distribution list.

This figure illustrates the official record copy of a memorandum. It is a copy of the original memorandum with distribution information and a concurrence grid placed at the end of the memorandum. When there is not enough space at the bottom to include the concurrence grid, the typist may delete spacing on the top and bottom edges of the paper to make it fit on one page. Attachment and distribution information is provided below as an illustration.

Attachment: NRC Management Directive 3.57

Distribution:
Docket File w/att
PUBLIC w/att
EDO 0000 w/att
SECY CRC-YY-0000 w/att

J. Miles, IRM w/o att
R. Rogers, IRM/IRMB w/o att
D. Jackson, IRM/IRMB w/o att

Place the distribution notation and list on the official record copy flush with the left margin three lines below the body of the memorandum (or two lines below the attachment notation, if applicable).

Begin a single concurrence grid 1-1/2 inches above the bottom of the page and a double concurrence grid 2-1/2 inches above the bottom of the page.

DOCUMENT NAME: G:IRMB\OFRECCPY

Indicate here how the document is saved by originator.

To receive a copy of this document, indicate in the box: "C" = Copy without attachment/enclosure "E" = Copy with attachment/enclosure "N" = No copy

OFFICE	IRM/IRMB	IRM/IRMB	IRM/IRMB	IRM		
NAME	JSmith:bhm	HJohnson	JJones	HLMurphy		
DATE	MM/DD/YY	MM/DD/YY	MM/DD/YY	MM/DD/YY		

OFFICIAL RECORD COPY

Type "OFFICIAL RECORD COPY" in all capital letters centered on the bottom of the first page. On the last page, type a concurrence grid and the caption "OFFICIAL RECORD COPY" in all capital letters centered below the grid.

On the last page of the official record copy, set the bottom margin to zero (0). WordPerfect will default to the least amount of space allowed.

Figure IV-3 Official Record Copy of an NRC Memorandum

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Identify drafts at the top of the page. Include in the identification the draft number, the date, the originator's name, the typist's initials (if any), the organization symbol, and how the document is saved for retrieval.

**DRAFT NO. 1, MM/DD/YY
JSMITH:bhm,IRM;[G:\HOW THE DOCUMENT IS SAVED BY ORIGINATOR]**

**MEMORANDUM TO: Catherine M. Pierce-London, Director
Program Management, Policy Development, and
Analysis Staff
Office of Nuclear Material Safety and Safeguards**

**FROM: Harold L. Murphy, Director
Office of Information Resources Management**

SUBJECT: PREPARATION OF A DRAFT MEMORANDUM

When a line in an address extends beyond the right margin, indent the second line two spaces.

This figure illustrates a draft memorandum. Double-space the body of a draft and quadruple-space between paragraphs so that the spacing will be correct when the final is prepared.

Figure IV-4 Draft of an NRC Memorandum

Date (C)

Date a memorandum during preparation only when the date it will be signed and dispatched is known. In all other cases, add the date to the original and all copies at the time of distribution. **NOTE:** Do not date a memorandum with a “THRU” addressee until the “THRU” addressee has indicated concurrence.

Docket or Project Number (D)

Figure IV-1 provides guidance on the docket or project number.

Margins and Tabs (E)

Figure IV-1 provides guidance on margins and tabs.

Memorandum To (F)

Figure IV-5 illustrates a memorandum to multiple addressees when the addressee list is short. (1)

Figure IV-6 illustrates a memorandum to multiple addressees when the addressee list is long. (2)

Figure IV-7 illustrates a multiple addressee list. (3)

Figure IV-8 illustrates a memorandum to multiple addressees listed by title. (4)

Attention Line (G)

An attention line increases efficiency when the memorandum is important enough to be seen by the receiving office and can be routed promptly to the subordinate who will act on it. Figure IV-9 illustrates a memorandum with an “ATTN” line. (1)

When an attention notation is required in a multiple-addressee listing, show the attention line as illustrated in Figure IV-5. (2)

THRU Line (H)

Figure IV-2 provides guidance on the THRU line. (1)

Do not use a “THRU” line in principal correspondence. (2)

The “THRU” addressee should sign or initial the memorandum above or to the right of his or her typed name before the sender signs the memorandum. (3)

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UNITED STATES
NUCLEAR REGULATORY COMMISSION
WASHINGTON, D.C. 20555-0001

October 1, YYYY

MEMORANDUM TO: Jane M. Sanders, Director, NRR ← Organizational abbreviations may be used.
Gina R. Davis, Director, NMSS
ATTN: Larry R. Brenton, NMSS ← List the addressees successively in
Thomas C. Carter, Director, NRR ← a short addressee list.
Linda L. George, Director, RES

FROM: Harold L. Murphy, Director, IRM

SUBJECT: MEMORANDUM TO MULTIPLE ADDRESSEES
(SHORT LIST)

Center the date two lines below the letterhead. Do not use a date stamp.

Prepare a multiple-addressee memorandum when several persons are to receive copies. Type the list of addressees a minimum of four lines below the date. If an address extends over one line, indent the second and succeeding lines two spaces.

If an "ATTN" line is required, type it as it appears above. The "ATTN" line is highlighted in bold for the purposes of identification in this figure. Type the "ATTN" line addressee immediately after the name of the relevant office director.

Place the docket number or project number, when required, three lines below the last line of the body of the memorandum (two lines above the attachment notation, if any).

Docket No. 50-000 ← Do not type on original if memorandum is for the Chairman's signature—type on copies only.

Attachment: NRC Management Directive 3.57

CONTACT: Ann Martin, IRM/IRMB ← Appears on first page, regardless of length of memorandum
415-NNNN

Figure IV-5 Memorandum to Multiple Addressees
(Short List)

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NUCLEAR REGULATORY COMMISSION
WASHINGTON, D.C. 20555-0001

October 1, YYYY

When the addressee list is long (more than 15 addressees), use a generic addressee or "Those on the Attached List" and attach the list of addressees (see Figure IV-7). Do not show the list of addressees as an enclosure.

MEMORANDUM TO: Office Directors and Regional Administrators
(See Attached List)

FROM: Harold L. Murphy, Director
Office of Information Resources Management

SUBJECT: MEMORANDUM TO MULTIPLE ADDRESSEES WITH A GENERIC ADDRESSEE
OR "THOSE ON THE ATTACHED LIST" (LONG LIST)

This figure illustrates a memorandum with a generic addressee. The generic addressee is usually a common group (such as Office Directors and Regional Administrators, Power Reactor Plant Managers, Records Liaison Officers, etc.). When there is no generic identification for the group, use "Those on the Attached List" ("TOTAL") as the addressee. The list of addressees is attached to the memorandum.

Begin the body of the memorandum three lines below the subject data. Single-space a memorandum of two or more paragraphs and double-space between paragraphs. Double-space a short memorandum (10 lines or fewer) and indent the first line six spaces (the first WordPerfect default tab setting).

Type the docket or project number, when applicable, flush with the left margin two lines below the body of the memorandum (two lines above the attachment notation, if any).

List the contact on the first page regardless of the length of the memorandum.

Docket No. 50-000 ←

Do not type on original if memorandum is for the Chairman's signature—type on copies only.

Attachment: NRC Management Directive 3.57

CONTACT: Ann Martin, IRM/IRMB
415-NNNN ←

Appears on first page, regardless of length of memorandum

Figure IV-6 Memorandum to Multiple Addressees
(Long List)

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Use a separate sheet of plain bond for the addressee list.

Begin the names and titles of the addressees on the fourth line below the heading. Single-space the list. Include each addressee's location or mail stop. Delete the name of the signer from the list if he or she is on the list.

Begin the heading of the list flush with the left margin at least 1 inch (six lines) from the top of the page. Type the subject line two lines below the addressee line in all capital letters. An abbreviated version of a lengthy subject may be used if the meaning is clear.

**Addressees – Memorandum Dated MM/DD/YY
Office Directors and Regional Administrators**

SUBJECT: MULTIPLE ADDRESSEE LIST

	<u>Mail Stop</u>
First M. Last, Chairman, Advisory Committee on Nuclear Waste	T-2 E26
First M. Last, Chairman, Advisory Committee on Reactor Safeguards	T-2 E26
First M. Last, Chief Administrative Judge, Atomic Safety and Licensing Board Panel	T-3 F23
First M. Last, General Counsel	O-15 B18
First M. Last, Director, Office of Commission Appellate Adjudication	O-16 G15
First M. Last, Inspector General	T-5 D28
First M. Last, Director, Office of International Programs	O-17 F2
First M. Last, Director, Office of Congressional Affairs	O-17 A3
First M. Last, Director, Office of Public Affairs	O-2 G5
First M. Last, Secretary of the Commission	O-16 G15
First M. Last, Executive Director for Operations	O-17 G21
First M. Last, Deputy Executive Director for Nuclear Reactor Regulation, Regional Operations, and Research	O-17 G21
First M. Last, Deputy Executive Director for Nuclear Materials Safety, Safeguards, and Operations Support	O-17 G21
First M. Last, Assistant for Operations, OEDO	O-17 G21
First M. Last, Director, Office of Information Resources Management	T-6 F15
First M. Last, Director, Office of Administration	T-7 D59
First M. Last, Director, Office for Analysis and Evaluation of Operational Data	T-4 D18
First M. Last, Deputy Chief Financial Officer/Controller	T-9 F6
First M. Last, Director, Office of Enforcement	O-7 H5
First M. Last, Director, Office of Investigations	O-3 E4
First M. Last, Director, Office of Personnel	T-3 A2
First M. Last, Director, Office of Policy Planning	O-1 F22
First M. Last, Director, Office of Small Business and Civil Rights	T-2 F18
First M. Last, Director, Office of Nuclear Material Safety and Safeguards	O-6 E6
First M. Last, Director, Office of Nuclear Reactor Regulation	O-12 G18
First M. Last, Director, Office of Nuclear Regulatory Research	T-10 F12
First M. Last, Director, Office of State Programs	O-3 D23
First M. Last, Regional Administrator, Region I	RGN I
First M. Last, Regional Administrator, Region II	RGN II
First M. Last, Regional Administrator, Region III	RGN III
First M. Last, Regional Administrator, Region IV	RGN IV

[Refer to the latest revision of NUREG/BR-0046, "NRC Telephone Directory," for current names and mail stops]

Paper may be conserved (to the extent practicable) when reproducing a multiple-addressee, one-page memorandum by placing the addressee list on the reverse of the memorandum. When reproducing and distributing a multipage memorandum, place the addressee list on top of the memorandum and mark each addressee to facilitate dispatch by the mail room.

