U.S. NUCLEAR REGULATORY COMMISSION MANAGEMENT DIRECTIVE (MD)

MD 3.57	CORRESPONDENCE MANAGEMENT	DT-11-20
Volume 3,	Information Management	
Part 2:	Records Management	
Approved by:	R. W. Borchardt Executive Director for Operations	
Date Approved:	November 8, 2011	
Expiration Date:	November 8, 2016	
Issuing Office:	Office of the Executive Director for Operations	
Contact Name:	Administrative and Correspondence Staff 301-415-1718	

EXECUTIVE SUMMARY

Directive and Handbook 3.57 have been revised to (1) update current office titles and organizational responsibilities and delegations of authority, (2) update examples of correspondence, and (3) eliminate reference to specific types of agency software.

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I. POLICY

The policy of the U.S. Nuclear Regulatory Commission requires that all official correspondence conform to the policies, standards, and procedures of this directive and handbook.

II. OBJECTIVES

- Ensure that correspondence is consistent with agency and programmatic policy.
- Produce accurate correspondence.
- Ensure that staff writes correspondence in plain language, consistent with the NRC Plain Language Action Plan and Plain Writing Act, so that it is accurate, clear, and concise.
- Establish procedures for preparing and handling NRC correspondence in both paper and electronic environments.
- Establish procedures for identifying by the source, subject matter, or sensitivity of incoming correspondence whether it requires expeditious handling as controlled correspondence.
- Produce correspondence that is uniform in style and format.
- Implement Federal and NRC policies and procedures for managing correspondence.

III. ORGANIZATIONAL RESPONSIBILITIES AND DELEGATIONS OF AUTHORITY

A. Executive Director for Operations (EDO)

Oversees the Correspondence Management Program.

B. Office of the General Counsel (OGC)

Reviews correspondence and other communications referred to OGC by offices reporting to the Commission and to the EDO for legal consideration.

C. Director, Office of Congressional Affairs (OCA)

1. Reviews communications from congressional sources, acknowledges their receipt, and provides guidance to offices assigned action, as necessary, on the nature of required responses.
2. Reviews and concurs in replies to congressional correspondence prepared by NRC offices.
3. Dispatches all mail addressed to Congress.

4. Monitors, as necessary, and concurs in all congressional-related SECY papers before they are distributed to the Commission.
5. Monitors material sent for information purposes to House and Senate committees that have jurisdiction over NRC activities.

D. Office of the Secretary (SECY) of the Commission

1. Receives and reviews 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, assigning these communications action and suspense dates and tracking their status until complete.
2. Receives and reviews all communications addressed to SECY, assigning these communications action and suspense dates and tracking their status until complete.
3. Reviews and controls, as appropriate, staff correspondence prepared at the direction of the Commission.
4. Determines those categories of incoming communications that warrant identification and control as controlled correspondence, and functions as the central point of control for action assignments.
5. Coordinates controlled correspondence referrals to and from Commission-level offices and the Office of the EDO (OEDO), and acts in direct liaison with those offices on related inquiries and status reporting.

E. Office Directors and Regional Administrators

1. Designate a Correspondence Officer from their organization to coordinate controlled correspondence actions and inform the OEDO of any redesignation of an officer.
2. Ensure that the following controlled correspondence originated in their organization is edited by a technical editor or Correspondence Officer (see the definition of technical editing in Section VIII, “Glossary,” of the handbook):
   (a) correspondence going to or responses being sent by the Commission;
   (b) correspondence being signed or concurred on by the OEDO; and
   (c) other complex or sensitive correspondence at the discretion of the office director or the regional administrator.
3. Ensure that the official record copy of letters, memoranda, and other correspondence qualifying as official agency records (OARs) is saved in the appropriate recordkeeping system, such as the Agencywide Documents Access and Management System (ADAMS).
4. Ensure that all OARs are profiled and declared as OARs in ADAMS in accordance with the ADAMS Desk Reference Guide.
5. Ensure that their staff implement this directive and handbook within their areas of responsibility.

6. Ensure that the originator has appropriately indicated the sensitivity of the correspondence and whether it is to be made available to the public, and that it is appropriately marked.
7. Ensure that the correspondence produced under their purview is technically accurate and well-written in plain language so that it is readable.

F. Director, Division of Security Operations (DSO), Office of Nuclear Security and Incident Response (NSIR)

Establishes security classification requirements and requirements for the receipt, handling, control, and transmission of classified correspondence.

G. Director, Division of Administrative Services (DAS), Office of Administration (ADM)

Provides technical editing services for the agency's correspondence as specified in Section III.E.2.

H. Director, Division of Facilities and Security (DFS), ADM

Establishes and monitors security requirements for the receipt, handling, control, and transmission of classified correspondence. Monitors compliance with security requirements for sensitive unclassified correspondence.

I. Administrative and Correspondence Staff (ACS), Office of the Executive Director for Operations (OEDO)

1. Determines and stipulates, in coordination with SECY, requirements and procedures for processing correspondence.
2. Reviews and processes all communications addressed or referred to OEDO.
3. Determines those categories of incoming communications that warrant identification as controlled correspondence.
4. Functions as the central point of control for action assignments within OEDO and for all offices and regions that report to the EDO.
5. Coordinates correspondence referrals to and from SECY and acts as direct liaison with SECY on related inquiries and status reporting.

IV. APPLICABILITY

This directive and handbook apply to all NRC headquarters and regional office employees except the Office of the Inspector General, and NRC boards and advisory committees that report directly to the Commission.

V. HANDBOOK

Handbook 3.57 contains procedures and guidance for preparing NRC correspondence.

VI. REFERENCES

Congressional Directory on the GPO Web site available at http://www.gpoaccess.gov/director/index.html.

Forms of Address on Web Brain Bank Web site available at http://www.cftech.com/BrainBank/.

U.S. Government Printing Office

U.S. Government Printing Office Style Manual, 2008.[1]

U.S. Nuclear Regulatory Commission

Internal Commission Procedures at http://www.nrc.gov/about-nrc/policy-making/internal.html.

Management Directives[2] at http://www.internal.nrc.gov/information-resources.html—

3.1, "Freedom of Information Act."

3.4, "Release of Information to the Public."

3.23, "Mail Management."

3.53, "NRC Records and Document Management Program."

10.159, "The NRC Differing Professional Opinions Program."

12.2, "NRC Classified Information Security Program."

NRC Communications Web site at http://www.internal.nrc.gov/communications/index.html.

NRC Records Management Web site at http://www.internal.nrc.gov/ois/divisions/irsd/records-mgt/index.html.

NUREG-Series Publications[3] at http://www.internal.nrc.gov/information-resources.html—

NUREG-0544, Revision 4, "NRC Collection of Abbreviations."

NUREG-0910, Revision 4, "NRC Comprehensive Records Disposition Schedule."

NUREG-1379, Revision 2, "NRC Editorial Style Guide" (ML093280744).

NUREG/BR-0210, "The ABCs of Better Correspondence."

NUREG/BR-0248, "The Mail Services Center Reference Guide."

NUREG/BR-0273, Revision 4.9, "ADAMS Desk Reference Guide" (ML051110390).

[1] Available on GPO Web site at http://www.gpo.gov.

[2] Available in the Agencywide Documents Access and Management System (ADAMS) or by request to e-mail address DISTRIBUTION.Resource@nrc.gov. Ask for the latest revision.

[3] Available in ADAMS or by request to e-mail address DISTRIBUTION.Resource@nrc.gov. Ask for the latest version.

NRC Plain Language Action Plan at http://www.internal.nrc.gov/NRC/PLAIN/index.html.

OEDO Procedure 0390, “OEDO Expectations for Signature Authority,” issued on January 11, 2011.

"Procedures for Processing EDO and Office of the Secretary of the Commission’s Controlled Correspondence in ADAMS" (ML011560731).

Sensitive Unclassified Non-Safeguards Information (SUNSI) Web site is available at http://www.internal.nrc.gov/sunsi.

Merriam-Webster online dictionary is available at http://www.m-w.com/mw/table/proofread.htm.

Plain Writing Act of 2010 (Pub. L. 111-274).

U.S. Postal Service, U.S. Postal Service Publications—

"A Customer’s Guide to Mailing," available at http://pe.usps.com/text/dmm100/intro.htm.

Publication 5, "Let's Do Business," available at http://www.usps.com/cpim/ftp/pubs/pub5/welcome.htm.

Publication 28, "Postal Addressing Standards," available at http://pe.usps.gov/cpim/ftp/pubs/Pub28/pub28.pdf.

United States Postal Service (USPS) State Abbreviation Web site available at http://www.usps.com/ncsc/lookups/abbreviations.html.

USPS Zip Code Web site available at http://www.usps.com/zip4/.

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I. HANDBOOK OVERVIEW

A. Overview

1. Section I of this handbook presents information to help the staff determine whether a communication qualifies as correspondence, and if it does qualify as correspondence, the type of correspondence and how to handle it. Section I also describes the role of the Agencywide Documents Access and Management System (ADAMS) in the correspondence process.
2. Section II describes the responsibilities for writing and handling correspondence, including the responsibility for signing various types of correspondence.
3. Section III covers writing guidelines and e-mail etiquette, and Section IV covers general procedures for all types of correspondence, including response time frames, and general formatting for all correspondence. Sections V through VII cover procedures for handling specific types of correspondence—Office of the Secretary (SECY) papers, letters, and memoranda. Section VIII defines terms used in Management Directive (MD) 3.57.
4. Review this handbook, become familiar with the definitions, then follow the procedures for the type of correspondence that you are handling.

B. Correspondence Types

For purposes of this handbook, correspondence includes any communication related to agency business. NRC controls official correspondence by assigning a date when the response is due to the controlling office and tracking the incoming correspondence until a response is sent. (See Table 4.1, “Response Time Frames,” in Section IV, “General Procedures for All Types of Correspondence,” of this handbook.)

1. Controlled Correspondence

   (a) Correspondence may become controlled correspondence because of its source, subject matter, sensitivity, urgency, or possible impact on the NRC’s regulatory responsibilities. Controlled correspondence is controlled by SECY or the Office of the Executive Director for Operations (OEDO). High-level NRC officials can originate controlled correspondence in response to substantive matters from the Commission offices reporting directly to the Commission, the Executive Director for Operations (EDO), or the Chief Financial Officer (CFO).

   (b) In addition, controlled correspondence may originate in response to incoming communications regarding substantive matters or substantive complaints from any source, including external entities. In other instances, incoming communications are designated as controlled correspondence because the source may have been from high-level Government entities, the Congress or their staff, heads of Government agencies or their principal assistants; communications regarding NRC policies and procedures from State, local, and Tribal government officials; or from foreign governments and international organizations other than routine information requests.

2. General Correspondence

   General correspondence includes all other correspondence. General correspondence may or may not be controlled, depending on the policy of the organization originating or receiving it. If it is controlled, an office director or a manager below the level of office director controls it. General correspondence includes those e-mail messages related to agency business that do not qualify as controlled correspondence.

3. Supplementary Correspondence

   In addition, NRC uses five types of supplementary communications that may or may not be general correspondence—

   (a) Preprinted Postcards

   Informal acknowledgment and transmittal cards. Some offices that handle a high volume of correspondence and requests use preprinted postcards to acknowledge receipt of correspondence or requests for documents and to transmit requested documents (Figure 1.1, "Preprinted Postcard").

   (b) Notes

   Handwritten or typed information on small letterhead stationery (5½ by 8½ inches). The use of e-mail has made the use of informal notes nearly obsolete. However, if consistent with your office's or region's procedures, the NRC staff may send a note to recipients within or outside NRC that does not require an official record copy (Figure 1.2, "Note Letterhead").

   (c) Routing Slips

   Sheets indicating who is to receive attached documents. Routing slips indicate who is to concur with or sign one or more of the attached documents and may briefly describe or comment on the documents. Since word processing software is used exclusively within NRC, many offices prefer to create and use their own office-specific routing slips (e.g., see Figure 1.3, "Routing Slip," or ADAMS Accession Number ML090910583) rather than use Optional Form 41, which is still available from the NRC Supply Store.

   (d) Telephone Messages

   NRC staff generally uses e-mail or voice mail features to record and forward a telephone message for another member of the NRC staff rather than "Memorandum of Call" (Optional Form 363) pads.

   (e) Notes to File

   Handwritten or typed records of discussions with others either in person or by telephone. Recording your recollections of a discussion for future use is sometimes appropriate. Record these recollections by hand or type them (Figure 1.4, "Note to File").

C. Official Agency Records

1. The content and the correspondents involved dictate whether correspondence is an official agency record (OAR). In general terms, an OAR is any documentary material (in any form) made or received by the Government that provides evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because the material has informational value. As related to correspondence, an OAR refers to incoming and outgoing correspondence in any form, including e-mail messages, faxes, and Electronic Information Exchange (EIE) submissions.
2. For help determining if a specific document is an OAR, access the interactive tool provided on the agency's records management Web site at http://www.internal.nrc.gov/ois/divisions/irsd/records-mgt/index.html. This tool assists individuals with determining whether a document is a record.
3. For additional information on defining records, their retention periods, and release of information to the public, refer to:
   (a) MD 3.1, "Freedom of Information Act"
   (b) MD 3.4, "Release of Information to the Public"
   (c) MD 3.53, "NRC Records and Document Management Program"
   (d) NUREG-0910, "NRC Comprehensive Records Disposition Schedule"
   (e) NUREG/BR-0273, Revision 4.9, "ADAMS Desk Reference Guide"
4. Direct any questions concerning OAR specifications and retention periods to the Office of Information Services, Records and FOIA/Privacy Services Branch.

D. Security

1. Correspondence of any type that contains sensitive unclassified information or classified information is prepared as any other correspondence of the same type except for the handling requirements specified in MD 12.2, "NRC Classified Information Security Program," and on the Sensitive Unclassified Non-Safeguards Information (SUNSI) Web site at http://www.internal.nrc.gov/sunsi.
2. No allegations, investigations, classified information, or Safeguards Information (SGI) is entered into ADAMS. Although sensitive unclassified information is entered into ADAMS, this information is not available to the public. The SUNSI Web site describes the requirements for handling this information.

E. The Agencywide Documents Access and Management System (ADAMS)

1. ADAMS is an electronic document management and recordkeeping system that maintains official records of the agency. The staff uses ADAMS not only to organize, process, and manage documents but also as a reference tool to search and retrieve agency records. ADAMS also disseminates publicly available records to the agency's public Web site.

2. The ADAMS internal Web pages and the "ADAMS Desk Reference Guide" (NUREG/BR–0273, Revision 4.9) (ML051110390) provide information for using ADAMS. See especially Chapter 9, "Preparing Final Documents for ADAMS."

3. To enter correspondence into ADAMS, follow the instructions in the "ADAMS Desk Reference Guide" (NUREG/BR–0273, Revision 4.9) (ML051110390), adhering to your own office's procedures and appropriate templates for use of ADAMS.

   (a) If adding electronic files of correspondence using your personal computer, follow Chapter 6, "Adding NRC-Generated Documents to ADAMS," in the "ADAMS Desk Reference Guide" (NUREG/BR–0273, Revision 4.9) (ML051110390).