Figure IV-7 Multiple Addressee List

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UNITED STATES
NUCLEAR REGULATORY COMMISSION
WASHINGTON, D.C. 20555-0001

October 1, YYYY

MEMORANDUM TO: Regional Administrators, RI, RII, RIII, RIV

FROM: Harold L. Murphy, Director, IRM

SUBJECT: MEMORANDUM TO ADDRESSEES LISTED BY TITLE

When the addressees are listed by title (Regional Administrators, Office Directors, etc.), type the office locations as part of the addressee line. Circle, check, or highlight the appropriate office on each copy to facilitate dispatch by the mail room.

Attachment: NRC Management Directive 3.57
"Correspondence Management"

Figure IV-8 Memorandum to Addressees Listed by Title



UNITED STATES
NUCLEAR REGULATORY COMMISSION
WASHINGTON, D.C. 20555-0001

October 1, YYYY

MEMORANDUM TO: Gina R. Davis, Director
Office of Nuclear Material Safety and Safeguards

ATTN: Larry R. Brenton, Director
Division of Industrial and Medical Nuclear Safety
Office of Nuclear Material Safety and Safeguards

FROM: Harold L. Murphy, Director
Office of Information Resources Management

SUBJECT: MEMORANDUM WITH AN "ATTN" LINE

Type the caption "ATTN" flush with the left margin two lines below "MEMORANDUM TO."

Figure IV-9 Memorandum With an "ATTN" Line

From Line (I)

Figure IV-1 provides guidance on the from line. (1)

Figure IV-10 provides guidance on the “acting” or “acting for” line and on delegated authority. (2)

See Section (M), “Signature,” of this part for guidelines on signing a memorandum with delegated authority. (3)

Subject (J)

Figures IV-1 and IV-3 provide guidance on the subject line.

Body (K)

Figure IV-1 provides guidance on the body of a memorandum. (1)

Consider preparing text material that requires numbering and paragraph subdivision as an attachment rather than as part of the body of the memorandum. (Use WordPerfect outline format for numbering and paragraph division.) Frequently, such material is technical and useful for future reference and would have greater utility as a separate document. (2)

Figure IV-11 provides guidance for quoted material in a memorandum. (3)

Continuation Pages (L)

Figure IV-12 provides guidance on continuation pages.

Signature (M)

Figures IV-1 and IV-10 provide guidance on the signature on a memorandum. (1)

When another person is delegated authority to act for an official, enter the name of the official who is regularly assigned to the position. On the official record copy, stamp, type, or handwrite the name of the signer in the signature space (the “FROM” block) and the word “for.” (2)

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MEMORANDUM TO: George. R. Lowenstein, Director
Office of Public Affairs

FROM: Elizabeth R. Keating, Acting Director
Office of Nuclear Regulatory Research

SUBJECT: FORMAT FOR NRC MEMORANDUM WITH AN ACTING OFFICIAL
"FROM" LINE

When a formal appointment of an "acting" official is made to an otherwise vacant position, type the name and title of the "acting" official in the "FROM" line.

MEMORANDUM TO: Harold Murphy, Director
Office of Information Resources Management

FROM: *Elizabeth Keating*
for Julia West, Director
Office of Nuclear Regulatory Research

SUBJECT: FORMAT FOR NRC MEMORANDUM FROM A PERSON WITH DELEGATED
AUTHORITY

When a person has delegated authority to act for an official, type the name and title of the official who is regularly assigned to the position in the "FROM" line. The person who has delegated authority signs the memorandum.

MEMORANDUM TO: Harold Murphy, Director
Office of Information Resources Management

FROM: *Harold Johnson*
for Julia West, Director
Office of Nuclear Regulatory Research

SUBJECT: OFFICIAL RECORD COPY INDICATING THE SIGNATURE OF A PERSON
WITH DELEGATED AUTHORITY

On the official record copy, type or handwrite in the space for the signature the name of the person with delegated authority.

Figure IV-10 Memorandum From an Acting Official or an Individual With Delegated Authority

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UNITED STATES
NUCLEAR REGULATORY COMMISSION
WASHINGTON, D.C. 20555-0001

October 1, YYYY

MEMORANDUM TO: Jane M. Sanders, Director
Division of Engineering
Office of Nuclear Reactor Regulation

FROM: John H. Jones, Chief
Information and Records Management Branch
Office of Information Resources Management

SUBJECT: PREPARATION OF A MEMORANDUM THAT INCLUDES QUOTED MATTER

This figure illustrates a memorandum that includes quoted matter.

When the quoted material consists of only a sentence or a few words, enclose the material in the text with quotation marks.

Indent a quotation of five or more lines on the left and right margins and omit the quotation marks. The indentation of the material indicates that it is a verbatim quotation.

Separate the quotation from the body of the memorandum by double-spacing.

Figure IV-11 Memorandum Containing Quoted Matter

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Type header 1 inch (six lines) from top edge

If the memorandum is for the Chairman's signature, type the centered page number only as the header

J. Smith -2-

Continue text four lines below header

Use plain white bond for the second and succeeding pages of a memorandum.

For the header, type the first initial and last name of the addressee flush with the left margin and center the page number. For a multiple addressee header, type the first initial and last name of the first individual, followed by "et al." For a generic addressee header such as Office Directors and Regional Administrators, Records Liaison Officers, and so forth, type the abbreviation of the generic addressee, such as ODs & RAs or RLOs. For a "Those on the Attached List" header, type "TOTAL." When the addressee is a business, type the abbreviated name of the company as the header.

Do not begin a paragraph near the end of a page unless there is room for at least two lines on that page. Do not continue a paragraph on the following page unless at least two lines can be carried over to that page. Do not divide words between pages.

On the second and succeeding pages of a memorandum, allow a 1-inch margin on the top and bottom. On the last page of the official record copy, set the bottom margin to zero (0) to allow the concurrence grid to be as low as possible on the page. Allow 1-1/2 inches above the bottom of the page for a single concurrence grid or 2-1/2 inches above the bottom of the page for a double concurrence grid.

Figure IV-12 Memorandum Continuation Pages

Attachment Notation (N)

Any additional material included with a memorandum is called an attachment. (In a letter, additional material is referred to as an enclosure.) (1)

Identify each attachment by name, title, or number. (2)

When a memorandum serves as a transmittal for attachments and the attachments are enumerated or described in the text, type “As stated” in the attachment notation on the same line and include the number of attachments. For example—(3)

Attachment: As stated or **Attachments: As stated (4)**

When the attachments are not enumerated or described in the text, identify each attachment as shown in Figure IV-13. (4)

Label each attachment with or without its attachment(s) as one attachment in the lower right corner approximately 1/2 inch above the bottom edge. Label each attachment as “Attachment 1,” “Attachment 2,” and so forth. Label any material appended to attachments as “a,” “b,” “c,” and so forth. (5)

Separate Cover Notation (O)

When material, whether specifically identified in the text or not, is to be sent under separate cover, type “Separate Cover” on all copies. Figure IV-13 provides guidance on the separate cover notation.

Contact (P)

Identify any person(s), other than the signer, knowledgeable about the information contained in the memorandum by name, organizational symbol, and telephone number. Place this “CONTACT” notation on the first page regardless of the length of the memorandum. (1)

Figure IV-1 provides guidance on the contact notation. (2)

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UNITED STATES
NUCLEAR REGULATORY COMMISSION
WASHINGTON, D.C. 20555-0001

October 1, YYYY

MEMORANDUM TO: Jane M. Sanders, Director
Division of Engineering
Office of Nuclear Reactor Regulation

FROM: John H. Jones, Chief
Information and Records Management Branch
Office of Information Resources Management

SUBJECT: MEMORANDUM WITH ATTACHMENT AND SEPARATE COVER NOTATIONS

This figure illustrates a memorandum that includes an attachment notation with several long titles. The list is necessary to describe attachments that are not mentioned in the text. Also illustrated is a separate cover notation.

Type the attachment notation flush with the left margin three lines below the body of the memorandum (or two lines below the docket number if there is one). When the memorandum is double-spaced, type the attachment notation three lines below the body of the memorandum. Do not extend lengthy descriptions of an attachment much beyond the middle of the page. Indent the second and subsequent lines two spaces.

Attachments: 1. NRC Management Directive 3:57
2. Ltr MM/DD/YY Lt. James Gray,
USArmy, to Chm, NRC
3. Ltr MM/DD/YY Chm, NRC, to
Lt. James Gray, USArmy, w/enc1

Separate Cover: NRC Management Directive 3:53

cc w/atts: R. E. Jackson, OGC

Type two or more attachments as shown

Type a lengthy attachment on more than one line as shown

Type an attachment with its enclosure as one attachment as shown

Type "Separate Cover" flush with the left margin, three lines below the text (or two lines below the attachment notation when used) and list the material. Enclose a copy of the memorandum with the material sent under separate cover.