   (b) Otherwise, follow the procedures contained in the "ADAMS Document Submission Guidelines, Step-by-Step Instructions" (ML010390040) for processing by the Document Processing Center (DPC). Regional employees should contact their Director of Resource Management and Administration (DRMA) for procedures established for their specific region.

4. NRC employees are provided an agencywide basic information technology (IT) infrastructure that includes the agency's official word processing software - Microsoft Word. Other word processing software packages are not currently considered part of the agencywide basic IT infrastructure, and staff should not use other software to prepare documents to be reviewed or approved by OEDO. Documents should be prepared using Microsoft Word in order to facilitate their review by OEDO and other offices.

5. All correspondence sent to or through OEDO must first be entered into ADAMS. Refer to "Procedures for Processing EDO and Office of the Secretary of the Commission's Controlled Correspondence in ADAMS" (ML011560731). These procedures cover correspondence addressed to the Chairman, the Commission, the EDO, the Deputy Executive Directors for Operations (DEDOs), or the Assistant for Operations, except for correspondence containing information designated as SGI. See also MD 3.4, "Release of Information to the Public," if entering incoming correspondence into ADAMS.

6. To submit paper copies to the DPC at the time of document finalization and readiness for dispatch, office staff will use NRC Form 665S for single documents (ML020170281) and NRC Form 665P for multiple documents to be assembled into one package (ML020170279). Assign the DPC owner rights to the document; copy and paste the document into one of the ADAMS DPC Processing folders in the Main Library for finalization.

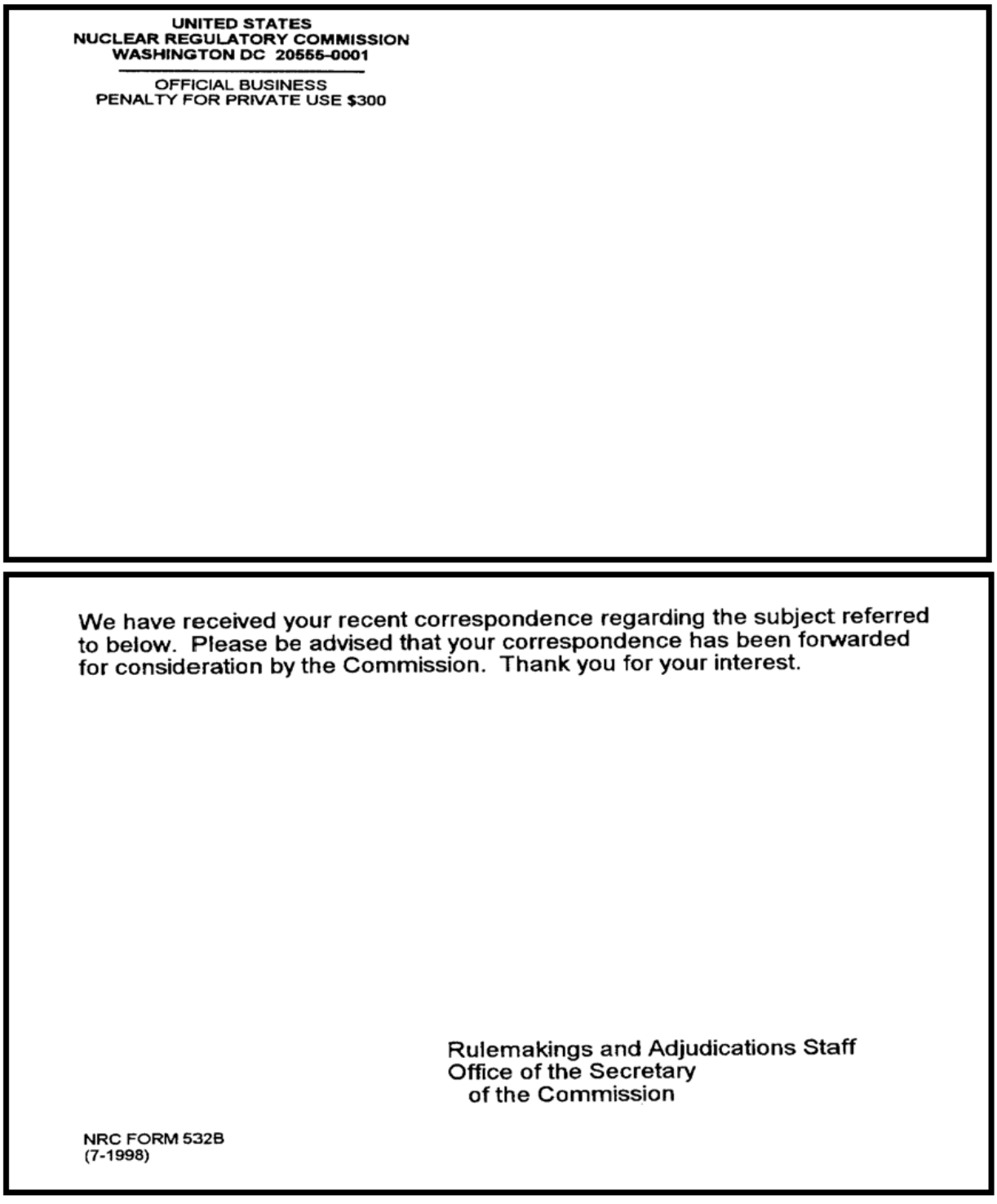


Figure 1.1
Preprinted Postcard

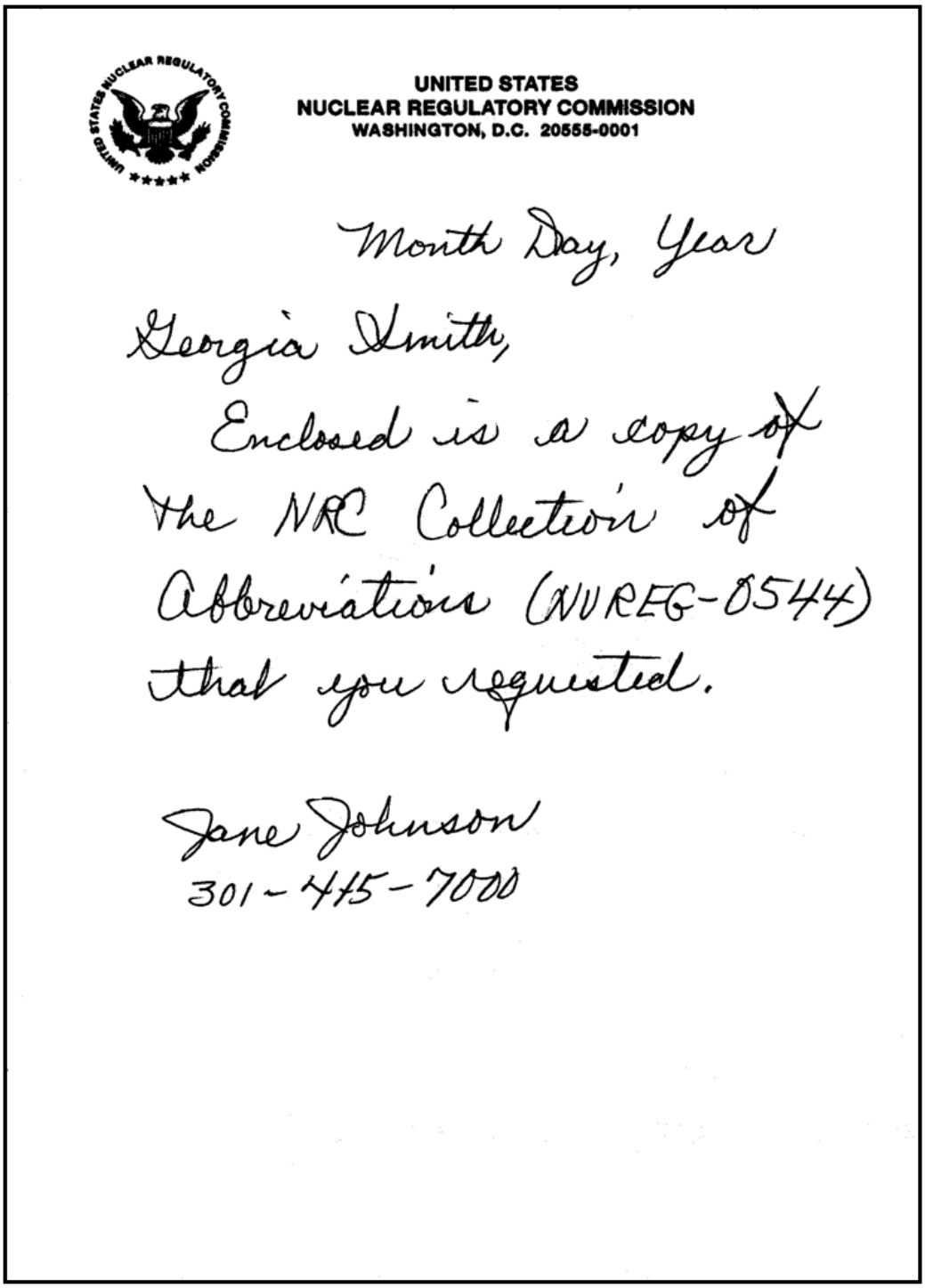


Figure 1.2
Note Letterhead

OIS ROUTING SLIP

Date:
Document Title:
ADAMS Accession No.:

Author completes items 1-4.
1. ❑ Document edited (Applies to documents going to the Commission or outside the agency. Send to e-mail address QTE.)
2. ❑ *Fully complete* NRC Form 665 (ADAMS Document Submission).
3. ❑ Include appropriate background material with document, such as, incoming correspondence or copy of OCIO orange ticket. Give this information to the ISA/Secretary who will prepare the documents. Provide electronic versions if available.
4. ❑ Give document to appropriate ISA/Secretary for review of proper format and ADAMS addition, if applicable.

The ISA/Secretary who receives the initial package, adds to ADAMS, and begins the concurrence process verifies that this document has been through the above process and is now ready to be forwarded to the appropriate individual(s) for concurrence:
❑ ISA/Secretary initials & date ____

Concur √	Sign √	TO: Name	Staff Initials	Date	Office	Location/ MailStop	ISA/Secy Initials (if app)
		1.					
		2.					
		3.					
		4.					
		5.					
		6.					
		7.					
		8.					
	√	9.					

REMARKS/INSTRUCTIONS: *

CONTACT:	OFFICE:	PHONE:	ROOM:	MAILSTOP:
SECRETARY:	OFFICE:	PHONE:	ROOM:	MAILSTOP:

Figure 1.3
Routing Slip

July 14, 2005

Note to File:

While reviewing NRC's Management Directive (MD) 3.57, I found that there was a reference to MD 12.6 that needed to be updated to include the new guidance that a task group is working on concerning Sensitive, Unclassified, Non-Safeguards Information (SUNSI).

I talked to John Smith in OIS and he recommended removing the reference to MD 12.6 and replacing it with the URL address that would link the staff to the guidance on the NRC's internal web. He explained that the Web site would always be updated and we could avoid having to update MD 3.57 in case of any changes in the guidance or clarification. He told me to call Jane Doe in ADM for the URL. She forwarded it to me and we will be putting the URL reference in the new MD 3.57.

Signature

Figure 1.4
Note to File

II. RESPONSIBILITIES FOR WRITING AND HANDLING CORRESPONDENCE

The responsibilities listed in this section apply to all types of correspondence unless otherwise indicated. Signature responsibility for the various types of correspondence is given in Table 2.1, "Signatory Responsibilities."

Table 2.1
Signatory Responsibilities

Signature Unless Otherwise Directed	Type of Correspondence
Chairman	• Correspondence addressed to the Chairman or the Commission from a member of Congress • Correspondence from a cabinet officer or the head of a Government agency or Commission • Correspondence from a high-ranking official of a foreign government agency or commission • Correspondence from a major official of a State government or domestic organization • Correspondence soliciting NRC's position on a substantive matter or requesting establishment of a policy, a legislative position, or budgetary requirements
Commissioner	• Correspondence addressed to a specific Commissioner is prepared for that Commissioner's signature unless otherwise directed
Office of the Secretary (SECY) of the Commission	• SECY acknowledges correspondence with the exception of correspondence from Congress, State, local, and Tribal governments
Executive Director for Operations (EDO)	• Correspondence addressed to the EDO unless the response establishes a policy, a legislative position, or budgetary requirements that require the Chairman's signature • Correspondence from a member of Congress assigned to the EDO or a member of the EDO's staff • SECY papers prepared by offices reporting to the EDO • Memoranda to the Commission prepared by offices reporting to the EDO
Directors of offices reporting directly to the Commission	• Correspondence addressed to an office director unless the response establishes a policy, a legislative position, or budgetary requirements that require the Chairman's signature • SECY papers prepared by offices reporting to the Commission • Memoranda to the Commission prepared by offices reporting to the Commission • Correspondence from a member of Congress assigned to Commission-level office

Table 2.1
Signatory Responsibilities

Signature Unless Otherwise Directed	Type of Correspondence
Director, Office of Congressional Affairs (OCA)	• Correspondence from a member of Congress (acknowledge within 3 days of receipt) • Correspondence addressed to OCA, except when the response establishes a policy, a legislative position, or budgetary requirements that require the Chairman's signature
Director, Federal and State Materials and Environmental Management Programs	• Correspondence from State and local government officials and Indian Tribe representatives unless the response establishes a policy, a legislative position, or budgetary requirements that require the Chairman's signature (acknowledge within 3 days of receipt)
Directors of all other offices not otherwise specified in this table	• Correspondence from external sources, such as official State, local, or other related organizations
Regional Administrators	• Correspondence to the administrators from external sources, such as official State, local, Tribal or other related organizations
Division Directors	• Correspondence of a routine nature received from external sources as assigned by an office director or a regional administrator
Branch Chiefs	• Correspondence of a routine nature received from external sources as assigned by an office director or a regional administrator
Section Chiefs	Correspondence of a routine nature
Staff	Correspondence of a routine nature

A. The Office of the Secretary (SECY) of the Commission

SECY, which serves the Commission and those offices reporting directly to the Commission, performs the following tasks:

1. Assigns suspense dates to controlled correspondence addressed to the Chairman, the Commission, the Secretary, and, upon request, individual Commissioners and, occasionally, to the EDO and the OCA.
2. Advises the OEDO's Administrative and Correspondence Staff (ACS) of procedural or format changes requested by the Commission or otherwise warranted.
3. Uses a correspondence control ticket (Figure 2.1, "Office of the Secretary Correspondence Control Ticket") to manage its controlled correspondence.
4. Assigns a SECY number to SECY papers (see Section V, "Office of the Secretary (SECY) Papers," of this handbook).
5. Assigns SECY paper suspense dates (due dates).

6. Finalizes in ADAMS SECY papers and correspondence signed by the Chairman.
7. Oversees the reproduction and distribution of all SECY papers.
8. Reproduces and distributes all correspondence for the Commission.

B. The Office of the Executive Director for Operations (OEDO)

The OEDO manages the ACS, who serves the EDO and those offices reporting to the EDO. The ACS is responsible for the following tasks:

1. Requires that each office director or regional administrator designate an office or regional Correspondence Officer to manage and report on correspondence OEDO refers to that office.
2. Develops procedures for handling principal correspondence to supplement and expand on this MD.
3. Ensures that respective offices and divisions under the EDO's purview comply with OEDO's procedures.
4. Tracks correspondence under the EDO's purview.
5. Assigns OEDO due dates.
6. For SECY papers prepared by an office reporting to OEDO, dates the SECY paper being sent to the Commission after the EDO signs it and sends it to the SECY staff.
7. See OEDO Procedure 0390 for additional procedures for office director signature.