Figure IV-13 Memorandum With Attachment and Separate Cover Notations

Distribution Notation (Q)

Do not use “bcc” in a memorandum. Use a distribution list only. (1)

When creating the distribution list, do not include persons listed in the concurrence grid. Each person in the concurrence grid will indicate if he or she wishes to receive a copy of the correspondence with or without the attachments. (2)

When responding to a yellow or green ticket, cite the specific identification number in the subject line of the memorandum and beside the office name on the distribution list (for example, EDO 0000 or SECY CRC-YY-0000). (3)

Figure IV-3 provides guidance on the distribution notation. (4)

Concurrence and Review (R)

All replies to correspondence should reflect the concurrence or review of those NRC organizations exercising functional responsibility for the subject matter involved. Documents should be complete and accurate, yet the development process must be efficient and timely. To accomplish this objective, follow the guidelines provided in Part II, Section (J), of this handbook. (1)

Obtain the concurrences needed while the memorandum is in draft form to preclude having to type the memorandum in final form several times. It is suggested that offices not currently practicing this technique establish it as a time saver, especially in instances that involve reviews by several offices. The draft can go to various reviewers simultaneously and after all the comments are received, the memorandum can be typed in final form and the distribution copies made at that time. (2)

The concurrence grid for a letter illustrated in Figure III-14 shows “concurred in draft” and telephone notations. These notations are the same for a memorandum. (3)

When a memorandum is changed at some point along the concurrence chain and the changes are not substantive, use a “see previous concurrence” notation. The concurrence grid for a letter illustrated in Figure III-15 shows a “see previous concurrence” notation. (4)

When changes are made to a memorandum that affect specific facts or substance, return the memorandum to the primary author for verification and/or documentation of the change and new concurrences. (5)

Envelopes and Mailing (S)

Select envelopes appropriate for the correspondence being transmitted. For additional instructions, see MD 3.23, "Mail Management."

Assembly (T)

Use NRC Forms 8, 8A, 8B, and 8C, as necessary, when assembling correspondence for concurrence. Assemble the concurrence package as shown in Figure II-6.

Fastening (U)

Do not staple the original set of a multipage memorandum. Fasten the complete package with binder clips at the top edge or side.

Signing and Dispatch (V)

The signing office must ensure that the original and all copies of correspondence are dated before dispatch of the original and that appropriate distribution of all copies and the background material is complete. All principal correspondence in memorandum form will be dispatched by the Administrative and Correspondence Branch, EDO.

Part V

Informal Communications

Purpose and Scope (A)

Various types of informal communications are used within NRC, such as endorsements, two-way memos, routing and transmittal slips, postcards, informal acknowledgments, memoranda of calls, notes, and conversation records. The informal communications are acceptable *when official record or distribution copies are not needed.*

Electronic Mail (E-Mail) (B)

E-mail is used as a type of informal communication. However, depending upon the content, it has the potential to be an official Federal record. See Management Directive (MD) 3.53, "NRC Records Management Program," for clarification. (1)

E-mail records may also be captured under the Freedom of Information Act (FOIA). See MD 3.1, "Freedom of Information Act." (2)

E-mail is used to electronically transmit messages from one computer station to another across the NRC agency upgrade of technology for office systems (AUTOS) network or other networks (e.g., INTERNET). An electronic version of the message may be retained in the sender's memory files or a paper copy can be printed and saved by the sender. (See Figure V-1.) (3)

<p>From: First M. Last (FML1) To: QRX1 Date: Friday, October 1, YYYY 11:39 am Subject: Management Directive 3.57</p> <p>I found the figures and exhibits in MD 3.57 very helpful when preparing my correspondence. I recently joined the NRC staff and the figures and exhibits reinforce what is being presented in the administrative support training.</p> <p>Thank you.</p>
<p>From: Quinn R. Xenia (QRX1) To: FML1 Date: Friday, October 1, YYYY 11:54 am Subject: Management Directive 3.57</p> <p>Thank you for the compliment. There were many comments on the drafts, resulting in new ideas being incorporated into the directive to make it clear and concise. All who worked on the directive appreciate your response.</p>

Figure V-1 E-Mail Message

Endorsements (C)

The endorsement is an informal means of replying or forwarding a message directly on the incoming correspondence when an official record copy and distribution copies are not needed. Type or legibly handwrite endorsements. Usually, there is no need to retain a copy of this type of communication or the added comment; however, if a temporary holding copy is needed, use any photocopy process. (See Figure V-2.)

<p>BYER HOSPITAL</p> <p>Division of Radiation S 1234 Center Jonestown Telephone</p> <p>October 1, YYYY</p> <p>United States Nuclear Regulatory Commission Washington, D.C. 20555-0001</p> <p>Gentlemen:</p> <p>Please forward to our office an adequate supply of NRC Form 3, "Notice to Employees." Thank you.</p> <p>Very truly yours, <i>George R. Halgood</i> George R. Halgood, Director Radiation Safety Office Division of Nuclear Medicine</p> <p>CBM/son</p> <p><i>mbh/ry</i> We have forwarded under separate cover, 10 copies of NRC Form 3. If you do not receive them within 2 weeks, please contact me at (301) 415-NNNN. Ann Merton</p>	<p>A</p> <p>B NUCLEAR POWER PLANT</p> <p>C</p> <p>1234 ATOMIC PARKWAY MIDWAY, IA 50221-0001</p> <p>TELEPHONE: (646) 123-4567 TELEFAX: (646) 123-4578</p> <p>October 1, YYYY</p> <p>U.S. Nuclear Regulatory Commission Washington, D.C. 20555-0001</p> <p>Gentlemen:</p> <p>We would like to register Ms. Brenda T. Brown of our company in your seminar on low-level waste management that is scheduled for the month of June YYYY.</p> <p>Thank you.</p> <p>Very truly yours, <i>Thomas M. Nellis</i> Thomas M. Nellis</p> <p>October 8, YYYY</p> <p>Ms. Brown is registered in the low-level waste management seminar, June 6-10. The first session begins promptly at 8:30 a.m. in Room 2 F17, One White Flint North.</p> <p><i>Ann Merton</i> Ann Merton Seminar Coordinator</p>
---	---

Figure V-2 Informal Replies Written on Incoming Correspondence

“U.S. Government 2-Way Memo” (Optional Form 27) (D)

The “U.S. Government 2-Way Memo” (Optional Form 27) is a three-part, carbon-interleaf, snap-out set that may be used for informal communications within NRC when an official record copy and distribution copies are required. Preferably, the message and the reply should be typed but may be handwritten legibly to expedite the communication. (See Figure V-3.)

UNITED STATES GOVERNMENT <h3 style="margin: 0;">2-Way Memo</h3>		INSTRUCTIONS Use routing symbols whenever possible. SENDER (Originator of message): Use brief, informal language. Conserve space. Forward original and one copy. RECEIVER (Replier to message): Reply below the message, keep one copy, return one copy.										
Subject: OPTIONAL FORM 27, 2-WAY MEMO When using a window envelope to mail the memorandum, use the USPS addressing standards described in Part III, Section (G), “Address on the Envelope.”		<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; padding: 2px;">DATE OF MESSAGE</td> <td style="width: 50%; padding: 2px;">ROUTING SYMBOL</td> </tr> <tr> <td style="padding: 2px;">MM/DD/YY</td> <td style="padding: 2px;">T-6 F33</td> </tr> <tr> <td colspan="2" style="padding: 2px;">SIGNATURE OF ORIGINATOR</td> </tr> <tr> <td colspan="2" style="padding: 2px;">TITLE OF ORIGINATOR</td> </tr> <tr> <td colspan="2" style="padding: 2px;">Director, IRM</td> </tr> </table>	DATE OF MESSAGE	ROUTING SYMBOL	MM/DD/YY	T-6 F33	SIGNATURE OF ORIGINATOR		TITLE OF ORIGINATOR		Director, IRM	
DATE OF MESSAGE	ROUTING SYMBOL											
MM/DD/YY	T-6 F33											
SIGNATURE OF ORIGINATOR												
TITLE OF ORIGINATOR												
Director, IRM												
To : Mr. Thomas G. Carter Regional Administrator, Region IV U.S. Nuclear Regulatory Commission 611 Ryan Plaza Dr., Ste. 400 Arlington, TX 76011-8064		MESSAGE										
ORIGINATOR: Type the message when possible; however, to expedite a short message, handwrite it. Complete the "SUBJECT," "DATE OF MESSAGE," "ROUTING SYMBOL," "TITLE OF ORIGINATOR," "TO," and "FROM" blocks and type the message in the "MESSAGE" block. Sign in the "SIGNATURE OF ORIGINATOR" block. Detach and retain copy 3 and dispatch copies 1 and 2, unseparated. When copy 2 is returned from the addressee, discard copy 3. Use the preprinted "FOLD LINES" on the form when transmitting the memo in a window envelope.												
REPLY												
ADDRESSEE: Type the reply when possible; however, to expedite a short message, handwrite it. Complete the "DATE OF REPLY," "ROUTING SYMBOL," and "TITLE OF REPLIER" blocks and type your reply in the "REPLY" block. Sign in the "SIGNATURE OF REPLIER" block. Retain and file copy 1 and return copy 2 to the originator.												
From : Mr. Harold L. Murphy, Director Office of Information Resources Management U.S. Nuclear Regulatory Commission Washington, DC 20555-0001		<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; padding: 2px;">DATE OF REPLY</td> <td style="width: 50%; padding: 2px;">ROUTING SYMBOL</td> </tr> <tr> <td style="padding: 2px;">MM/DD/YY</td> <td style="padding: 2px;">REG IV</td> </tr> <tr> <td colspan="2" style="padding: 2px;">SIGNATURE OF REPLIER</td> </tr> <tr> <td colspan="2" style="padding: 2px;">TITLE OF REPLIER</td> </tr> <tr> <td colspan="2" style="padding: 2px;">Regional Administrator</td> </tr> </table>	DATE OF REPLY	ROUTING SYMBOL	MM/DD/YY	REG IV	SIGNATURE OF REPLIER		TITLE OF REPLIER		Regional Administrator	
DATE OF REPLY	ROUTING SYMBOL											
MM/DD/YY	REG IV											
SIGNATURE OF REPLIER												
TITLE OF REPLIER												
Regional Administrator												
5027-107		<small>OPTIONAL FORM 27 (Rev. 7-89) GSA FPMR (41 CFR) 101-11.6 NSN 7540-00-802-9447</small>										

Figure V-3 Optional Form 27, “U.S. Government 2-Way Memo”

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GUIDES TO SIMPLIFIED INFORMAL CORRESPONDENCE

The cost to create a typical Government letter rises every year, as well as the cost to file and to dispose of it. Informal communication, resulting from the use of Optional Form 27, 2-WAY MEMO, can reduce these costs substantially.