C. Office Directors and Regional Administrators

Office Directors and Regional Administrators, as stated in Section II, "Responsibilities for Writing and Handling Correspondence," of this handbook, perform the following tasks:

1. Designate an office or regional Correspondence Officer to handle correspondence under the office's or region's purview.
2. Report to the EDO the name, location, telephone number, and e-mail address of the designated officer and promptly reports any change to this information.
3. Ensure that correspondence is edited by a technical editor or Correspondence Officer before office-level concurrence.
4. Are responsible for oversight and the technical accuracy and overall quality of correspondence under their purview.

D. Office or Regional Correspondence Officers

Office or Regional Correspondence Officers handling EDO-referred correspondence perform the following functions:

1. Establish a system to ensure that correspondence is answered by the due date (that is, the suspense date established by either the Correspondence Officer's office or region, SECY, or OEDO).

2. Ensure that the due date allows adequate time to prepare the reply and obtain necessary concurrences, and at the earliest indication that the due date cannot be met, the staff should follow procedures to request an extension. Offices reporting to the EDO should coordinate any change with the OEDO's ACS staff, who will inform the SECY staff for Commission-controlled correspondence. E-mail extension requests to EDO.ExtensionRequest@nrc.gov. For specific instructions, see the OEDO's Extension Request Process, OEDO Procedure - 0370, "Extension Requests and Transfer of Controlled Items" (ML052710506).
3. Remind staff responsible for the due dates for each response, usually about 5 workdays before the due date or more frequently as necessary.
4. Provide taskings to appropriate staff in a timely manner. (The expectation under normal circumstances is within 4 hours of receipt.)

E. The Correspondence Originator

1. The Correspondence Originator is responsible for ensuring that correspondence is—
   (a) responsive to the incoming correspondence;
   (b) appropriate for its purpose;
   (c) accurate;
   (d) clear to the intended audience;
   (e) compliant with agency policy for correspondence, including preparation of an ADAMS Document Submission NRC Form 665S (ML020170281) or NRC Form 665P (ML020170279); and
   (f) appropriately handled during the concurrence process.
2. To ensure **appropriateness**, the originator—
   (a) determines, in conjunction with management, the type of correspondence to use;
   (b) identifies any questions in incoming correspondence to answer;
   (c) determines the topics to discuss in a reply;
   (d) identifies the office staff with the expertise to answer the questions or address the concerns in the incoming correspondence; and
   (e) adequately answers the questions and addresses the concerns in the incoming correspondence.
3. To ensure **accuracy**, the correspondence originator, uses the "Originator's Checklist for Ensuring Accuracy of Correspondence" (Table 2.2). The originator—
   (a) keeps a file of all reference material used in developing a document;
   (b) requests simultaneous review from all appropriate program or staff offices on a draft document to expedite completion of the final correspondence;

(c) obtains from each contributor a file with changes to the original or any subsequent draft, using approved agency software or pen-and-ink markup, showing comparison markings or changes marked on the original draft;

(d) reviews changes received on the draft to resolve and eliminate any conflicting changes and to ensure logical cohesiveness of the correspondence;

(e) ensures that (1) the correspondence correctly identifies any references (if the document is to be made publicly available and (2) there are no references made to non-publicly available documents); and

(f) concurs and obtains concurrence from each contributing office on the final version of the correspondence (see also Section II.F, “Those Who Concur,” of this handbook).

Table 2.2
Originator's Checklist for Ensuring Accuracy of Correspondence

Task	Date Completed
Maintain complete list, including ADAMS Accession Numbers, of reference material used to develop correspondence	
Maintain complete file of revised versions	
Ensure all revisions are accurate	
Ensure correspondence contains no conflicting information	
Ensure information does not conflict with agency policy	
Ensure correspondence is logically coherent	
Ensure correspondence contains no classified or sensitive unclassified information or, if it contains such information, that the correspondence is marked appropriately in accordance with MD 12.2 and the SUNSI Web site (http://www.internal.nrc.gov/sunsi)	
Complete ADAMS Document Submission NRC Form 665S (ML020170281) and NRC Form 665P (ML020170279)	
Cross check profile in ADAMS to match ADAMS Document Submission NRC Form 665S (ML020170281) and NRC Form 665P (ML020170279)	
Verify accuracy and availability of references listed on the correspondence and correct ML number as appropriate	
Obtain all concurrences on final version, including concurrence by a technical editor if it is correspondence as specified in Section III.E.2 of this directive	
Oversee dispatch	

4. To ensure **clarity**, the correspondence originator ensures that the correspondence—

   (a) is written in plain language consistent with Federal and NRC's Plain Language guidance on NRC's internal and external Web sites;

   (b) complies with Section III.A, "Writing Guidelines," and Section III.B, "E-Mail Etiquette," as specified in this handbook;

   (c) is edited by a technical editor or the office Correspondence Officer, as specified in Section III.E.2 of the directive;

   (d) is complete, clear, concise, and easy to read;

(e) minimizes the use of technical terminology unless all recipients would understand; and

(f) spells out acronyms (titles, organizations, and other abbreviations) when first used.

5. To ensure **compliance with correspondence policy**, the originator—

(a) completes ADAMS Document Submission NRC Form 665S (ML020170281) or NRC Form 665P (ML020170279);

(b) ensures that correspondence involving classified and sensitive unclassified information, such as Official Use Only material, is prepared, marked, cleared, and protected as prescribed in MD 12.2, "NRC Classified Information Security Program" and on the SUNSI Web site available at http://www.internal.nrc.gov/sunsi; and

(c) ensures that the correspondence complies with the policies, standards, and procedures in MD 3.57, including any special instructions for correspondence for the Chairman's signature in Section VI, "Letters," and Section VII, "Memoranda," of this handbook.

6. To ensure **appropriate handling during the concurrence and review process**, the originator—

(a) informs involved managers who promptly inform OEDO staff if any office staff state that their concurrence will be delayed; and

(b) concurs and obtains concurrence from each contributing office and the following offices on the final version of the correspondence as required:

(i) the Office of the General Counsel (OGC) for correspondence that involves legal issues or regulatory interpretation or that is prepared for the Chairman's signature;

(ii) the originator's office director or regional administrator for correspondence prepared for the EDO's signature;

(iii) OEDO for those documents being signed or concurred in by the EDO; and

(iv) The Office of the Chief Financial Officer (OCFO) for correspondence involving the budget, financial management, or resource impacts.

7. When correspondence requires higher level concurrence than the individual signing the document, the correspondence must have two concurrence blocks for that individual. The first concurrence block is for initial concurrence. The second concurrence block will be for final concurrence and signature after the higher level review.

8. The originator ensures the concurrence grid is updated to accurately reflect actual concurrences received to date in conjunction with revisions of the document.

9. If the EDO assigns correspondence that requires the Office of Congressional Affairs (OCA) review, it is the responsibility of the assigned office to obtain OCA's concurrence.

F. Those Who Concur

Those who concur, that is, managers and staff who contribute content to correspondence and concur with it, are responsible for the following (see also the definitions in Section VIII, “Glossary,” of this handbook for "concurrence" and "non-concurrence"):

1. Verify that information in their area of technical expertise is accurate.
2. Refrain from making editorial changes unrelated to technical accuracy.
3. Notify their managers and the originator if their review and concurrence may cause a controlled correspondence due date to be missed.
4. Concur with the final version of the correspondence when they agree that—
   (a) the technical content in their area of responsibility is accurate;
   (b) the overall approach of the document is appropriate; and
   (c) the document is consistent with NRC’s programs and policies in their area of responsibility.

G. Signatories

1. Signatories (those who sign the correspondence) are responsible for its content.
2. The senior manager in the office or region originating the correspondence to be signed by the EDO, the Chairman, or a Commissioner, should—
   (a) agree with the content and be satisfied that the content is both accurate and consistent with program and agency policy before signing; and
   (b) review the proposed decisions of the document originator that appear on NRC Form 665S (ML020170281) or NRC Form 665P (ML020170279).
   (c) ensure NRC Form 665S or NRC Form 665P accompany the correspondence and is reviewed for—
      (i) appropriateness of its public availability;
      (ii) sensitivity; and
      (iii) security access rights.
3. However, if the EDO or a member of the Commission is the signatory, the senior manager in the office or region preparing the correspondence for signature performs the review described in Section II.G.2 of this handbook.
4. Correspondence to Congress requires a signature level of Chairman, Commissioner, or Commission level-office director.

H. Administrative Assistants

1. Administrative Assistants are responsible for assisting originators by preparing correspondence and any other preparatory steps identified by the originator by following the guidance in this handbook. They are responsible for the following:

   (a) Use available electronic tools such as—

      (i) spell check;

      (ii) grammar check; or

      (iii) other approved agency software tools.

   (b) Consult, as needed, pages 4–5 of the *Government Printing Office Style Manual* to interpret proofreaders' marks. See also proofreaders' marks on the external Web as part of the Merriam-Webster online dictionary site located at http://www.m-w.com/mw/table/proofrea.htm.

   (c) Consult also as needed—

      (i) a current standard dictionary;

      (ii) the "NRC Editorial Style Guide" (NUREG-1379, Revision 2 (ML093280744));

      (iii) a current English grammar textbook (such as *Hodges' Harbrace College Handbook*); or

      (iv) an NRC technical editor or correspondence officer.

   (d) Remind the originator to have correspondence edited by a technical editor or the office Correspondence Officer, as specified in Section III.E.2 of this directive.

   (e) Proofread all correspondence by attending to spelling, punctuation, grammar, and hyphenation, and clearly marking material to be revised.

   (f) Revise and reproof the correspondence as necessary until the originator deems it satisfactory.

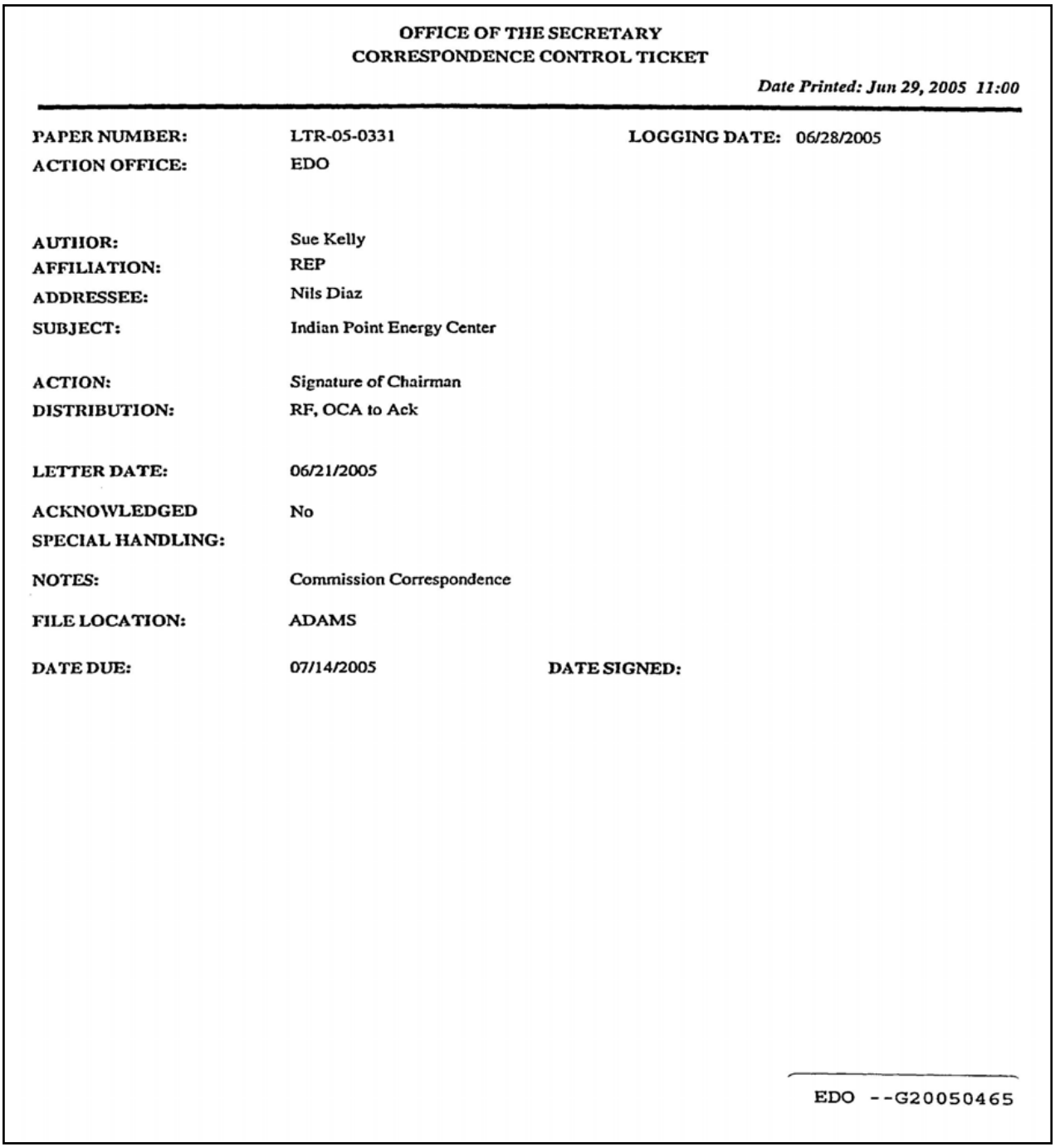
   (g) Save the final record copy in the appropriate recordkeeping system (e.g., ADAMS).

   (h) Oversee the appropriate dispatch and distribution of the correspondence, as well as its declaration in ADAMS.

2. For records kept in ADAMS, follow the procedures and guidance in the latest version of the "ADAMS Desk Reference Guide" (NUREG/BR–0273, Revision 4.9) (ML051110390).

   (a) See Chapter 9, "Preparing Final Documents for ADAMS."

   (b) Note that SECY saves the official record copy of any SECY-controlled correspondence for the Chairman's signature in ADAMS and declares it as an OAR.



OFFICE OF THE SECRETARY
CORRESPONDENCE CONTROL TICKET

Date Printed: Jun 29, 2005 11:00

PAPER NUMBER:	LTR-05-0331	LOGGING DATE:	06/28/2005
ACTION OFFICE:	EDO		
AUTHOR:	Sue Kelly		
AFFILIATION:	REP		
ADDRESSEE:	Nils Diaz		
SUBJECT:	Indian Point Energy Center		
ACTION:	Signature of Chairman		
DISTRIBUTION:	RF, OCA to Ack		
LETTER DATE:	06/21/2005		
ACKNOWLEDGED	No		
SPECIAL HANDLING:			
NOTES:	Commission Correspondence		
FILE LOCATION:	ADAMS		
DATE DUE:	07/14/2005	DATE SIGNED:	

EDO --G20050465

Figure 2.1
Office of the Secretary
Correspondence Control Ticket

III. WRITING GUIDELINES

A. Writing Guidelines

In addition to adhering to these guidelines, see also the NRC's Plain Language Action Plan (http://www.internal.nrc.gov/NRC/PLAIN) on the internal Web site and the "ABCs of Correspondence" (NUREG/BR-0210).

1. Personalize correspondence by using "I," "we," and "you" throughout.

   (a) **Use:** "On behalf of the Nuclear Regulatory Commission, I am responding to your letter of...to Chairman (name)."

   (b) **Not:** **"**This is in response to..."

2. In your opening sentence, briefly describe the subject of the incoming letter; do not repeat it verbatim.

   (a) **Use:** "I am responding to your letter of January 2, 2008, in which you inquire about several topics discussed at the workshop you attended on December 3, 2008."

   (b) **Not:** "In your letter of January 2, 2008, you asked whether the NRC has decided...and what action NRC will take to resolve this issue."

3. The purpose of the document should be clearly stated within the first paragraph.

4. Respond to questions in the incoming correspondence.

5. Focus on the questions asked, avoiding amplification or unnecessary detail, thereby creating a concise response.

6. Be forthright and honest in your answers.

7. Keep the point of view accurate by doing the following:

   (a) Distinguish between when the Chairman speaks for himself ("I") and when he speaks for the Commission ("we").

   (b) Distinguish between the agency (the NRC), the five Commissioners (the Commission), the Executive Director for Operations (the EDO), and staff in the EDO's offices (the staff).

8. Be direct rather than indirect, using active verbs.

   (a) **Direct:** "The team inspected..."

   (b) **Indirect:** "The team conducted an inspection..."

9. Use the active voice instead of the passive voice, if possible.

   (a) **Active:** "The task force investigated…"

   (b) **Passive:** "The issue was investigated by the task force..."

10. Avoid over use of technical terms when writing to nontechnical readers who may not understand the terminology. Adequate synonyms exist for many concepts.

    (a) **Use: "**automatic reactor shutdown"

    (b) **Not: "**reactor scram or trip"

11. Try to limit your letter or memorandum to no more than **two** pages. Include clarifying or supporting information as enclosures.

12. To keep your letter concise, limit the size of a paragraph to about one-third of a page at the most, and limit the length of your complex sentences to about three clauses at the most.

13. Close your letter in the same positive, personalized tone used in the opening.

    Use: "I trust this reply responds to your request."
    "I trust this response clarifies our position."

B. E-mail Etiquette

While e-mail greatly facilitates communication throughout the agency, overreliance on, or misuse of, e-mail can actually hinder effective communications. Please use the following general guidance.

1. Guidance on E-mails

   Use oral communication instead of e-mail for complex issues and/or time-sensitive issues.

   (a) If e-mail is used because of an inability to reach an individual, explain the urgency of the transmittal in the e-mail.

   (b) Call the individual to inform him or her that an urgent transmittal is on its way and follow up with another call to ensure that the individual received the information.

2. Avoid expressions of extreme emotion or opinion.

3. Reread your message to ensure that the tone is professional and the content is clear.

4. Spell check and proofread your message.

5. Use prompts in the beginning of the "subject" line. For instance—

   (a) **FYI** (For your information - No action or response is required);

   (b) **QUERY** (General Question - A response is optional);

   (c) **ACTION** (Action or response is required); or

   (d) **REPLY** (Responding to a message sent to you with no action required).

6. If possible, send a message that fits within a subject line. Add "EOM" (end of message) at the end of the subject line.

7. Use "high priority" for your message only if the recipient must act on it immediately that day.
8. Use graphics and enclosures sparingly.
9. Be concise and to the point.
10. Be specific regarding key issues and information. If you send a 20-page attachment, tell the recipient where the critical information is and what needs to be done (e.g., page 2 – review changes noted in italics).
11. Ensure that your message does not include safeguards or classified information.
12. Ensure that procedures on the SUNSI Web site (http://www.internal.nrc.gov/sunsi) are followed if transmitting sensitive unclassified information (e.g., marking, need to know).
13. Do not use **"Reply to all (senders and recipients)"** unless the information is needed by all recipients of the incoming e-mail.
14. Use an automated away message (e.g., out of office assistant) when out of the office for two or more consecutive workdays.

IV. GENERAL PROCEDURES FOR ALL TYPES OF CORRESPONDENCE

This section covers procedures generally applicable to all types of correspondence. For detailed guidance on preparation of SECY papers see Section V, “Office of the Secretary (SECY) Papers,” of this handbook. For letters see Section VI, “Letters,” of this handbook. For memoranda see Section VII, “Memoranda,” of this handbook.

A. Response Dates

Prepare a response to correspondence within the time recommended in the guidelines in Table 4.1, "Response Time Frames."

Table 4.1
Response Time Frames

Type of Correspondence	Number of Workdays
Controlled	By whichever date is earliest on the— • SECY Correspondence Control Ticket • OEDO Tasking Item • Office Ticket
General • Complete final response • Complete interim acknowledgment or reply to memoranda or letters	• Within 15 workdays • Within 6 workdays
Electronic Mail (E-Mail) Messages Complete interim acknowledgment or reply with date that final reply will be sent	Within 3 workdays

The originator decides whether a postcard is appropriate for acknowledging correspondence from outside NRC (see Figure 1.1, "Preprinted Postcard," in Section I, "Handbook Overview," of this handbook).

1. Types of Correspondence

   (a) Correspondence

      (i) Controlled correspondence is defined as correspondence that the NRC controls because of the source, subject matter, sensitivity, urgency, or possible impact on NRC's regulatory responsibilities for the public health and safety. An office director or manager above the level of an office director controls this correspondence. (It is often initially controlled by SECY or OEDO.)

      (ii) Due dates for replies to incoming correspondence are established by SECY on a SECY correspondence control ticket (see Figure 2.1, "Office of the Secretary Correspondence Control Ticket," in Section II, "Responsibilities for Writing and Handling Correspondence," of this handbook) or by an OEDO ticket. In addition, the office responsible for responding may attach its own controlled correspondence ticket with a date earlier than that on the SECY or the OEDO ticket. This earlier date allows responding office managers time to review and revise the response, if need be, before submitting it to SECY and/or OEDO.

      (iii) Respond to controlled correspondence by the date stated on the SECY's correspondence control ticket, the EDO's control ticket, or the office's control ticket, whichever is earlier.

(iv) Staff should follow procedures to request an extension at the earliest indication that a SECY's correspondence control ticket or OEDO tasking item due date cannot be met. Offices reporting to the EDO should coordinate any change with the OEDO's ACS. Commission-level offices are to contact SECY directly (for extension request instructions see the OEDO's Extension Request Process, OEDO Procedure - 0370, "Extension Requests and Transfer of Controlled Items" (ML052710506)).

(b) General Correspondence

(i) General correspondence is defined as all correspondence except **controlled correspondence**. Whether correspondence is controlled depends on the policy of the organization receiving it. If it is controlled, an office director or a manager below the level of office director controls it.

(ii) If the correspondence qualifies as general correspondence and is controlled, complete the response by the due date assigned by the controlling manager. At the first indication that this date cannot be met, contact the controlling manager to negotiate a new due date. If the general correspondence is not controlled, follow the guidelines in Table 4.1, "Response Time Frames."

2. Electronic Mail Messages

(a) Acknowledge an electronic mail (e-mail) message within 3 workdays.

(b) Send a complete response within 3 days, if possible, or include in the acknowledgment a date when the recipient may expect a complete response (see also "E-Mail Etiquette" in Section III, "Writing Guidelines," of this handbook).

B. Writing and Preparing Correspondence

Instructions for writing and preparing correspondence are as follows:

1. Designated Originator

The designated originator writes the correspondence, following Section III, "Writing Guidelines," of this handbook and does the following:

(a) Prepares correspondence in a clear and concise manner, using agency-supported software tools. Letters and memoranda should be no longer than two pages if at all possible (see also Section V, "Office of the Secretary (SECY) Papers," of this handbook).

(b) Utilizes enclosures to limit the length of correspondence to no more than two pages if possible.

(c) Presents detailed discussion and analysis in enclosures and appropriately references the enclosures in the body of the correspondence.

(d) Completes SUNSI review and prepares the ADAMS Document Submission NRC Form 665S (ML020170281) or NRC Form 665P (ML020170279).

(e) Determines appropriate classification and markings of correspondence (headers, footers, portion markings, classification/declassification box, etc.).

2. Administrative Assistant

The originator's administrative assistant prepares and/or formats the electronic version of the correspondence, does not date the correspondence until after it is signed, and does the following:

(a) Prepares an electronic version of all internally generated documents and, to the extent possible, all externally generated documents, according to the signatory's office policy.

(b) Attaches ADAMS Document Submission NRC Form 665S (ML020170281) or NRC Form 665P (ML020170279) that the originator completes for the correspondence. Appropriately profiles in ADAMS in accordance with NRC Form 665S or NRC Form 665P.

(c) Enters the electronic version into ADAMS, unless the documents are exempt from placement in ADAMS, in accordance with the signatory's office correspondence procedures.

(d) Saves all correspondence and the enclosures sent to or through the OEDO in ADAMS except allegations, investigations, classified information, or SGI (see Section I.D of this handbook).

(e) Prepares each enclosure to the correspondence as follows:

(i) If at all possible, identifies each enclosure in the bottom right corner of the first page only as Enclosure 1, Enclosure 2, and so forth. If an enclosure cannot be labeled in the bottom right corner, appropriately label a cover sheet. Do not use divider tabs. A cover sheet may also be added for an enclosure already labeled in the bottom right corner for ease of handling.

(ii) Assembles documents into packages in ADAMS in the appropriate order making sure that all stand-alone documents are captured as separate documents.

(iii) Labels any information supplementary to an enclosure as an attachment. Identifies each attachment in the bottom right corner of the first page only as Attachment 1, Attachment 2, and so forth. If an attachment cannot be labeled in the bottom right corner, appropriately label a cover sheet. Do not use divider tabs. A cover sheet may also be added for an attachment that has been labeled for ease of handling.

(f) Places the ADAMS accession number, tasking number(s), and distribution list on the concurrence page above the concurrence grid.

(g) Assembles a correspondence package that includes—

(i) An ADAMS Document Submission NRC Form 665S (ML020170281) or NRC Form 665P (ML020170279), that the originator completes for the correspondence;

(ii) An original hardcopy to be signed;

(iii) An official record copy on which to concur;

(iv) All previous concurrence pages that have initials and/or copies of e-mail concurrences;

(v) A separate list of addressees when the names and addresses of all recipients cannot be placed on the first page of the correspondence. Include this list in the package following the last page of the correspondence;

(vi) Enough color copies for final distribution; and

(vii) A copy of the incoming and any additional background material.

(h) When complete, submits the correspondence package to the originator.

3. Stationery

(a) SECY Papers, Letters, and Memoranda

(i) NRC prints letters and memoranda on 8½ by 11-inch paper letterhead.

(ii) SECY papers are printed on plain white paper.

(iii) Some organizations use their own letterhead (see Figure 4.1, “Page-Size Letterhead” in Section IV, “General Procedures for All Types of Correspondence,” of this handbook). Print continuation pages for either of these types of correspondence on plain white paper.

(iv) See also Section I.A.2 in this handbook for information about postcards, notes, and routing slips.

(b) Envelopes and Labels

(i) MD 3.23, "Mail Management," describes envelopes and labels NRC authorizes for use.

(ii) See also NUREG/BR-0248, “The Mail Services Center Reference Guide.”

(iii) Fold letters so that the smallest suitable envelope can be used. Postage costs are based on the size of an envelope or a package as well as its weight. NRC sends mail weighing 1 pound or more fourth-class.

C. General Formatting

Although illustrated in tables and figures throughout this handbook, NRC uses the following styles for its correspondence:

1. Fonts

(a) Use Microsoft Word, 11-point Arial, for all correspondence.

(b) Use italics for titles of books, periodicals, newspapers, and newspaper sections published separately, rather than quotation marks. See the "NRC Editorial Style Guide" (NUREG-1379, Revision 2) (ML093280744) for more information.

2. Margins

   Use 1-inch left and right margins and left justification. Use 1-inch top and bottom margins.

3. Word Processor Tools

   Use the spelling and grammar check on all correspondence, including any revisions.

4. Quotations

   (a) If the correspondence contains a quotation of five or more lines, indent the quotation on the left and right margins and omit the quotation marks. Use double spacing before and after the quotation to separate it from the body of the correspondence (see Figures 6.1, “Letter,” and 6.3, “Letter with Two Signatures Blocks,” in Section VI, “Letters,” of this handbook).

   (b) If the correspondence contains a shorter quotation, such as the title of a report or a regulatory guide, enclose the title in quotation marks, placing appropriate punctuation marks inside the ending quotation mark.

      (i) **Example**: The nuclear fuel cycle is discussed in NUREG/BR-0280, "Regulating Nuclear Fuel."

      (ii) **Example**: NUREG/BR-0280, "Regulating Nuclear Fuel," describes the five processes involved.

5. Continuation Page

   Any page of the correspondence subsequent to the original page.

   (a) Limit a letter or a memorandum to two pages if at all possible.

   (b) Place at the top left margin the appropriate header from Table 4.2, “Continuation Page Headers,” (see Section IV, “General Procedures for All Types of Correspondence,” of this handbook) on a continuation page for a letter or a memorandum and center the page number unless the correspondence is for the Chairman’s signature, in which case use only the centered page number (see Figure 6.4, “Letter for the Chairman’s Signature,” in Section VI, “Letters,” of this handbook).

Table 4.2
Continuation Page Headers

Type of Addressee	Header for Subsequent Page
Single	First initial and last name (J. Doe)
Two	First initial and last name of each addressee, separated by "and" except congressional correspondence (J. Doe and A. Smith)
Three or more	First initial and last name of first individual followed by et al., except congressional correspondence (J. Doe, et al.)
Generic, such as Office Directors, Regional Administrators, Power Reactor Licensees, etc.	Abbreviation for generic addressee (ODs, RAs, or PRLs)
List of addressees having no generic name	Those on the Attached List
Business or organization	Abbreviated name (FEMA)

D. Notations

A notation gives a recipient additional information as described in this section. The contact appears only on the first page of the correspondence. Depending on the length of the correspondence, the enclosure notation, the list of courtesy copies, and any docket numbers may appear on the last page and the concurrence page. The concurrence grid and distribution list are placed on a separate page identical to the last page of the correspondence with the ADAMS accession number, applicable tasking numbers, and distribution recipients.

1. Contact

   (a) Place the contact information on the bottom of the first page of all correspondence (except letters and e-mails), regardless of its length. Identify this person by name, organizational acronym, and telephone number (three lines below text on first page to maintain a 1-inch bottom margin below the contact information). (See Figure 5.1, "SECY Paper," in Section V, "Office of the Secretary (SECY) Paper," of this handbook and Figure 7.3, "Memorandum," in Section VII, "Memoranda," of this handbook.) For multiple contacts, list on the bottom of the first page. Identify each person separately by name, organizational acronym, and telephone number (three lines below text on first page to maintain a 1-inch bottom margin below the contact information).

   (b) The contact is a person other than the signatory (usually the originator), who is knowledgeable about the information in the correspondence and who can respond to questions about its content.