Experienced letterwriters have observed the following about Government correspondence practices:

The bulk of correspondence is conducted within the governmental family—between offices whose day-to-day relationships could permit simple, informal written communication.

Many written communications are for immediate action, are routine in nature (such as requests for information or services), and do not require copies for distribution.

Many written communications are less than a dozen lines in length.

PRINCIPLES INVOLVED

1. When agencies issue instructions encouraging the use of memoranda and informal correspondence within the agency, there is a noticeable drop in the communications effort and in the time required to respond to a request, as well as a reduction of useless copies in file. Examining the two types of correspondence shows that formal correspondence has certain drawbacks.

a. Formal correspondence is usually more wordy because of salutations, introductory paragraphs, complimentary closings, etc. It becomes a difficult writing chore because of continual polishing and editing.

b. Formal correspondence typically calls for more reviews, resulting in many rewrites and retypes, and for excessive time-in-shop.

c. Formal correspondence goes through stricter clearance channels, and frequently makes communication between "opposite numbers" very difficult.

2. In many cases, the best reply is an informal endorsement on an incoming letter. Optional Form 27, 2-WAY MEMO, takes advantage of this principle.

PRACTICAL PURPOSES SERVED BY 2-WAY MEMO

1. The message and the reply are placed on the same page in brief, informal language. This simplifies writing, handling, storing, and disposing of short communications.

2. The message may be prepared by typewriter or by hand; the reply may be by typewriter, by hand, or by rubber stamp.

3. It is possible to achieve a greater delegation of signing authority with the 2-WAY MEMO because of its informal nature.

4. The 2-WAY MEMO may be designated for special handling. It may be marked URGENT if exceptional speed is required. It may be stamped for special mailing services. It may be used for classified material if it is marked with the proper security classification.

5. The "TO" line and the "FROM" line are so placed that the 2-WAY MEMO may be sent in a window envelope and returned in a window envelope, if desired.

6. The 2-WAY MEMO is particularly well suited for communication between "opposite numbers" within one agency or in different agencies.

Figure V-3 (continued)

Routing and Transmittal Slips (E)

Use routing and transmittal slips to make brief informal comments concerning correspondence or other documents routed to one or more addressees. If necessary, use both sides of the slip. Do not make a record copy of a routing and transmittal slip. Three routing and transmittal slips are authorized for NRC use.

- Optional Form 41, "Routing and Transmittal Slip," is a general purpose form that may be used for transmitting material to individual or multiple addressees. It may also be used as a two-way routing device between originator and addressee. (See Figure V-4.) (1)

ROUTING AND TRANSMITTAL SLIP		Date																		
		MM/DD/YY																		
TO: (Name, office symbol, room number, building, Agency/Post)		Initials Date																		
1. Jane Smith, IRMB/IRM	T-6 F33																			
2. Harold Johnson, IRMB/IRM	T-6 F33																			
3.																				
4.																				
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Action</th> <th>File</th> <th>Note and Return</th> </tr> </thead> <tbody> <tr> <td>Approval</td> <td>For Clearance</td> <td>For Conversation</td> </tr> <tr> <td>As Requested</td> <td>For Correction</td> <td>Prepare Reply</td> </tr> <tr> <td>Circulate</td> <td>For Your Information</td> <td>See Me</td> </tr> <tr> <td>Comment</td> <td>Investigate</td> <td>Signature</td> </tr> <tr> <td>Coordination</td> <td>Justify</td> <td></td> </tr> </tbody> </table>			Action	File	Note and Return	Approval	For Clearance	For Conversation	As Requested	For Correction	Prepare Reply	Circulate	For Your Information	See Me	Comment	Investigate	Signature	Coordination	Justify	
Action	File	Note and Return																		
Approval	For Clearance	For Conversation																		
As Requested	For Correction	Prepare Reply																		
Circulate	For Your Information	See Me																		
Comment	Investigate	Signature																		
Coordination	Justify																			
REMARKS																				
<p>If you do not agree with the attached changes to this directive, please notify me by MM/DD/YY.</p> <p style="margin-left: 40px;"><i>MM/DD/YY</i></p> <p style="margin-left: 40px;"><i>Returned per our conversation.</i></p> <p style="margin-left: 100px;"><i>Jane Smith</i></p>																				
DO NOT use this form as a RECORD of approvals, concurrences, disposals, clearances, and similar actions																				
FROM: (Name, org. symbol, Agency/Post)		Room No. — Bldg.																		
John Jones, Chief IRMB/IRM		T-6 F33																		
		Phone No.																		
		415-NNNN																		
8043-102 • U.S. GPO: 1980 — 262-000		OPTIONAL FORM 41 (Rev. 7-76) Prescribed by GSA FPMR (41 CFR) 101-11.204																		

Figure V-4 Optional Form 41, "Routing and Transmittal Slip"

Routing and Transmittal Slips (E) (continued)

- NRC Form 17 (8-1/2 x 11 inches) and NRC Form 17A (two 5-1/2- x 8-1/2-inch formats on one 8-1/2- x 11-inch sheet) are routing forms designed for internal use. Offices with high-volume, repetitive routing requirements may complete the appropriate size form for their individual routing procedures by typing the names or titles and mail stops of individuals to whom material is regularly routed and have the slip printed. (See Figure V-5.) Print minimum quantities to preclude overstock of obsolete forms that may result from personnel turnover. (2)

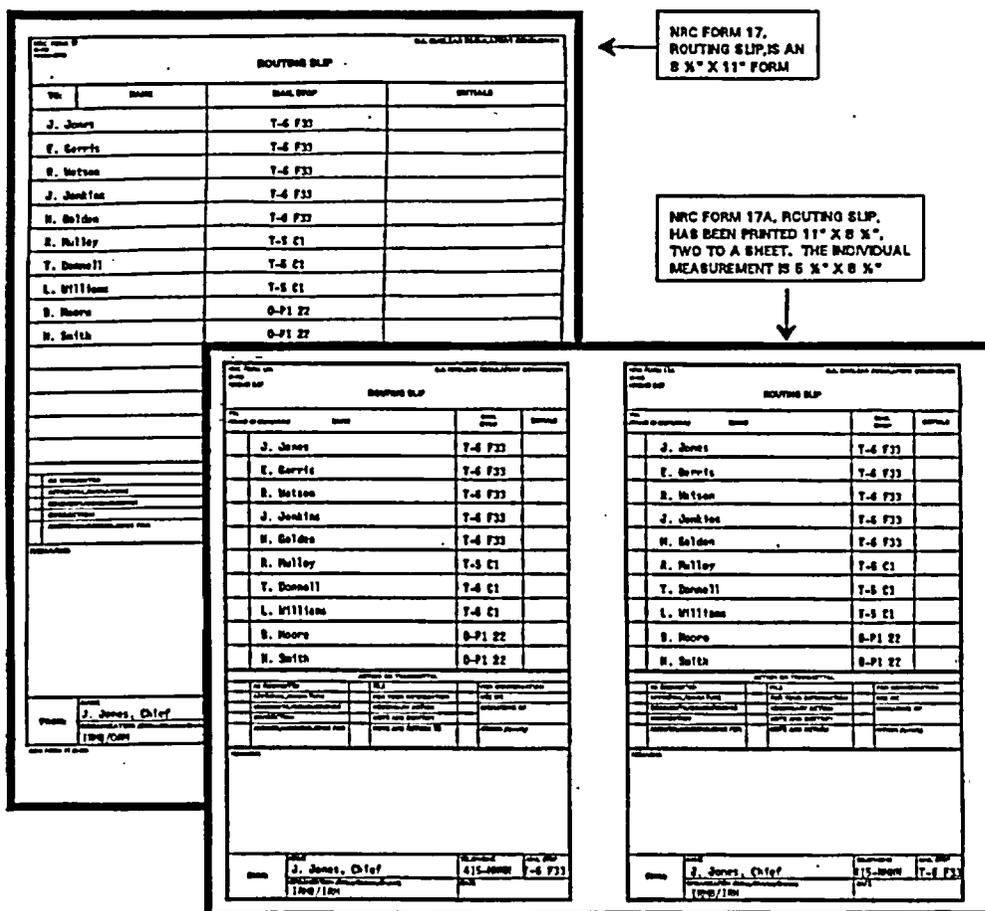


Figure V-5 NRC Forms 17 and 17A, "NRC Routing Slips"

Letterhead Note Stationery (F)

Use letterhead note stationery (5-1/2 x 8-1/2 inches) for typewritten or handwritten notes to individuals outside the NRC when an official record is not needed. (See Figure V-6.)

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

October 1, YYYY

Mr. Wilson:

*Per our conversation, I am
forwarding a copy of the
form we received from you
on MM/DD/YY.*

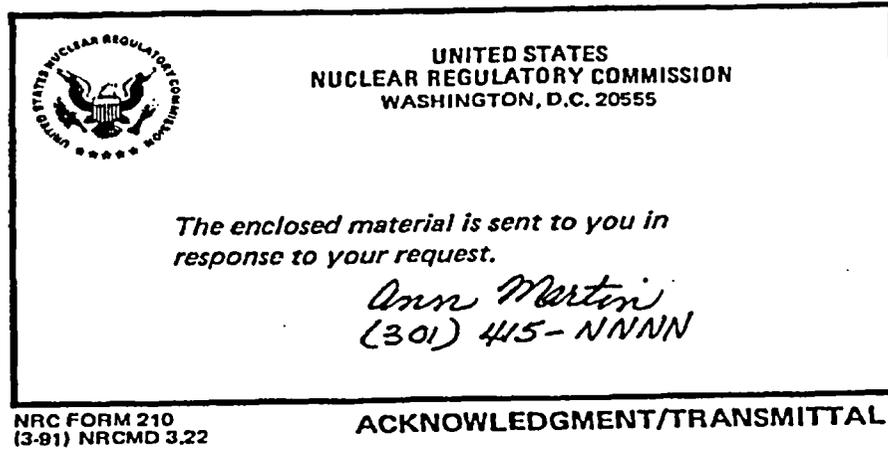
Ann Martin
(301) 415-NNNN

Figure V-6 Letterhead Note Stationery

Informal Acknowledgment/Transmittal (NRC Form 210) (G)

Use printed informal acknowledgment/transmittal forms instead of a letter when sending out material in response to a routine request. (See Figure V-7.)