2. Courtesy Copies

   (a) List courtesy copies at the end of the correspondence if the originator wants the addressee to know that others are receiving identical letters as shown below.

   Example:
   cc: F. Last, office

   (b) If a number of recipients are receiving a courtesy copy, place a list of the recipients on a separate sheet, if necessary.

3. Enclosure

   (a) Only if the body of the correspondence identifies each enclosure in such a way that a recipient could easily recognize an enclosure is the use of "As stated" permissible.

   (b) List each enclosure by number, type of document, name or an abbreviated name, or all of these, on correspondence.

   (c) Enclosures with lengthy titles should follow format of Enclosure 3 as shown below. Use any of the following format examples:

   Examples:

   Enclosures:
   1. Regulatory Guide 1.177
   2. Regulating Nuclear Fuel (NUREG/BR-0280)
   3. Proposed Rule Establishing Criminal Penalties for the Unauthorized Introduction of Weapons into Facilities Designated by the NRC

   Enclosure:
   Reactor Oversight Process (NUREG–1649)

   Enclosure:
   As stated

   (d) If at all possible, identify each enclosure in the bottom right corner of the first page only as “Enclosure 1,” “Enclosure 2,” etc. If an enclosure cannot be labeled in the bottom right corner, appropriately label a cover sheet(s). Do not use divider tabs. You may also add a cover sheet for an enclosure already labeled in the bottom right corner for ease of handling.

4. Attachment

   (a) Label any information supplementary to an enclosure as an attachment.

   (b) If at all possible, identify each attachment in the bottom right corner of the first page only as “Attachment 1,” “Attachment 2,” etc.

   (c) If an attachment cannot be labeled in the bottom right corner, appropriately label a cover sheet(s). Do not use divider tabs.

(d) You may also add a cover sheet for an attachment already labeled in the bottom right corner for ease of handling.

5. Separate Cover

   If you are sending material too large to be included as an enclosure or not immediately available, list the material as indicated in the example, even if it is identified in the body of the correspondence. Place this notation flush with the left margin two lines below the enclosure notation.

   Example:
   Separate Cover: Regulatory Guide 1.74

6. Concurrence Grids

   (a) A concurrence grid appears on all correspondence, with the exception of “Note to File.”

   (b) Place the concurrence grid on a separate page identical to the last page of the correspondence (see Figure 5.1,”SECY Paper,” in Section V, “Office of the Secretary (SECY) Papers,” of this handbook, Figure 6.1, “Letter,” in Section VI, “Letters,” of this handbook, and Figure 7.3, “Memorandum,” in Section VII, “Memoranda,” of this handbook).

7. ADAMS Identification

   (a) Place the ADAMS accession number (package number, if appropriate) on each piece of correspondence above the correspondence grid.

   (b) See the "ADAMS Document Submission Guidelines Step-by-Step Instructions" (ML010390040), regarding the submittal of documents for processing to the DPC.

   (c) See also NUREG/BR-0268, "Sensitive Unclassified Information," and the SUNSI Web site (http://www.internal.nrc.gov/sunsi/) for more information.

8. Docket Numbers

   (a) When correspondence refers to a docket case, type the docket number on the official record copy (concurrence copy) two lines below the signature block flush with the left margin (see Figure 6.1, “Letter,” in Section VI, “Letters,” of this handbook).

   (b) Docket numbers should also be placed in the same location on the original signature page, unless the correspondence is being signed by the EDO or the Chairman.

9. Distribution Copies

   Include in a distribution list all offices on the routing list of a SECY or an OEDO tasking item; the office of anyone mentioned in the correspondence; the offices on concurrence; and other individuals requested by the originator. Do not include a distribution list on SECY papers. The SECY Paper Distribution Sheet (Form 6) (ML031410013) is to be included with the paper.

(a) If the distribution list will fit on the concurrence page, list on the concurrence page each appropriate file location (reading file, subject file, docket file number, tasking number(s), etc.), name and office affiliation of the individuals to receive a copy.

(b) If the list will not fit on the concurrence page, place "See next page" under the distribution notation and type the distribution list on a separate page.

(c) If the response is controlled by a SECY correspondence control ticket, an OEDO tasking item, or a responding office ticket, cite the ticket number in the distribution list.

Examples:
Gyyyyxxxx
LTR-yy-xxxx
EDATS: Office-yyyy-xxxx

(d) Place the distribution notation and list on the bottom of the concurrence page above the concurrence grid.

E. Assembly

1. Follow the instructions on Figure 4.2, "Assembly Tabs," (see Section IV, “General Procedures for All Types of Correspondence,” of this handbook) for assembling letters and memoranda, using NRC divider tabs (NRC Form 8A and NRC Form 8B) available from the NRC Supply Store. Remove all enclosure and attachment tabs before submitting a correspondence package to OEDO for signature.
2. Fasten assembled correspondence packages with binder clips rather than staples to allow for copying after the correspondence is signed.

F. Reproduction

Reproduce copies as follows:

1. For recipients outside the agency, reproduce copies from the signed original.
2. For recipients within the agency, reproduce copies from the signed original or provide electronic distribution as stated in the correspondence.

G. Dispatch

The signing office ensures that—

1. The original hard copy is dated.
2. In ADAMS, the document is dated and marked with ***“/RA/”*** (record approved), and the concurrence dates are typed in the concurrence grid before the original is declared an OAR and dispatched. Note: When correspondence is signed by an acting official, indicate with ***“/RA First LastName Acting for/.”***

   Example: ***/RA John Doe Acting for/***
3. Copies are appropriately distributed.

Figure 4.1
Page-Size Letterhead

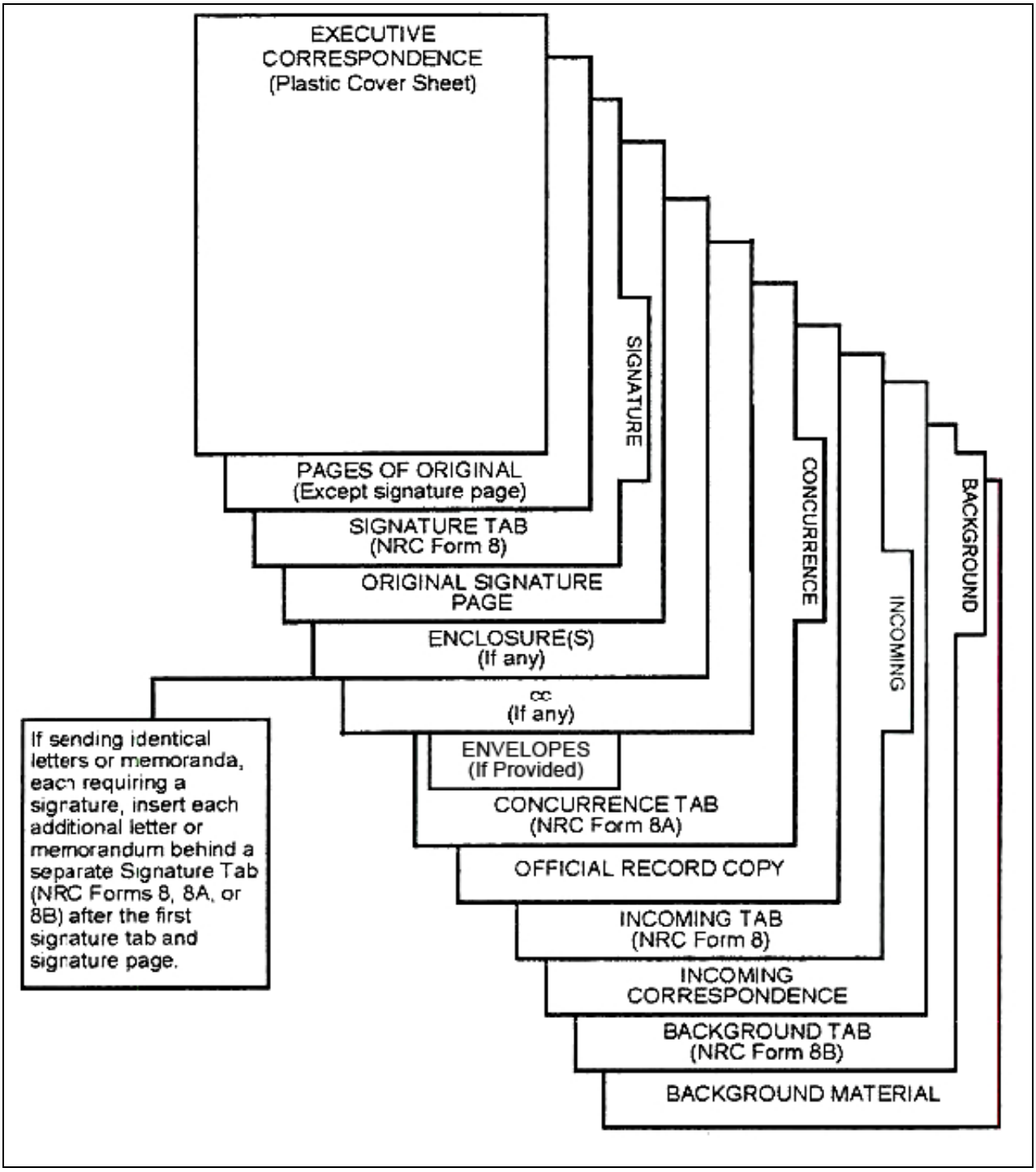


Figure 4.2
Assembly Tabs

V. OFFICE OF THE SECRETARY (SECY) PAPERS

SECY is responsible for SECY papers for the Commission. See Section II, "Responsibilities for Writing and Handling Correspondence," of this handbook. For more information about Commission documents, see the Internal Commission Procedures on NRC's Public Web site (http://www.nrc.gov/about-nrc/policy-making/internal.html).

A. Types

SECY papers (see Figures 5.1, "SECY Paper," 5.2, "Sensitive SECY Paper," and 5.3, "SECY Paper Letterheads and Spacing," in Section V, "Office of the Secretary (SECY) Papers," of this handbook), constitute the principal instrument by which the Commission receives information needed for making decisions. There are four types of SECY papers, Affirmation, Notation, Information, and Commission Meeting, which are described below:

1. An **Affirmation** paper requires a Commission decision and a Commission meeting. Affirmation papers present relatively major policy issues, such as final rules and regulations or proposed Commission orders in adjudicatory matters. Commissioners vote through a written notation process and affirm their votes at a public affirmation session, a type of Commission meeting.
2. A **Notation** paper also requires a Commission decision but does not require affirming of Commission votes in a public meeting. As Commissioners do for an affirmation paper, they vote through a written notation process on a notation paper.
3. An **Information** paper sends to the Commission information on significant matters and requires no Commission action.
4. A **Commission Meeting** paper sends to the Commission a major issue for which the Commission deliberates and votes at a Commission meeting that is usually public.

B. Writing

Before beginning a SECY paper, read Section I, "Handbook Overview," and Section II, "Responsibilities for Writing and Handling Correspondence," of this handbook. Then, follow the guidelines in Section III, "Writing Guidelines," of this handbook and do the following:

1. Limit SECY papers to five or fewer pages to facilitate a clear and concise paper. Obtain approval from your DEDO before submitting SECY papers that have more than 10 pages.
2. Present detailed discussion and analysis in enclosures that are appropriately referenced.
3. Summarize in the paper itself the major issues, conclusions, recommendations, commitments, resources, and any dissenting views, as appropriate.
4. Prepare the SECY paper on plain white paper. SECY staff reproduces the paper on the appropriate letterhead (see Figure 5.3, "SECY Paper Letterheads and Spacing").

C. Concurrence

Include coordination and concurrence information for the OGC and the OCFO as follows:

1. Coordinate every SECY paper with OGC and obtain its concurrence. Include a statement in the paper indicating that OGC concurs and has no legal objection (NLO).
2. If a paper contains matters involving the budget or financial management, coordinate it with OCFO, obtain their concurrence, and include an appropriate concurrence statement for OCFO.
3. Coordination and concurrence is required for any office(s) impacted within the SECY paper.

D. Signing

See also Table 2.1, "Signatures," of this handbook and OEDO Procedure 0390, “OEDO Expectations for Signature Authority.”

1. The EDO signs a SECY paper prepared by offices reporting to the EDO.
2. Do not date a SECY paper to be signed by the EDO. OEDO dates the SECY paper after it is signed by the EDO. The ACS then forwards the SECY paper to SECY.
3. For an office reporting to the Commission, the office director signs the SECY paper.

E. Assembling for Signature

1. The following should be included:
   (a) a completed ADAMS Document Submission NRC Form 665S (ML020170281) or NRC Form 665P (ML020170279);
   (b) a SECY paper distribution sheet (Form 6; ML032160382);
   (c) a paper original for the EDO or the Commission-level office director to sign; and
   (d) an official record copy on which to concur.
2. Place the correspondence into ADAMS and place the ADAMS accession number on the concurrence page. The ADAMS profile should be filled out completely by the originating office.
3. When complete, submit the original hard copy to OEDO or to SECY.

F. Distribution

1. SECY finalizes each SECY paper in ADAMS, determines its release date as appropriate, and declares the paper an OAR.
2. SECY distributes copies of SECY papers. SECY retains the official record copy or concurrence page. The original of the SECY paper is returned to the office contact on the SECY distribution sheet.
3. See OEDO Procedure 0390 for additional procedures for office director signature.