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

The enclosed material is sent to you in response to your request.

Ann Morton
 (301) 415-NNNN

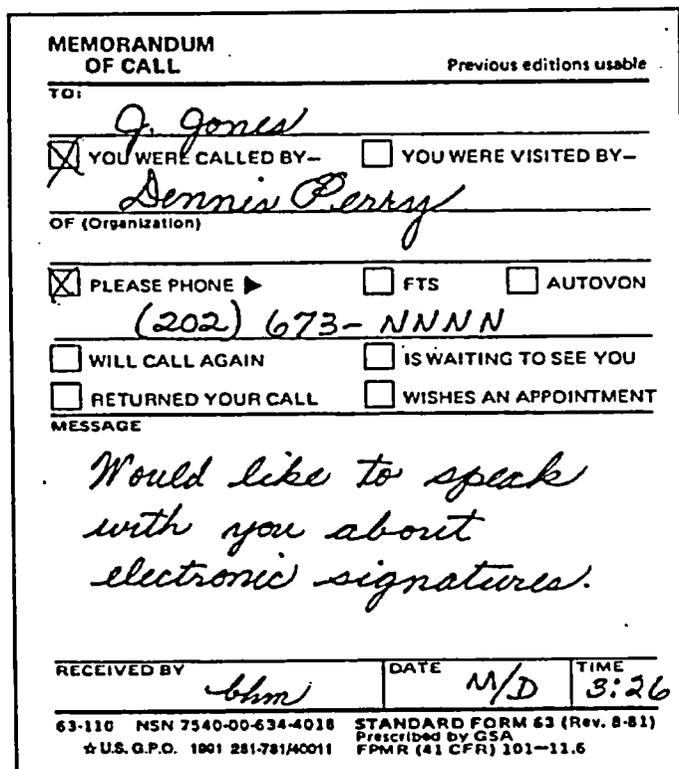
NRC FORM 210
 (3-81) NRCMD 3.22

ACKNOWLEDGMENT/TRANSMITTAL

Figure V-7 NRC Form 210, "Acknowledgment/Transmittal"

Memorandum of Call
 (Standard Form 63) (H)

Use Standard Form 63 to inform office personnel of a telephone call or visit. (See Figure V-8.)



MEMORANDUM OF CALL Previous editions usable

TO: *J. Jones*

YOU WERE CALLED BY- YOU WERE VISITED BY-

Dennis Perry

OF (Organization)

PLEASE PHONE ▶ FTS AUTOVON

(202) 673-NNNN

WILL CALL AGAIN IS WAITING TO SEE YOU

RETURNED YOUR CALL WISHES AN APPOINTMENT

MESSAGE

Would like to speak with you about electronic signatures.

RECEIVED BY *blm* DATE *M/D* TIME *3:26*

63-110 NSN 7540-00-634-4018 STANDARD FORM 63 (Rev. 8-81)
 Prescribed by GSA
 ☆ U.S. G.P.O. 1991 281-781/M0011 FPMR (41 CFR) 101-11.6

Figure V-8 Standard Form 63, "Memorandum of Call"

Notes (I)

Use notes when an official record is not needed. For example, type or handwrite a note to communicate an idea or reminder while working on a project. After the project is completed, the person working on the project may not require that the note be incorporated into the official record, and the note can be discarded.

Response by Telephone (J)

To save time and material and to provide prompt and more understandable replies, respond by telephone to inquiries if—(1)

- The correspondent can be reached easily and economically. (a)
- The oral reply can satisfy the written or oral inquiry. (b)

Use a brief handwritten note to the file when it is appropriate to document a conversation. (See Figure V-9.) (2)

MM/DD/YY

Note to file

I received a telephone call today from Mr. Stephen Wilson, WPPSS, Richland, WA. He forgot to keep a copy of the form (NRC Form NNN) he completed and sent to our office on MM/DD/YY.

I made a photocopy of the form and sent it to him today.

Ann Martin

Figure V-9 Telephone or Verbal Communication Record

Exhibit 1

Staff Correspondence Writing Guidelines

1. Begin correspondence with person-to-person phrases rather than with cold, impersonal ones.

Not: “I am responding to . . .”
 “This is in response to . . .”

A good opening sentence is, “I am responding to your letter of (date) in which you (brief summary of incoming request).”

2. Sustain the tone. “I (or we) share your concern about this issue and have taken the following steps to resolve it.”
3. Make your opening phrase appropriate to the context. Do not automatically open by saying, “Thank you for your letter of . . .” or “I appreciate your concern . . .” unless you are responding to an invitation or to a complimentary letter.
4. In your opening paragraph, refer generally to the subject of the incoming letter but do not repeat verbatim or in detail everything it said or asked for.
5. Keep the point of view accurate.
 - Distinguish between when the Chairman speaks for himself (I) and when he speaks for the Commission (we).
 - Make appropriate distinctions among the agency (the NRC), the five Commissioners (the Commission), and the EDO and related staff offices (the staff).
 - Do not prepare responses for the Chairman’s signature that contain information pertinent to an ongoing proceeding that is not part of the public record and therefore violates ex parte considerations.
6. Respond directly to all questions in the incoming correspondence and structure your response logically by related subjects. Be concise, avoiding unnecessary amplifications or details.
7. Be forthright and honest in your answers. Focus on the questions asked and do not amplify beyond the scope of those questions.
8. Be direct rather than indirect and respond positively rather than negatively to criticism.

Indirect: We intend to (or propose to) develop regulations . . .

Direct: We are developing regulations . . .

Indirect: The team conducted an inspection . . .

Direct: The team inspected . . .

Exhibit 1 (continued)

9. Use the active instead of the passive voice, as appropriate.
Passive: The issue was investigated by the task force . . .
Active: The task force investigated . . .
10. Try to keep letters a page to a page and a half long. Essential clarifying or supporting information can be included in an enclosure.
11. Avoid long, complex sentences that become paragraphs unto themselves and do not write one-sentence paragraphs. Likewise, avoid excessively long paragraphs—anything longer than half a page single-spaced.
12. Avoid jargon when writing to nontechnical readers. They won't understand the terminology. Adequate synonyms exist for many concepts:
Not: reactor scram or trip
But: automatic reactor shutdown
13. Close the letter in the same positive tone used in the opening, as appropriate:
“I trust this reply responds to your concern (or request) . . .”
“I trust this response clarifies our position . . .”
14. Finally, ensure that your response will stand the test of time. As a corollary, never say anything you will regret five years from now.

Exhibit 2 Proofreading and Copy Markings

Writers, reviewers, coordinators, secretaries, and typists are encouraged to use the proofreading symbols listed below for making corrections to material that must be retyped. Mark corrected copy in the margins rather than over the print or between the lines. The symbols were taken from the *U.S. Government Printing Office Style Manual*.

	WHAT IS TO BE DONE	MARGINAL NOTATION Showing WHAT is to be done	NOTATION IN TEXT Showing WHERE it is to be done	ILLUSTRATION	
PUNCTUATION	Insert period.....	⊙	^ or /	(Margin) ⊙ press ^ The possible explanation	
	Insert comma.....	^	^ or /	^	However / the necessity of a
	Insert apostrophe.....	v	^ or /	v	purely printers ^ errors, and
	Insert colon.....	⊙	^ or /	⊙	of the following ^ pencils, pens, rulers,
	Insert semicolon.....	;/	^ or /	;/	other days / there is no reason
	Insert quotation marks.....	" or "	^ or /	" "	The word ^ not ^ was omitted by
	Insert hyphen.....	- /	^ or /	- /	open to non ^ Government members only.
	Insert question mark.....	? /	^ or /	? /	how will they know / That is the best
	Insert exclamation point.....	! /	^ or /	! /	a terrific climax / Naturally, we will
	Insert parentheses.....	()	^ or /	()	on Page 37 ^ where indicated ^ insert the
	Insert brackets.....	[]	^ or /	[]	These ^ the free-silver models ^ are great
	Insert en dash.....	(en)	^ or /	(en)	employee ^ referred questions
	Insert em dash.....	(em)	^ or /	(em)	opinion ^ their experience will
SPACING	Space evenly.....	✓✓✓	^	✓✓✓	I have ^ talked with ^ many ^ persons
	Insert space.....	#	^	#	and almost immediately associated
	Less space.....	(((one unconsciously ^ calls up the image
	Close up entirely.....	()	()	()	may be neces sary, but the
	Take out character and close up.....	()	()	()	they were rather what we expected
	Take out blank line.....	∞		g	with considerable regularity were previously
	Insert blank line.....	>	>	>	used on the wrong type of equipment
				naturally could not be responsible for the entire completion of the project	

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Exhibit 2 (continued)

WHAT IS TO BE DONE		MARGINAL NOTATION Showing WHAT is to be done	NOTATION IN TEXT Showing WHERE it is to be done	ILLUSTRATION
POSITION CHANGE	Move to left.....	[○	(Margin) E — Life Underwriting
	Move to right.....]	○	Life Underwriting —]
	Lower.....	⌞	⌞	Supply Department
	Raise.....	⌞	⌞	Supply Department
	Paragraph.....	¶	∧	and of everything. [∧] It was
	No paragraph.....	no ¶	none	no ¶ cannot be transferred. A new call must be made
	Transpose letters or words.....	tr	~	tr When the branch meeting conf er es,
TYPE	Change style of type (wrong font).....	wf	○	wf or could just use the existing <u>format</u>
	Set in capitals.....	caps	≡	caps the <u>major</u> provisions of the contract
	Set in small capitals.....	s.c.	≡	s.c. the <u>MAJOR</u> provisions of the contract
	Set in lower case.....	l.c.	/	l.c. the <u>lower</u> half of the region
	Set in italic.....	ital	—	ital the <u>lower</u> half of the region
	Set in bold face.....	bf	≡	bf the <u>lower</u> half of the region
	Set in bold face italic.....	bf ital	≡	bf ital the <u>lower</u> half of the region
DELETION	Take out; delete.....	∞	○	∞ emphasized this <u>his</u> point in a memorandum
	Take out character and close up.....	∞	∞	∞ emphasized <u>his</u> point in a memorandum
REINSTATEMENT	Retain crossed-out word or letter; let it stand.....	stet	—	stet that a complete survey can be conducted
	Retain only crossed-out words under which dots appear.....	stet	stet when and how removed from the core

Exhibit 3

Membership and Addresses of NRC Oversight Committees

The new 107th Congress has now completed its organization.

In the Senate, the Committee on Environment and Public Works exercises jurisdiction over domestic nuclear regulatory activities. Within the committee, the Subcommittee on Transportation, Infrastructure, and Nuclear Safety has been delegated responsibility for legislation and oversight related to the Nuclear Regulatory Commission.

In the House, the Committee on Energy and Commerce exercises jurisdiction over domestic nuclear regulatory activities. Within the committee, the Subcommittee on Energy and Air Quality has been delegated responsibility for legislation and oversight related to the NRC.

These two subcommittees have jurisdiction over authorizing legislation for the NRC and constitute the agency's principal oversight subcommittees. The Commission is obliged under the Atomic Energy Act of 1954 to keep these two subcommittees, as the successors to the Joint Committee on Atomic Energy, "fully and currently informed" of its activities.

In addition to our two authorizing subcommittees, there are a number of other congressional subcommittees having jurisdiction over some aspect of NRC activities. The most important of these are listed below under subject matter.

- (1) **Appropriations**—The NRC's annual appropriations are included in the annual appropriations bill for energy and water development activities. This bill is prepared by the Subcommittees on Energy and Water Development of the House and Senate Appropriations Committees. Each year the NRC presents its annual appropriations request to these subcommittees and, from time to time, responds to specific inquiries from them. The NRC also is obliged to meet whatever reporting requirements are included in the annual appropriations bill or in the committee reports that accompany the bill. While the NRC does not routinely provide these subcommittees with all of the information provided the two authorizing subcommittees, these two subcommittees expect to be kept fully informed of major Commission actions and initiatives.
- (2) **International Affairs**—Matters concerning the international aspects of atomic energy are under the jurisdiction of the Senate Committee on Foreign Relations and the House Committee on International Relations. In the Senate, the Committee on Governmental Affairs shares responsibilities with the Committee on Foreign Relations for the "organization and management of United States nuclear export policy." Correspondence relating to nuclear exports and international safeguards should be sent to the House Committee on International Relations and to the Senate Committees on Foreign Relations and on Governmental Affairs.

Exhibit 3 (continued)

- (3) **General Government Operations**—Both the House and Senate have separate committees on Government operations. These committees have limited legislative authority (principally over Government reorganizations and the creation of new Government activities at all levels with a view of determining its economy and efficiency). They have the duty of receiving and examining all reports of the General Accounting Office (GAO), as well as comments on the reports. All agency comments on GAO reports are to be transmitted to the House Committee on Government Reform and the Senate Committee on Governmental Affairs.

The following revised list reflects changes in memberships and addresses of the principal committees of Congress with which the NRC routinely communicates. It supersedes the lists provided in the July 17, 2001, update to Management Directive 3.57. Since changes in subcommittee staff occur with some frequency, mailing labels (with the appropriate “Attention” lines directed to subcommittee staffers) will be prepared by the Office of Congressional Affairs.

Principal Oversight Committees

The Honorable Harry Reid, Chairman
Subcommittee on Transportation, Infrastructure,
and Nuclear Safety
Committee on Environment and Public Works
United States Senate
Washington, DC 20510

cc: Senator James M. Inhofe

The Honorable Joe Barton, Chairman
Subcommittee on Energy and Air Quality
Committee on Energy and Commerce
United States House of Representatives
Washington, DC 20515

cc: Representative Rick Boucher

The following subcommittees have frequent interface with NRC and, depending on the subject matter (appropriations, international affairs, research, etc.), should be kept informed of significant NRC actions and activities:

Exhibit 3 (continued)

The Honorable Sonny Callahan, Chairman
Subcommittee on Energy and Water Development
Committee on Appropriations
United States House of Representatives
Washington, DC 20515

cc: Representative Peter J. Visclosky

The Honorable Harry Reid, Chairman
Subcommittee on Energy and Water Development
Committee on Appropriations
United States Senate
Washington, DC 20510

cc: Senator Pete V. Domenici

The Honorable Roscoe Bartlett, Chairman
Subcommittee on Energy
Committee on Science
United States House of Representatives
Washington, DC 20515

cc: Representative Lynn Woolsey

The Honorable Henry Hyde, Chairman
Committee on International Relations
United States House of Representatives
Washington, DC 20515

cc: Representative Tom Lantos

The Honorable Joseph R. Biden, Jr., Chairman
Committee on Foreign Relations
United States Senate
Washington, DC 20510

cc: Senator Jesse Helms

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Exhibit 3 (continued)

The Honorable Joseph I. Lieberman, Chairman
Committee on Governmental Affairs
United States Senate
Washington, DC 20510

cc: Senator Fred Thompson

The Honorable Dan Burton, Chairman
Committee on Government Reform
United States House of Representatives
Washington, DC 20515

cc: Representative Henry Waxman

As with other official NRC communications with Congress, all correspondence with these committees should be forwarded through the Office of Congressional Affairs for clearance and dispatch, with the exception of matters under the purview of the Inspector General. Correspondence should be prepared for the signature of the Chairman, the Executive Director for Operations, or the Director, Office of Congressional Affairs.

Exhibit 3 (continued)
(Sample Letter Format)



UNITED STATES
NUCLEAR REGULATORY COMMISSION
WASHINGTON, D.C. 20555-0001

(SAMPLE LETTER FORMAT)

The Honorable James M. Inhofe, Chairman
Subcommittee on Clean Air, Wetlands, Private
Property and Nuclear Safety
Committee on Environment and Public Works
United States Senate
Washington, DC 20510

Dear Mr. Chairman:

XX
XX.
XX.

Sincerely,

XXXXXXXXXXXXXXXXXXXX
XXXXXXXXXXXXXXXXXXXX

Enclosure: (If there is one)
As Stated

cc: Senator Bob Graham

Exhibit 4

Forms of Address for Congressional Members, Government Officials, and Other Officials

A. General

1. The forms of address, salutation, and complimentary close given in this exhibit are the conventional forms in general use. They may be varied under certain conditions, for example “The Honorable” may be replaced by a title such as “General,” “Dr.,” or “His Excellency,” as appropriate. All Presidential appointees and Federal and State elected officials are addressed as “The Honorable.” As a general rule, county and city officials, except mayors, are not addressed as “The Honorable.” A person once entitled to “Governor,” “Judge,” “General,” “The Honorable,” “His Excellency,” or a similar distinctive title may retain the title throughout his lifetime. In salutations to persons in positions that may be held by men or women, only the title for men is shown in examples given. When a woman occupies the position, the title “Madam” is substituted for “Mr.” before such formal terms as “President,” “Vice President,” “Chairman,” “Secretary,” “Ambassador,” and “Minister.” Use the title “Senator” for a female Member of the Senate and “Congresswoman” for a female Member of the House of Representatives.
2. Observe the following general rules when addressing communications to individuals by name and/or title.
 - a. Use open punctuation in addresses.
 - b. Use figures for numbered addresses and for numbered streets designated by the ordinals beginning with 10th. Spell out numbered streets designated by ordinals below 10th.
 - c. Spell out all titles in the address except “Dr.,” “Mr.,” “Mrs.” Do not use two titles with the same meaning with one name; for example, use “Dr. Paul White” or “Paul White, M.D.” but not “Dr. Paul White, M.D.”
 - d. Use “Mr.” with the name if it is not known whether the addressee is a man or woman.
 - e. Use “Ms.” if unsure whether to use “Mrs.” or “Miss” or if it is known to be a preference.
 - f. Use personal preference, if known. In some cases, the person holding a Ph.D. degree prefers to be addressed as “Dr. (full name),” rather than as “The Reverend,” “Dean,” “Professor,” etc.
- B. The following list shows the address element and salutation and complimentary close as “The Reverend,” “Dean,” “Professor,” etc.