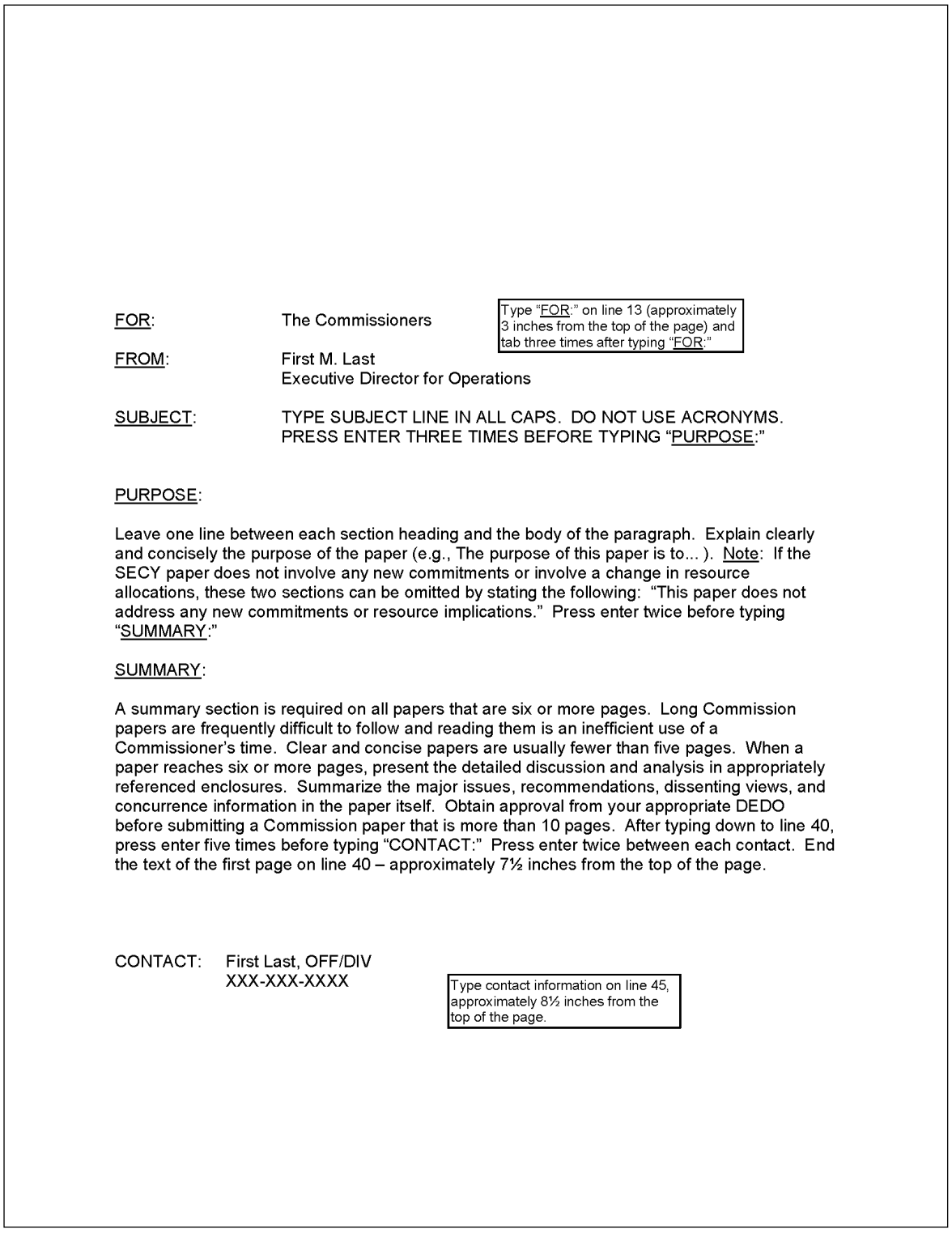


Figure 5.1
SECY Paper

The Commissioners -2-

BACKGROUND:

If the paper is discussing a topic that needs background information in order to inform the reader of the history for this particular topic, add a background section.

DISCUSSION:

In the discussion, include a concise overview or explanation that stands by itself, that is, does not simply refer to an enclosure. Include details in an enclosure. The discussion section should discuss all alternatives, consider the pros and cons of these alternatives, and consider the resource impact of the alternatives.

COMMITMENT:

This section of the paper will be inserted just prior to the "Recommendation" (Notation or Affirmation paper) or "Conclusion" (Information paper) section of the paper, as appropriate. After the Commitment heading, the paper will state the following:

Listed below are the actions or activities committed to by the staff in this paper.

1. ...followed by a numerical listing of the commitments, if staff is making more than one commitment.

CONCLUSION:

If the paper is an Notation or Affirmation paper, omit the conclusion section.

RECOMMENDATION:

If the paper is an Information paper, omit the recommendation section.

Within the paper, the staff identifies different options or actions that the Commission could take. Two different ways in which they can provide their recommendation to the Commission are illustrated:

The staff recommends that the Commission approve the option....

or

That the Commission:

1. Approve, the recommended....

If paper has only one recommendation, numbering is not used.

RESOURCE:

This section of the paper should contain the following information, no matter which budget years are involved: (1) the estimated FTEs (full-time-equivalent positions) and/or contract dollar amount of the proposed action(s) or option(s) provided to the Commission; (2) the budget

The Commissioners -3-

year(s) involved; (3) a discussion of what work may be displaced, deferred, or cancelled as a result of the proposed action(s) and any associated impact(s), or a statement that no currently planned work will be affected (Note: this discussion is not intended to reflect a Planning, Budgeting, and Performance Management (PBPM) review process, but rather a reasonable estimate of what currently budgeted activities may be affected by reviewing appropriate common prioritization results); (4) the resources that are currently budgeted and if resources have not yet been allocated, a discussion of what process will be followed to obtain the resources for the recommended action(s) or option(s) and how the Commission will be kept apprised of this effort; and (5) a clear schedule, in business days or months, of when the proposed actions will be completed, including key milestones.

COORDINATION:

List the offices that do not report to the EDO, but have concurred in this section. Examples of possible wording are as follows:

The Office of the General Counsel reviewed this package and has no legal objection.
The Office of the Chief Financial Officer reviewed this package and determined that it has no financial impact.

Press enter five times before typing the signature block.

First M. Last
Executive Director
for Operations

Press enter twice before typing "Enclosures:"

Enclosures:
1. List all the enclosures, abbreviating as much as possible
2. Use number, period, two spaces, and then type the name of the enclosure

The length of the list of enclosures should not be more than half the page width.

The Commissioners -3-

year(s) involved; (3) a discussion of what work may be displaced, deferred, or cancelled as a result of the proposed action(s) and any associated impact(s), or a statement that no currently planned work will be affected (Note: this discussion is not intended to reflect a Planning, Budgeting, and Performance Management (PBPM) review process, but rather a reasonable estimate of what currently budgeted activities may be affected by reviewing appropriate common prioritization results); (4) the resources that are currently budgeted and if resources have not yet been allocated, a discussion of what process will be followed to obtain the resources for the recommended action(s) or option(s) and how the Commission will be kept apprised of this effort; and (5) a clear schedule, in business days or months, of when the proposed actions will be completed, including key milestones.

COORDINATION:

List the offices that do not report to the EDO, but have concurred in this section. Examples of possible wording are as follows:

The Office of the General Counsel reviewed this package and has no legal objection.
The Office of the Chief Financial Officer reviewed this package and determined that it has no financial impact.

Press enter five times before typing the signature block.

Press enter twice before typing "Enclosures:"

First M. Last
Executive Director
for Operations

Enclosures:
1. List all the enclosures, abbreviating as much as possible
2. Use number, period, two spaces, and then type the name of the enclosure

The length of the list of enclosures should not be more than half the page width.

ADAMS Accession No.: MLXXXXXXXXX WITS XXXXXXXXX/EDATS: XXX-YYYY-####

OFFICE						
NAME	FLast:typist initials					
DATE	mm/dd/yy	mm/dd/yy	mm/dd/yy	mm/dd/yy	mm/dd/yy	mm/dd/yy
OFFICE						
NAME						
DATE	mm/dd/yy	mm/dd/yy	mm/dd/yy	mm/dd/yy	mm/dd/yy	mm/dd/yy

OFFICIAL RECORD COPY

ENTER TYPE OF SENSITIVITY IN THIS AREA (BOLD, 11 PT FONT, ALL CAPS)

FOR: The Commissioners

Type "FOR:" on line 13 (approximately 3 inches from the top of the page) and tab three times after typing "FOR:"

FROM: First M. Last
Executive Director for Operations

SUBJECT: TYPE SUBJECT LINE IN ALL CAPS. DO NOT USE ACRONYMS. PRESS ENTER THREE TIMES BEFORE TYPING "PURPOSE:"

PURPOSE:

Leave one line between each section heading and the body of the paragraph. Explain clearly and concisely the purpose of the paper (e.g., The purpose of this paper is to...). Note: If the SECY paper does not involve any new commitments or involve a change in resource allocations, these two sections can be omitted by stating the following: "This paper does not address any new commitments or resource implications." Press enter twice before typing "SUMMARY:"

SUMMARY:

A summary section is required on all papers that are six or more pages. Long Commission papers are frequently difficult to follow and reading them is an inefficient use of a Commissioner's time. Clear and concise papers are usually fewer than five pages. When a paper reaches six or more pages, present the detailed discussion and analysis in appropriately referenced enclosures. Summarize the major issues, recommendations, dissenting views, and concurrence information in the paper itself. Obtain approval from your appropriate DEDO before submitting a Commission paper that is more than 10 pages. After typing down to line 40, press enter five times before typing "CONTACT:" Press enter twice between each contact. End the text of the first page on line 40 – approximately 7½ inches from the top of the page.

Type contact information on line 45, approximately 8½ inches from the top of the page.

CONTACT: First Last, OFF/DIV
XXX-XXX-XXXX

ENTER TYPE OF SENSITIVITY IN THIS AREA (BOLD, 11 PT FONT, ALL CAPS)

Figure 5.2
Sensitive SECY Paper

ENTER TYPE OF SENSITIVITY IN THIS AREA (BOLD, 11 PT FONT, ALL CAPS)

The Commissioners -2-

BACKGROUND:

If the paper is discussing a topic that needs background information in order to inform the reader of the history for this particular topic, add a background section.

DISCUSSION:

In the discussion, include a concise overview or explanation that stands by itself, that is, does not simply refer to an enclosure. Include details in an enclosure. The discussion section should discuss all alternatives, consider the pros and cons of these alternatives, and consider the resource impact of the alternatives.

COMMITMENT:

This section of the paper will be inserted just prior to the "Recommendation" (Notation or Affirmation paper) or "Conclusion" (Information paper) section of the paper, as appropriate. After the Commitment heading, the paper will state the following:

Listed below are the actions or activities committed to by the staff in this paper.

1. ...followed by a numerical listing of the commitments, if staff is making more than one commitment.

CONCLUSION:

If the paper is an Notation or Affirmation paper, omit the conclusion section.

RECOMMENDATION:

If the paper is an Information paper, omit the recommendation section.

Within the paper, the staff identifies different options or actions that the Commission could take. Two different ways in which they can provide their recommendation to the Commission are illustrated:

The staff recommends that the Commission approve the option....

or

That the Commission:

1. Approve, the recommended....

If paper has only one recommendation, numbering is not used.

ENTER TYPE OF SENSITIVITY IN THIS AREA (BOLD, 11 PT FONT, ALL CAPS)

ENTER TYPE OF SENSITIVITY IN THIS AREA (BOLD, 11 PT FONT, ALL CAPS)

The Commissioners -3-

RESOURCE:

This section of the paper should contain the following information, no matter which budget years are involved: (1) the estimated FTEs (full-time-equivalent positions) and/or contract dollar amount of the proposed action(s) or option(s) provided to the Commission; (2) the budget year(s) involved; (3) a discussion of what work may be displaced, deferred, or cancelled as a result of the proposed action(s) and any associated impact(s), or a statement that no currently planned work will be affected (Note: this discussion is not intended to reflect a Planning, Budgeting, and Performance Management (PBPM) review process, but rather a reasonable estimate of what currently budgeted activities may be affected by reviewing appropriate common prioritization results); (4) the resources that are currently budgeted and if resources have not yet been allocated, a discussion of what process will be followed to obtain the resources for the recommended action(s) or option(s) and how the Commission will be kept apprised of this effort; and (5) a clear schedule, in business days or months, of when the proposed actions will be completed, including key milestones.

COORDINATION:

List the offices that do not report to the EDO, but have concurred in this section. Examples of possible wording are as follows:

The Office of the General Counsel reviewed this package and has no legal objection.
The Office of the Chief Financial Officer reviewed this package and determined that it has no financial impact.

All SECY papers marked with the appropriate SUNSI heading (see SUNSI Web site) must include a justification statement which is sufficiently persuasive to set aside the Commission's release policy (see Internal Commission Procedures). Include justification statement here.

Press enter five times before typing the signature block.

Press enter twice before typing "Enclosures:"

First M. Last
Executive Director
for Operations

Enclosures:
1. List all the enclosures, abbreviating as much as possible
2. Use number, period, two spaces, and then type the name of the enclosure

The length of the list of enclosures should not be more than half the page width.

ENTER TYPE OF SENSITIVITY IN THIS AREA (BOLD, 11 PT FONT, ALL CAPS)

ENTER TYPE OF SENSITIVITY IN THIS AREA (BOLD, 11 PT FONT, ALL CAPS)

The Commissioners -3-

RESOURCE:

This section of the paper should contain the following information, no matter which budget years are involved: (1) the estimated FTEs (full-time-equivalent positions) and/or contract dollar amount of the proposed action(s) or option(s) provided to the Commission; (2) the budget year(s) involved; (3) a discussion of what work may be displaced, deferred, or cancelled as a result of the proposed action(s) and any associated impact(s), or a statement that no currently planned work will be affected (Note: this discussion is not intended to reflect a Planning, Budgeting, and Performance Management (PBPM) review process, but rather a reasonable estimate of what currently budgeted activities may be affected by reviewing appropriate common prioritization results); (4) the resources that are currently budgeted and if resources have not yet been allocated, a discussion of what process will be followed to obtain the resources for the recommended action(s) or option(s) and how the Commission will be kept apprised of this effort; and (5) a clear schedule, in business days or months, of when the proposed actions will be completed, including key milestones.

COORDINATION:

List the offices that do not report to the EDO, but have concurred in this section. Examples of possible wording are as follows:

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All SECY papers marked with the appropriate SUNSI heading (see SUNSI Web site) must include a justification statement which is sufficiently persuasive to set aside the Commission's release policy (see Internal Commission Procedures). Include justification statement here.

Press enter five times before typing the signature block.

Press enter twice before typing "Enclosures:"

First M. Last
Executive Director
for Operations

Enclosures:
1. List all the enclosures, abbreviating as much as possible
2. Use number, period, two spaces, and then type the name of the enclosure

The length of the list of enclosures should not be more than half the page width.

ADAMS Accession No.: MLXXXXXXXXX WITS XXXXXXXXX/EDATS: XXX-YYYY-####

OFFICE						
NAME	FLast:typist initials					
DATE	mm/dd/yy	mm/dd/yy	mm/dd/yy	mm/dd/yy	mm/dd/yy	mm/dd/yy
OFFICE						
NAME						
DATE	mm/dd/yy	mm/dd/yy	mm/dd/yy	mm/dd/yy	mm/dd/yy	mm/dd/yy

OFFICIAL RECORD COPY

ENTER TYPE OF SENSITIVITY IN THIS AREA (BOLD, 11 PT FONT, ALL CAPS)

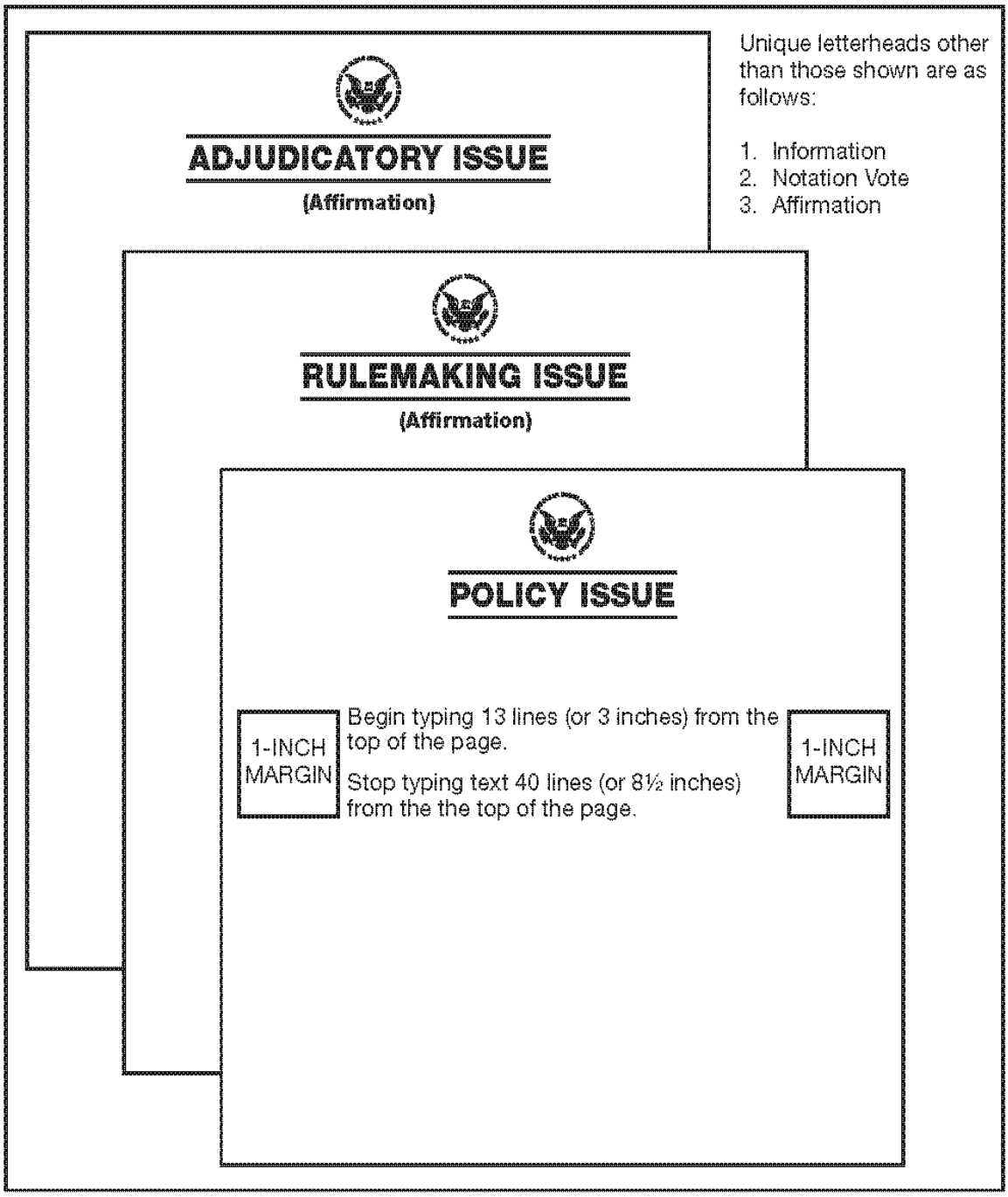


Figure 5.3
SECY Paper Letterheads and Spacing

VI. LETTERS

A. Overview

1. A letter is any correspondence addressed to other Government agencies, businesses, or individuals outside NRC (see Section VIII, "Definitions," of this handbook).
2. The type of correspondence that NRC officials sign, unless otherwise directed, is given in Table 2.1, "Signatory Responsibilities," in Section II, “Responsibilities For Writing and Handling Correspondence,” of this handbook.
3. Before preparing a final letter, see the following:
   (a) Figure 6.1, "Letter," in Section VI, “Letters,” of this handbook;
   (b) Figure 6.2, "Sensitive Letter," in Section VI, “Letters,” of this handbook;
   (c) Figure 6.3, “Letter for the Chairman’s Signature,” in Section VI, “Letters,” of this handbook;
   (d) Section VI.D.4, "Forms of Address," of this handbook;
   (e) Table 6.1, “Address Blocks” (for commonly used address blocks) in Section VI, “Letters,” of this handbook;
   (f) Table 6.2, “Salutations” (for examples of commonly used address blocks and salutations) in Section VI, “Letters,” of this handbook; and
   (g) Table 6.3, “Forms of Address” (for forms of address for U.S. Government officials, military personnel, some foreign officials, and religious officials) in Section VI, “Letters,” of this handbook.

B. Components and Formatting

1. Date

   The date on which the letter is signed.

   (a) Do not date a letter until it is signed. See also Section II, "Responsibilities for Writing and Handling Correspondence," of this handbook for correspondence that the SECY or the OEDO date.
   (b) Use only the date on which the letter is signed. Do not use the date of dispatch.
   (c) Type the date, centered, two lines below the letterhead. Date stamps are not visible in ADAMS and should not be used.
   (d) Use the format of **month, day, year**, spelling out the month.

   Example: April 4, 2008

2. Address Block

   The name and title of the principal recipients and the postal address to which the letter will be delivered.

   (a) Begin the address at the left margin at least six lines below the top margin.

   (b) Type the address single spaced, block style.

   (c) Left-justify all lines of the address, following the instruction and examples in Table 6.1, "Address Blocks."

   (d) Use the United States Postal Service (USPS) two-letter abbreviations for States and territories, plus a 9-digit ZIP Code, if available. Refer to the USPS Web site at http://www.usps.com to find—

      (i) State Abbreviations at http://www.usps.com/ncsc/lookups/abbreviations.html

      (ii) ZIP Code Lookup at http://www.usps.com/zip4/

      (iii) "Postal Addressing Standards" (Publication 28) at http://pe.usps.gov/text/pub28/welcome.htm

   (e) When responding to correspondence that has been signed by two or more individuals from different addresses, a separate letter to each individual must be prepared for signature. There is only one concurrence page that makes reference to the other individuals who are receiving identical letters.

      (i) The following statement should be placed on the concurrence page before the concurrence grid as follows:

      Identical Letters Sent To: John Doe, Jane Smith

      (ii) A separate page should be created listing the name and addresses of individuals who will be receiving identical letters.

      (iii) An exception would be preparing letters for the Chairman's signature. Only one letter is prepared for the Chairman's signature. The list of the other individuals to receive a signed letter is provided as a separate page listing the individuals' names and addresses. SECY will prepare all the letters for the Chairman's signature once Commission review is completed.

3. Subject Line (optional for a letter)

   Information to aid the recipient in identifying the principal purpose of the letter and, if applicable, that the letter responds to incoming correspondence about a particular topic.

   (a) Do not use a subject line on a letter to be signed by the Chairman, a Commissioner, the EDO, or the DEDOs, except for letters addressed to the Advisory Committee on Reactor Safeguards (ACRS), which the EDO signs.

   (b) You may use a subject line on a letter from any other NRC official, up to and including an office director or a regional administrator.

(c) Type the subject line at the left margin, two lines below the last line of the address.

(d) Type SUBJECT in capital letters at the left margin, followed by a colon.

(e) Type the subject information itself after the colon in capital letters.

(f) Use a one-line subject if possible. (See Figures 6.1, "Letter," and 6.2, "Sensitive Letter," in Section VI, “Letters,” of this handbook)

(g) If the subject requires more than one line, begin any subsequent line on the next line flush with the first word of the subject.

4. References (optional)

Information about a single document or a list of documents sufficient to help a reader find the document or its association with the content of the letter.

(a) If only a single reference is required, identify the reference in the first paragraph of the letter.

Example:

Section 2 of NRC’s Standard Review Plan (ML003674233) for mixed oxide fuel (MOX) facility applications describes NRC’s review of the financial qualifications for obtaining construction approval and an operations license for a MOX facility.

(b) If a number of references are needed, create a list on a separate page, identifying each reference by title, date, and accession number, as appropriate.

Examples:

References

NRC: Regulator of Nuclear Safety (NUREG/BR–0164)

Regulating Nuclear Fuel (NUREG/BR–0280)

Nuclear Research Programs To Ensure Public Health and Safety (NUREG/BR–0282)

Safety of Spent Fuel Transportation (NUREG/BR–0292)

References

Letter to Dr. Ivan Itkin, U.S. Department of Energy (DOE), transmitting NRC comments on DOE’s Draft Environmental Impact Statement for a High-Level Waste (HLW) Repository, 02/22/2000 (ML003689802)

Letter to Mr. James Riccio, Critical Mass Project, concerning the need for formal licensing hearings for an HLW Repository, 04/14/2000 (ML003711653)

Paper by Sitakanta Mohanty, Center for Nuclear Waste Regulatory Analyses, titled "Risk Assessment in the Disposal of High Level Radioactive Waste," 10/08/2002 (ML022810676)

5. Salutation

   Opening address to the principal recipient or recipients of the letter.

   (a) Begin the salutation at the left margin, two lines below the last line of the address or subject, if used.

   (b) Type the salutation single spaced, block style, followed by a colon, following the instructions and samples shown in Table 6.2, “Salutations,” in Section VI, “Letters,” of this handbook.

6. Body

   The content of the letter is divided into paragraphs, as needed.

   (a) Begin the body of the letter at the left margin on the first page, two lines below the salutation (see Figures 6.1, "Letter," and 6.2, "Sensitive Letter," in Section VI, “Letters,” of this handbook).

   (b) If necessary to continue the body of the letter on another page, include the page number centered on the top of the page and print the second and any subsequent pages on plain white paper.

   (c) If possible, limit letters to two pages.

   (d) Single-space a letter of two or more paragraphs.

   (e) Double-space a short one-paragraph letter of 10 or fewer lines, indenting the first line approximately ½ inch (1 tab).

   (f) Leave at least two lines of text at the bottom of a page or at the top of a continuation page to aid the reader’s comprehension when reading a paragraph that spans two pages.

   (g) Do not divide words between pages.

7. Complimentary Close

   Indicates that the letter is closing and precedes the signature.

   (a) Use "Sincerely," unless otherwise directed by the originator or specified in an overriding procedure (see Table 6.3, "Forms of Address," in Section VI, “Letters,” of this handbook).

   (b) Start the complimentary close at the center of the page, two lines below the last line of the letter.

8. Signature Block

   The name and title of the NRC official who signs the letter, usually called the signatory.

   (a) Type the name and title five lines below and flush with the first word of the complimentary close (see Figures 6.1, "Letter," and 6.2, "Sensitive Letter," in Section VI, “Letters,” of this handbook).

(b) On the first line of the signature block, type the name, followed by a comma and the title.

(c) If any line of the signature block extends beyond a single line, indent the remaining information two spaces on the next line.

Example:

Sincerely,

First M. Last, Title
Title of Branch (if applicable)
(Start second line here if applicable)
Title of Division (if applicable)
(Start second line here if applicable)
Title of Office
(Start second line here if applicable)

(d) If a letter requires two signature blocks, type the name and title five lines below and flush with the last line of the first signature block (see Figure 6.3, "Letter with Two Signature Blocks," in Section VI, "Letters," of this handbook).

Example:

Sincerely,

First M. Last, Title
Title of Branch (if applicable)
(Start second line here if applicable)
Title of Division (if applicable)
(Start second line here if applicable)
Title of Office
(Start second line here if applicable)

First M. Last, Title
Title of Branch (if applicable)
(Start second line here if applicable)
Title of Division (if applicable)
(Start second line here if applicable)
Title of Office
(Start second line here if applicable)

9. Enclosures (as needed)

   (a) Only if the body of the correspondence identifies each enclosure in such a way that a recipient could easily recognize an enclosure is the use of "As stated" permissible.

   (b) List each enclosure by number, type of document, name or an abbreviated name, or all of these, on correspondence.

   (c) Enclosures with lengthy titles should follow format of Enclosure 3 as shown below. Use any of the following format examples:

   Examples:

   Enclosures:
   1. Regulatory Guide 1.177
   2. Regulating Nuclear Fuel (NUREG/BR-0280)
   3. Proposed Rule Establishing Criminal Penalties for the Unauthorized Introduction of Weapons into Facilities Designated by the NRC

   Enclosure:
   Reactor Oversight Process (NUREG–1649)

   Enclosure:
   As stated

   (d) If at all possible, identify each enclosure in the bottom right corner of the first page only as “Enclosure 1,” “Enclosure 2,” etc. If an enclosure cannot be labeled in the bottom right corner, appropriately label a cover sheet(s). Do not use divider tabs. You may also add a cover sheet for an enclosure already labeled in the bottom right corner for ease of handling.

10. Attachment (as needed)

   (a) Label any information supplementary to an enclosure as an attachment.

   (b) If at all possible, identify each attachment in the bottom right corner of the first page only as “Attachment 1,” “Attachment 2,” etc.

   (c) If an attachment cannot be labeled in the bottom right corner, appropriately label a cover sheet(s). Do not use divider tabs.

   (d) You may also add a cover sheet for an attachment already labeled in the bottom right corner for ease of handling.

11. Envelope

   The container in which the letter and any enclosures will be sealed and mailed to the address on the envelope.

   (a) Type the address single space, block style.

(b) When using a window envelope, be certain that the entire address is visible through the window.

(c) See MD 3.23, "Mail Management," and NUREG/BR-0248, "The Mail Services Center Reference Guide," for more information.

C. Procedures for Handling

Follow the guidance in Sections IV.D through IV.G for creating notations, assembling, reproducing, and dispatching your letter, noting the exceptions in Section VI.D of this handbook for letters signed by the Chairman.

D. Exceptions for Letters To Be Signed by the Chairman

The following procedures are for letters intended for the Chairman's signature (see Figure 6.4, "Letter for Chairman's Signature"). Commissioners handle their own correspondence unless they request that the SECY staff control their correspondence in the SECY system (see Section VII, "Memoranda," of this handbook).

1. Preparing Chairman Correspondence

(a) Use NRC stationery with the NRC seal in the upper left corner with the legend "Chairman" under the seal (see Figure 4.1, "Page-Size Letterhead," in Section IV, "General Procedures for All Types of Correspondence," of this handbook).

(b) Indent the first line of every paragraph approximately ½ inch (1 tab).

(c) Begin letters with:

(i) "On behalf of the U.S. Nuclear Regulatory Commission, I am responding to your letter of May 14, 2008," or

(ii) "On behalf of the U.S. Nuclear Regulatory Commission, I am responding to your letter of May 14, 2008, to [original addressee]."

(d) Limit the letter to no more than two pages, making the text brief, factual, easily understood by the intended recipients, and responsive to the concerns of the incoming correspondence. (See Section III, "Writing Guidelines," of this handbook). On a continuation page, type only the centered page number in the header, omitting the recipient's name.

(e) In the signature block, use only the Chairman's name without a title.

(f) If a letter refers to a docket case, type the docket number only on the official record copy (concurrence page), two lines below the signature line.

(g) Place on the concurrence page one of the following two statements to help SECY determine if the correspondence should be Commission-approved (all Commissioners approving) or just Chairman-approved (only Chairman approving):

This correspondence addresses policy issues previously resolved by the Commission, transmits factual information, or restates Commission policy.

-or

This correspondence formulates policy or expands, revises, or interprets policy, involves matters pending Commission decision, contains items relating to the performance of Commission duties and responsibilities, or involves items of high Commission interest.

(h) For more information, see “Outgoing Correspondence,” of the Internal Commission Procedures, Chapter V, "Institutional Correspondence," on NRC’s Public Web site (http://www.nrc.gov/about-nrc/policy-making/internal.html).

(i) Send a letter for the Chairman’s signature, undated, to OEDO’s ACS.

(j) ACS sends a letter for the Chairman’s signature to the SECY staff for signature, copying, and processing.

(k) Commission-level offices send letters for the Chairman’s signature, undated, directly to SECY.

(l) If the letter is for the Chairman’s signature, the ADAMS profile should be filled out completely by the originating office.

(m) SECY must have owner rights in ADAMS to the package and all documents within.