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Exhibit 4 (continued)

Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
THE WHITE HOUSE		
The President	The President The White House Washington, DC 20500	Dear Mr. President: Respectfully,
Wife of the President	Mrs. (full name) The White House Washington, DC 20500	Dear Mrs. (surname): Sincerely,
THE VICE PRESIDENCY		
The Vice President	The Vice President United States Senate Washington, DC 20510	Dear Mr. Vice President: Sincerely,
The President of the Senate	The Honorable (full name) President of the United States Senate Washington, DC 20510	Dear Mr. President: Sincerely,
THE FEDERAL JUDICIARY		
The Chief Justice	The Chief Justice of the United States The Supreme Court of the United States Washington, DC 20543	Dear Mr. Chief Justice: Sincerely,
Associate Justice	The Justice (surname) The Supreme Court of the United States Washington, DC 20543	Dear Mr. Justice: Sincerely,
Presiding Justice	The Honorable (full name) Presiding Justice (Name of Court) (Local address) (Zip Code)	Dear Mr. Justice: Sincerely,
Judge of a Court	The Honorable (full name) Judge of the (name of court; if a U.S. district court, give district) (Local address) (Zip Code)	Dear Judge (surname): Sincerely,
Clerk of a Court	Mr. (full name) Clerk of the (name of court; if a U.S. district court, give district) (Local address) (Zip Code)	Dear Mr. (surname) Sincerely,

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Exhibit 4 (continued)

Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
THE CONGRESS		
Chairman of a Joint Committee	The Honorable (full name) Chairman, Joint Committee on (name) Congress of the United States Washington, DC*	Dear Mr./Madam Chairman: Sincerely,
United States Senator	The Honorable (full name) United States Senate Washington, DC 20510 or The Honorable (full name) United States Senator (Local address) (Zip Code)	Dear Senator (surname): Sincerely,
Committee Chairman, United States Senate	The Honorable Chairman, Committee on (name) United States Senate Washington, DC 20510	Dear Mr. Chairman: Sincerely,
Subcommittee Chairman United States Senate	The Honorable (full name) Chairman, Subcommittee on (name) (Name of parent committee) United States Senate Washington, DC 20510	Dear Mr. Chairman: Sincerely,
United States Representatives	The Honorable (full name) United States House of Representatives Washington, DC 20515 or The Honorable (full name) Member, United States House of Representatives (Local address) (Zip Code)	Dear Congressman (surname): or Dear Congresswoman (surname): Sincerely,
Committee Chairman House of Representatives	The Honorable (full name) Chairman, Committee on (name) United States House of Representatives Washington, DC 20515	Dear Mr. Chairman: Sincerely,

*If Senator, use 20510; if Representative, use 20515.

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Exhibit 4 (continued)

Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
THE CONGRESS (continued)		
Subcommittee Chairman, House of Representatives	The Honorable (full name) Chairman, Committee on (name) (Name of parent committee) United States House of Representatives Washington, DC 20515	Dear Mr. Chairman: Sincerely,
Speaker of the House of Representatives	The Honorable (full name) Speaker of the United States House of Representatives Washington, DC 20515	Dear Mr. Speaker: Sincerely,
EXECUTIVE DEPARTMENTS		
Members of the Cabinet addressed as "Secretary"	The Honorable (full name) Secretary of (name of Department) Washington, DC (Zip Code)	Dear Mr. Secretary: Sincerely,
Attorney General (Head of Department of Justice)	The Honorable (full name) Attorney General Washington, DC 20530	Dear Mr./Madam Attorney General (surname): Sincerely,
Deputy Secretaries, Assistants, or Under Secretaries	The Honorable (full name) Deputy Secretary of (name of Department) Washington, DC (Zip Code) or	Dear Mr. (surname): Sincerely,
Deputy Secretaries, Assistants, or Under Secretaries	The Honorable (full name) Assistant Secretary of (name of Department) Washington, DC (Zip Code) or The Honorable (full name) Under Secretary of (name of Department) Washington, DC (Zip Code)	
Office of Management and Budget	The Honorable (full name) Director, Office of Management and Budget Washington, DC (Zip Code)	Dear Mr. (surname): Sincerely,

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Exhibit 4 (continued)

Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
LEGISLATIVE AGENCIES		
Librarian of Congress (Head of Library of Congress)	The Honorable (full name) Librarian of Congress Library of Congress Washington, DC (Zip Code)	Dear Mr. (surname): Sincerely,
Comptroller General of the United States	The Honorable (full name) Comptroller General of the United States General Accounting Office Washington, DC 20548	Dear Mr. (surname): Sincerely,
Public Printer (Head of the U.S. Government Printing Office)	The Honorable (full name) Public Printer U.S. Government Printing Office Washington, DC 20401	Dear Mr. (surname): Sincerely,
INDEPENDENT AGENCIES		
United States Postal Service- Postmaster General	The Honorable (full name) (Title), (Name of agency) Washington, DC 20260	Dear Mr. Postmaster General: Sincerely,
Head of a Federal Agency, Authority, or Board	The Honorable (full name) (Title) (Name of agency) Washington, DC (Zip Code)	Dear Mr. (surname): Sincerely,
Head of a major organization within an agency (if the official is appointed by the President)	The Honorable (full name) (Title), (Name of organization) (Name of agency) Washington, DC (Zip Code)	Dear Mr. (surname): Sincerely,
President of a Commission	The Honorable (full name) President, (Name of commission) Washington, DC (Zip Code)	Dear Mr. (surname): Sincerely,
Chairman of a Commission	The Honorable (full name) Chairman, (Name of commission) Washington, DC (Zip Code)	Dear Mr. (surname): Sincerely,
Member of a Commission	The Honorable (full name) Member, (Name of commission) Washington, DC (Zip Code)	Dear Mr. (surname): Sincerely,
Chairman of a Board	The Honorable (full name) Chairman, (Name of board) Washington, DC (Zip Code)	Dear Mr. (surname): Sincerely,

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Exhibit 4 (continued)

Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
AMERICAN DIPLOMATIC MISSIONS ABROAD		
American Ambassador	The Honorable (full name) American Ambassador (City), (Country)	Sir: Very truly yours, (formal) Dear Mr. Ambassador: Sincerely, (informal)
American Ambassador (with military rank)	(Full rank) (full name) American Ambassador (City), (Country)	Sir: Very truly yours, (formal) Dear Mr. Ambassador: Sincerely, (informal)
American Consul General or American Consul	(Full name) American Consul General (or American Consul) (City), (Country)	Dear Mr. (surname): Sincerely,
MISSIONS TO THE UNITED STATES		
Foreign Ambassador in the United States	His Excellency (full name) Ambassador of (Country) (Local address) (Zip Code)	Excellency: Very truly yours, (formal) Dear Mr. Ambassador: Sincerely, (informal)
Foreign Minister in the the United States	The Honorable (full name) Minister of (Country)	Sir: Very truly yours, (formal) Dear Mr. Charge d’Affaires: Sincerely, (informal)
THE ORGANIZATION OF AMERICAN STATES		
United States Representative on the Council of the Organization of American States	The Honorable (full name) United States Representative on the Council of the Organization of American States Department of State Washington, DC (Zip Code)	Sir: Very truly yours, (formal) Dear Mr. (Dr.) (surname): Sincerely,

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Exhibit 4 (continued)

Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
UNITED NATIONS		
<p>Communications to the United Nations are addressed to the United States Representative to the United Nations, through the Department of State. Exceptions that are sent direct to the United States Representative include those intended for the Economic and Social Council, the Disarmament Commission, the Trusteeship Council, and the Delegation to the General Assembly (when it is in session). Direct communication with the United Nations is inappropriate, unless exceptions arise. When it is necessary, send the communication to the Secretary General of the United Nations through the United States Representative by means of a covering letter.</p>		
Secretary General of the United Nations	His Excellency (full name) Secretary General of the United Nations New York, NY 10017	Excellency: Very truly yours, (formal) Dear Mr. Secretary: Sincerely, (informal)
United States Representative to the United Nations	The Honorable (full name) United States Representative to the United Nations New York, NY 10017	Sir: Very truly yours, (formal) Dear Mr. Ambassador: Sincerely, (informal)
Chairman, United States Delegation to United Nations Military Staff Committee	The Honorable (full name) Chairman, United States Delegation United Nations Military Staff Committee United States Mission to the United Nations New York, NY 10017	Sir: Very truly yours, (formal) Dear Mr. (surname): Sincerely, (informal)
Senior Representative of the United States to the General Assembly of the United Nations	The Honorable (full name) Senior Representative of the United States to the General Assembly of the United Nations New York, NY 10017	Sir: Very truly yours, (formal) Dear Mr. (surname): Sincerely, (informal)

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Exhibit 4 (continued)

Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
STATE AND LOCAL GOVERNMENT		
Governor of a State	The Honorable (full name) Governor of (Name of State) (City), (State) (Zip Code)	Dear Governor (surname): Sincerely,
Lieutenant Governor	The Honorable (full name) Lieutenant Governor of (Name of State) (City), (State) (Zip Code)	Dear Mr. (surname): Sincerely,
Attorney General of a State	The Honorable (full name) Attorney General State of (Name) (City), (State) (Zip Code)	Dear Mr. Attorney General: Sincerely,
State Senator	The Honorable (full name) (Name of State) Senate (City), (State) (Zip Code)	Dear Mr. (surname): Sincerely,
State Representative, Assemblyman, or Delegate	The Honorable (full name) (Name of State) House of Representatives (or Assembly or House of Delegates)* (City), (State) (Zip Code)	Dear Mr. (surname): Sincerely,
Mayor	The Honorable (full name) Mayor of (name of City) (City), (State) (Zip Code)	Dear Mayor (surname): Sincerely,
President of a Board of Commissioners	The Honorable (full name) President, Board of Commissioners of (name of City) (City), (State) (Zip Code)	Dear Mr. (surname): Sincerely,

*In most States, the lower branch of the legislature is the House of Representatives. In some States, such as California, New York, New Jersey, Nevada, and Wisconsin, the lower house is known as the Assembly. In others, such as Maryland, Virginia, and West Virginia, it is known as the House of Delegates. Nebraska has a one house legislature. Its members are classed as Senators.

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Exhibit 4 (continued)

Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
ECCLESIASTICAL ORGANIZATIONS		
Minister, Pastor, or Rector (with doctoral degree)	The Reverend (full name) (Title), (Name of church) (Local address) (Zip Code)	Dear Dr. (surname): Sincerely,
Minister, Pastor, or Rector (without doctoral degree)	The Reverend (full name) (Title), (Name of church) (Local address) (Zip Code)	Dear Mr. (surname): Sincerely,
Rabbi (with doctoral degree)	Rabbi (full name) (Local address) (Zip Code)	Dear Dr. (surname): or Dear Rabbi (surname): Sincerely,
Rabbi (without doctoral degree)	Rabbi (full name) (Local address) (Zip Code)	Dear Rabbi (surname): Sincerely,
Catholic Cardinal	His Eminence (Christian name) Cardinal (surname) Archbishop of (diocese) (Local address) (Zip Code)	Your Eminence: (formal) Dear Cardinal (surname): Sincerely, (informal)
Catholic Archbishop	The Most Reverend (full name) Archbishop of (diocese) (Local address) (Zip Code)	Your Excellency: (formal) Dear Archbishop (surname): Sincerely, (informal)
Catholic Bishop	The Most Reverend (full name) Bishop of (diocese) (Local address) (Zip Code)	Your Excellency: (formal) Dear Bishop (surname): Sincerely, (informal)
Catholic Monsignor (higher rank)	The Right Reverend Monsignor (full name) (Local address) (Zip Code)	Right Reverend Monsignor: (formal) Dear Monsignor (surname): Sincerely, (informal)
Catholic Monsignor (lower rank)	The Very Reverend Monsignor (full name) (Local address) (Zip Code)	Very Reverend Monsignor: (formal) Dear Monsignor (surname): Sincerely, (informal)
Catholic Priest	The Reverend (full name) (add initials of order, if any) (Local address) (Zip Code)	Reverend Sir: (formal) Dear Father (surname): Sincerely, (informal)

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Exhibit 4 (continued)

Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
ECCLESIASTICAL ORGANIZATIONS (continued)		
Catholic Mother Superior of an Institution	Mother (name), (initials of order, if used) Superior, (name of institution) (Local address) (Zip Code)	Dear Mother (name): Sincerely,
Catholic Sister	Sister (full name) (Name of organization) (Local address) (Zip Code)	Dear Sister (full name): Sincerely,
Catholic Brother	Brother (full name) (Name of organization) (Local address) (Zip Code)	Dear Brother (given name): Sincerely,
Mormon Bishop	Bishop (full name) Church of Jesus Christ of Latter-day Saints (Local address) (Zip Code)	Sir: (formal) Dear Bishop (surname): Sincerely, (informal)
Protestant Episcopal Bishop	The Right Reverend (full name) Bishop of (name) (Local address) (Zip Code)	Right Reverend Sir: (formal) Dear Bishop (surname): Sincerely, (informal)
Protestant Episcopal Dean	The Very Reverend (full name) Dean of (church) (Local address) (Zip Code)	Very Reverend Sir: (formal) Dear Dean (surname): Sincerely, (informal)
Methodist Bishop	The Reverend (full name) Methodist Bishop Local address) (Zip Code)	Reverend Sir: (formal) Dear Bishop (surname): Sincerely, (informal)
Chaplain (military services)	Chaplain (full name) (Rank, service designation) (Post office address of organization and station) (Local address) (Zip Code)	Dear Chaplain (surname): Sincerely,

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Exhibit 4 (continued)

Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
MILITARY SERVICES		
(Written forms of address are the same for women officers as for their male counterparts)		
Retired Officer	(Full grade or rate) (Name) (Abbreviation of service* designation), Retired (Local address) (Zip Code)	Dear (rank or rate) (surname): Sincerely,
Army, Air Force, Marine Corps		
General, Lieutenant General, Major General, Brigadier General	(Full grade, name, and abbreviation of service* designation) (Retired is added if applicable) (Title and complete address) (Zip Code)	Dear General (surname): Sincerely,
Colonel, Lieutenant Colonel	(Full grade, name, and abbreviation of service* designation) (Retired is added if applicable) (Title and complete address) (Zip Code)	Dear Colonel (surname): Sincerely,
Major	(Same as above)	Dear Major (surname): Sincerely,
Captain	(Same as above)	Dear Captain (surname): Sincerely,
First Lieutenant, Second Lieutenant	(Same as above)	Dear Lieutenant (surname): Sincerely,
Navy, Coast Guard		
Admiral, Vice Admiral, Rear Admiral	(Full grade) (name) (Abbreviation of service* designation), (Post office address of organization and station) (Zip Code)	Dear Admiral (surname): Sincerely,
Commodore	(Same as above)	Dear Commodore (surname): Sincerely,
Captain	(Same as above)	Dear Captain (surname): Sincerely,
Commander	(Same as above)	Dear Commander (surname): Sincerely,

*Branches of Military Services: United States Army (USA), United States Navy (USN), United States Air Force (USAF), United States Marine Corps (USMC), United States Coast Guard (USCG).

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Exhibit 4 (continued)

Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
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MILITARY SERVICES (continued)

(Written forms of address are the same for women officers as for their male counterparts)

Navy, Coast Guard (continued)

Lieutenant Commander	(Same as above)	Dear Lieutenant Commander (surname); or Dear Mr. (surname): Sincerely,
Lieutenant (junior grade)	(Same as above)	Dear Lieutenant (junior grade) (surname); or Dear Mr. (surname): Sincerely,
Ensign	(Same as above) (Abbreviation of service* designation) (Post office address of organization and station) (Zip Code)	Dear Ensign (surname): Sincerely,

CORPORATIONS, COMPANIES, AND FEDERATIONS

A company or a corporation	(Name of company or corporation) (Local address) (Zip Code)	Gentlemen (or Sirs): Sincerely,
A federation	(Name of official) (Title, name of federation) (Local address) (Zip Code)	Dear Mr. (surname): Sincerely,

PRIVATE CITIZENS

President of a University or a College (with doctoral degree)	Dr. (full name) President, (Name of institution) (Local address) (Zip Code)	Dear Dr. (surname): Sincerely,
President of a University or a College (without doctoral degree)	Mr. (full name) President, (Name of institution) (Local address) (Zip Code)	Dear Mr. (surname): Sincerely,
Dean of a school (with doctoral degree)	Dr. (full name) Dean, School of (name) (Name of institution) (Local address) (Zip Code)	Dear Dr. (surname): Sincerely,

*Branches of Military Services: United States Army (USA), United States Navy (USN), United States Air Force (USAF), United States Marine Corps (USMC), United States Coast Guard (USCG).

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Exhibit 4 (continued)

Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
PRIVATE CITIZENS (continued)		
Dean of a school (without doctoral degree)	Dean (full name) School of (name) (Name of institution) (Local address) (Zip Code)	Dear Dean (surname): Sincerely,
Professor (with doctoral degree)	Dr. or Professor (full name) Department of (name) (Name of institution) (Local address) (Zip Code)	Dear Dr. (surname): or Dear Professor (surname): Sincerely,
Professor (without doctoral degree)	Professor (full name) Department of (name) (Name of institution) (Local address) (Zip Code)	Dear Professor (surname): Sincerely,
Associate Professor or Assistant Professor	Mr. (full name) Associate (or Assistant) Professor Department of (name) (Name of institution) (Local address) (Zip Code)	Dear Professor (surname): Sincerely,
Physician	(Full name), MD (Local address) (Zip Code)	Dear Dr. (surname): Sincerely,
Lawyer	Mr. (full name) Attorney at Law (Local address) (Zip Code) or (Full name), Esq. (Local address) (Zip Code)	Dear Mr. (surname): Sincerely,
One individual	Mr. (full name)* Mrs. (full name) Miss (full name) Ms. (full name)** (Local address) (Zip Code)	Dear Mr. (surname): Dear Mrs. (surname): Dear Miss (surname): Dear Ms. (surname): Sincerely,

*Use the title Mr. when it is not known from the name whether the addressee is a man or a woman.

**When addressing communications to a woman by name and it is not known whether the addressee is Miss or Mrs., the title "Ms." without marital designation will be used.

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Exhibit 4 (continued)

Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
PRIVATE CITIZENS (continued)		
Widow	Mrs. (husband's first name,* last name) (Local address) (Zip Code)	Dear Mrs. (surname): Sincerely,
	or	
	Mrs. (wife's first name, last name) (Local address) (Zip Code)	Dear Mrs. (surname): Sincerely,
Two or more men	Mr. (full name) and Mr.** (full name)	Gentlemen:
	or	Sincerely,
	Messrs. (full name) and (full name) (Local address) (Zip Code)	
Two or more women	Mrs. (full name) and Mrs.** (full name)	Ladies:
	(Local address) (Zip Code)	Sincerely,

*The second form is generally used for a married woman who is separated from her husband or for a married woman or widow who has so signed.
**A letter to two or more persons may be addressed as illustrated, or to only one of them when the other is mentioned by name in the opening paragraph.

Exhibit 5 Two-Letter State and Possession Abbreviations

Use the abbreviations listed below when addressing mail. By using the two-letter State abbreviations, it is possible to enter city, State, five-digit ZIP Code (or ZIP + 4 code) on the last line of address within 28 positions when necessary: 13 positions for city, 1 space between city and State abbreviation, 2 positions for State, 2 spaces (preferred) between State and ZIP Code, and 10 positions for ZIP + 4 code.

Alabama	AL	Montana	MT
Alaska	AK	Nebraska	NE
American Samoa	AS	Nevada	NV
Arizona	AZ	New Hampshire	NH
Arkansas	AR	New Jersey	NJ
California	CA	New Mexico	NM
Colorado	CO	New York	NY
Connecticut	CT	North Carolina	NC
Delaware	DE	North Dakota	ND
District of Columbia	DC	Northern Mariana Islands	MP
Federated States of Micronesia	FM	Ohio	OH
Florida	FL	Oklahoma	OK
Georgia	GA	Oregon	OR
Guam	GU	Palau	PW
Hawaii	HI	Pennsylvania	PA
Idaho	ID	Puerto Rico	PR
Illinois	IL	Rhode Island	RI
Indiana	IN	South Carolina	SC
Iowa	IA	South Dakota	SD
Kansas	KS	Tennessee	TN
Kentucky	KY	Texas	TX
Louisiana	LA	Utah	UT
Maine	ME	Vermont	VT
Marshall Islands	MI	Virginia	VA
Maryland	MD	Virgin Islands	VI
Massachusetts	MA	Washington	WA
Michigan	MI	West Virginia	WV
Minnesota	MN	Wisconsin	WI
Mississippi	MS	Wyoming	WY
Missouri	MO		