(n) The SECY staff completes the profile for these letters and declares the letters OARs in ADAMS. The SECY staff also ensures that no correspondence addressed to the White House is made available to the public. White House officials reserve the right to make this correspondence public.

2. Copy Requirements for Chairman Correspondence

(a) Place the following copy requirements, if applicable, on the official record copy (the concurrence page):

(i) The SECY correspondence control ticket and/or the OEDO tasking item number(s), if applicable

(ii) EDO r/f

(iii) SECY, when the correspondence is referred by SECY, referencing SECY’s correspondence record alphanumeric control number (e.g., LTR-yy-xxxx)

(iv) OCA, when the letter responds to a congressional letter or inquiry or is related to congressional issues

(v) Offices receiving a copy of the incoming letter, which the EDO’s ACS identifies in the routing column of the OEDO’s tasking item, also receive a copy of the response

(vi) Other information copies designated by the originator

(b) SECY reviews the originating office’s recommendations on the ADAMS Document Submission NRC Form 665S (ML020170281) or NRC Form 665P (ML020170279); finalizes each letter in ADAMS; determines the public or non-public availability; and declares the letter an OAR.

3. Reproduction for Chairman Correspondence

   Reproduce copies, as necessary, of these letters for those on the distribution list after it is returned to the originating office signed and dated.

4. Forms of Address

   (a) Table 6.1, “Address Blocks,” in Section VI, “Letters,” of this handbook gives examples of commonly used address blocks and Table 6.2, “Salutations,” in Section VI, “Letters,” of this handbook gives examples of less commonly used address blocks and their salutations. Table 6.3, “Forms of Address,” in Section VI, “Letters,” of this handbook gives the conventional forms of address as determined by social and official custom, including the address element, salutation, and complimentary close. See also the *Congressional Directory* available at http://www.gpoaccess.gov/cdirectory/index.html.

   (b) Information on forms of address is also available on-line on the external Web Brain Bank site at http://www.cftech.com/BrainBank/. Select **Other Reference**, **Forms of Address**, and then **Spoken and Written Forms of Address**.

Table 6.1
Address Blocks

Instruction	Example
Type the usual three-line address to an individual as described in the preceding instructions.	Mr. Claude J. Jones 1500 E. Main Avenue Glory, VA 22151-1010
When a line in an address extends beyond the center of the page, go to the next line and indent the remainder of that line of the address two spaces.	Mr. James Reed American Academy of Architects and Construction Engineers 1400 Pennsylvania Avenue NW Washington, DC 20005-1357
When using a foreign address, place the country's name by itself on the last line.	Mr. Thomas Clark 117 Russell Drive London W1P6HQ England
When using both a Post Office (PO) box number and a PO station name or number, type the PO box number first. Use either a street address or a PO box number, but not both.	Mr. John R. Brown ABC Company PO Box 2, Potomac Station 1 Potomac, MD 20858-5432
When using a rural route number, abbreviate rural route (RR) and follow it by Arabic numerals; omit the symbol (#) or the word "number."	Ms. Jane A. Jackson RR2, Box 152 Wading River, NY 10972-1234
When using an apartment, suite, or other unit number, type it after the street address on the same line, or if it extends beyond the center of the page, type it on the line below the street address.	Mrs. Sue Brown 7000 Vernon Street, Apt. 2 Camp Springs, MD 20022-1443 Mrs. Sally James 1629 Inverness Racing Circle Parkway Apt. 10 Winona, MD 26213-1330
Use an attention line in the address, only on an envelope, not in the addressee block of the letter. Type it after the primary recipient's name or organization.	Mr. John Jackson, President ATTN: Mr. Robert Roe XYZ Nuclear Power Plant 123 Highland Road Detroit, MI 48217-1234 The Xerox Corporation ATTN: Mr. Richard Rex 169 Corporate Road Detroit, MI 48217-1234

Table 6.2
Salutations

Ex. No.	Instruction and Letter Address	Salutation
1.	To a single individual known to be male or female, use the name known. Mrs. Sue Brown 7000 Vernon Street, Apt. 2 Camp Springs, MD 20022-1443 Mr. Claude J. Jones 1500 E. Main Avenue Glory, VA 22151-1010	 Dear Mrs. Brown: Dear Mr. Jones:
2.	When it is not known whether the addressee is male or female, use the name as given S. J. Jones RR2, Box 152 Wading River, NY 10972-1234	 Dear S. J. Jones:
3.	When the principal addressee is an organization, use "Gentlemen" as the salutation. National Atomic Corporation 123 Maritime Street New York, NY 20050-2000	 Gentlemen:
4.	If the organization is known to be primarily female, use "Ladies" as the salutation. Federally Employed Women 4552 N. Capitol Street Washington, DC 20040-1000	 Ladies:
5.	When writing a generic letter, use a generic address line but omit the salutation.	**To: ALL BOILING WATER REACTOR LICENSEES**

Table 6.3
Forms of Address

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. *or* Madam President: Respectfully,
Spouse of the President	Mrs. (full name) *or* Mr. (full name) The White House Washington, DC 20500	Dear Mrs. *or* Mr. (surname): Sincerely,
Assistant to the President	The Honorable (full name) Assistant to the President The White House Washington, DC 20500	Dear Mr., Mrs., Miss, *or* Ms. (surname): Sincerely,
Former President	The Honorable (full name)* (local address) (ZIP Code) * *Use The Honorable unless the former President prefers another title earned, such as a military one, in which case, use—* *General (full name);*	Dear President (surname): Sincerely, *Dear General (surname):* *Sincerely*
The Vice President	The Vice President United States Senate Washington, DC 20510	Dear Mr. *or* Madam Vice President: Sincerely,
Former Vice President	The Honorable (full name) (no title) (local address) (ZIP Code)	Dear Mr., Mrs., Miss, *or* Ms. (surname): Sincerely,
Director, Office of Management and Budget	The Honorable (full name) Director, Office of Management and Budget Washington, DC 20503	Dear Mr., Mrs., Miss, *or* Ms. (surname): Sincerely,

Table 6.3
Forms of Address

Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
THE FEDERAL JUDICIARY		
The Chief Justice	The Chief Justice The Supreme Court Washington, DC 20543	Dear Chief Justice: Sincerely,
Associate Justice	Justice (surname) The Supreme Court Washington, DC 20543	Dear Justice (surname): Sincerely,
The Clerk of the Supreme Court	The Clerk of the Supreme Court The Supreme Court Washington, DC 20543	Dear Mr., Mrs., Miss, *or* Ms. (surname): Sincerely,
THE CONGRESS		
President of the Senate	The Honorable (full name) President of the Senate Washington, DC 20510	Dear Mr. *or* Madam President: Sincerely,
President of the Senate Pro Tempore	The Honorable (full name) President Pro Tempore United States Senate Washington, DC 20510	Dear Mr. *or* Madam President: Sincerely,
Speaker of the House of Representatives	The Honorable (full name) Speaker of the House of Representatives Washington, DC 20515	Dear Mr. *or* Madam Speaker: Sincerely,
Majority Leader United States Senate	The Honorable (full name) Majority Leader United States Senate Washington, DC 20510	Dear Mr. *or* Madam Leader: Sincerely,
Minority Leader United States Senate	The Honorable (full name) Minority Leader United States Senate Washington, DC 20510	Dear Mr. *or* Madam Leader: Sincerely,
United States Senator	The Honorable (full name) United States Senate Washington, DC 20510 *or* The Honorable (full name) United States Senator (Congressional District office address) (City), (State) (ZIP Code)	Dear Senator (surname): Sincerely,

Table 6.3
Forms of Address

Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
Majority Leader House of Representatives	The Honorable (full name) Majority Leader United States House of Representatives Washington, DC 20515	Dear Mr. *or* Madam Leader: Sincerely,
Minority Leader House of Representatives	The Honorable (full name) Minority Leader United States House of Representatives Washington, DC 20515	Dear Mr. *or* Madam Leader: Sincerely,
United States Representative	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 *or* Congresswoman (surname): Sincerely,
Committee Chairman Chairwoman Chair	The Honorable (full name) Chairman, Committee on (name) United States Senate Washington, DC 20510 *or* The Honorable (full name) Chairman, Committee on (name) House of Representatives Washington, DC 20515	Dear Mr. Chairman, *or* Madam Chairman, *or* Chair: Sincerely,
Subcommittee Chairman	The Honorable (full name) Chairman, Subcommittee on (name) (name of parent committee) United States Senate Washington, DC 20510 *or* The Honorable (full name) Chairman, Subcommittee on (name) (name of parent committee) House of Representatives Washington, DC 20515	Dear Mr. Chairman, *or* Madam Chairman, *or* Chair: Sincerely, *or* Dear Mr. *or* Madam Chairman: Sincerely,

Table 6.3
Forms of Address

Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
Joint Committee Chairman* * *See also the Congressional Directory and in the ADAMS Correspondence Format File folders, see OCA Formats.*	The Honorable (full name) Chairman, Joint Committee on (name) Congress of the United States Washington, DC (ZIP Code)	Dear Mr. *or* Madam Chairman: Sincerely,
Senator-elect *or* Representative-elect	The Honorable (full name) United States Senator-elect (address, if given) *or* Care of the United States Senate Washington, DC 20510 *or* The Honorable (full name) United States Representative-elect (address, if given) *or* Care of the United States House of Representatives Washington, DC 20515	Dear Senator-elect (surname): Sincerely, *or* Dear Congressman-elect: Sincerely,
Office of a Deceased Senator *or* Office of a Deceased Representative	Office of the late Senator* (full name) United States Senate Washington, DC 20510 *or* Office of the late Representative (full name) House of Representatives Washington, DC 20515 * *If the name of the late Senator's administrative assistant is known, address the letter to that person by name.*	Sir *or* Madam: Sincerely,

Table 6.3
Forms of Address

Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
Chaplain of the United States Senate *or* House of Representatives	The Reverend (full name) Chaplain of the United States Senate Washington, DC 20510 *or* The Reverend (full name) Chaplain of the House of Representatives Washington, DC 20515	Dear Mr., Mrs., Miss, *or* Ms. (surname):* Sincerely, * *The title is "Mr." or "Dr." as appropriate. Do not use "Reverend" with the surname alone.*
Secretary of the United States Senate	The Honorable (full name) Secretary of the Senate United States Senate Washington, DC 20510	Dear Mr., Mrs., Miss, *or* Ms. (surname): Sincerely,
Clerk of the House	The Honorable (full name) Clerk of the House of Representatives House of Representatives Washington, DC 20515	Dear Mr., Mrs., Miss, *or* Ms. (surname): Sincerely,
Resident Commissioner	The Honorable (full name) Resident Commissioner from Puerto Rico United States House of Representatives Washington, DC 20515	Dear Mr., Mrs., Miss, *or* Ms. (surname): Sincerely,
Delegate	The Honorable (full name) Delegate from (name) United States House of Representatives Washington, DC 20515	Dear Mr., Mrs., Miss, *or* Ms. (surname): Sincerely,
LEGISLATIVE AGENCIES		
Comptroller General	The Honorable (full name) Comptroller General of the United States Washington, DC 20548	Dear Mr., Mrs., Miss, *or* Ms. (surname): Sincerely,
Librarian of Congress	The Honorable (full name) Librarian of Congress Library of Congress Washington, DC 20540	Dear Mr., Mrs., Miss, *or* Ms. (surname): Sincerely,

Table 6.3
Forms of Address

Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
Public Printer	The Honorable (full name) Public Printer U.S. Government Printing Office Washington, DC 20401	Dear Mr., Mrs., Miss, *or* Ms. (surname): Sincerely,
EXECUTIVE DEPARTMENTS AND INDEPENDENT AGENCIES		
Cabinet Members	The Honorable (full name) Secretary of (Department) Washington, DC (ZIP Code) *or* The Honorable (full name) Attorney General Washington, DC 20530	Dear Mr. *or* Madam Secretary: Sincerely, *or* Dear Mr. *or* Madam Attorney General: Sincerely,
Deputy Secretaries *or* Assistant Secretaries *or* Under Secretaries	The Honorable (full name) Deputy Secretary of (Department) Washington, DC (ZIP Code) *or* The Honorable (full name) Assistant Secretary of (Department) Washington, DC (ZIP Code) *or* The Honorable (full name) Under Secretary of (Department) Washington, DC (ZIP Code)	Dear Mr., Mrs., Miss, *or* Ms. (surname): Sincerely,
Postmaster General	The Honorable (full name) Postmaster General Washington, DC 20260	Dear Mr. *or* Madam Postmaster General: Sincerely,
Head of a Federal Agency, Authority, *or* Board	The Honorable (full name) (title) (agency name) (address) (City), (State) (ZIP Code)	Dear Mr., Mrs., Miss, *or* Ms. (surname): Sincerely,
Head of a major organization within an agency, if a Presidential appointee	The Honorable (full name) (title), (organization name) (agency name) (address) (City), (State) (ZIP Code)	Dear Mr., Mrs., Miss, *or* Ms. (surname): Sincerely,

Table 6.3
Forms of Address

Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
Chairman of a Commission *or* Board	The Honorable (full name) Chairman, (commission name) (address) (City), (State) (ZIP Code)	Dear Mr. *or* Madam Chairman: Sincerely,
Chairman of a Permanently Chartered Commission *or* Council	Chairman (full name) (commission name) (address) (City), (State) (ZIP Code)	Dear Mr., Mrs., Miss, *or* Ms. (surname): Sincerely,
AMERICAN MISSIONS		
Ambassador	The Honorable (full name) American Ambassador (City) (Country)	**Formal:** Sir *or* Madam: Dear Mr. *or* Madam: Very truly yours, **Informal:** Ambassador: Sincerely,
Personal (Special) Representative of the President	The Honorable (full name) Personal Representative of the President of the United States of America to (country) (address) (City), (State) (Country)	Dear Mr., Mrs., Miss, *or* Ms. (surname): Sincerely,
American Consul General *or* American Consul	Mr. (full name) American Consul General *or* American Consul) (City) (Country)	Dear Mr., Mrs., Miss, *or* Ms. (surname): Sincerely,
FOREIGN DIPLOMATIC MISSIONS TO THE UNITED STATES		
Foreign Ambassador in the United States	His *or* Her Excellency (full name) Ambassador of (Country) Washington, DC (ZIP Code)	**Formal:** Excellency: Very truly yours, **Informal:** Dear Mr. *or* Madam Ambassador: Sincerely,

Table 6.3
Forms of Address

Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
Foreign Minister in the United States (head of a Legation)	The Honorable (full name) Minister of (Country) Washington, DC (ZIP Code)	Dear Mr. *or* Madam Minister: Sincerely,
Foreign Minister *or* Counselor in the United States	The Honorable (full name) Minister *or* Counselor Embassy of (Country) Washington, DC (ZIP Code)	Dear Mr. *or* Madam Minister: Sincerely,
INTERNATIONAL ORGANIZATIONS		
United States Representative to the United Nations *or* Organization of American States	The Honorable (full name) United States Representative to the United Nations (*or* Organization of American States) (City), (State) (ZIP Code)	**Formal:** Sir *or* Madam: Very truly yours, **Informal:** Dear Mr. *or* Madam Ambassador: Sincerely,
STATE AND LOCAL GOVERNMENTS		
Governor of State	The Honorable (full name) Governor of (State) (City), (State) (ZIP Code)	Dear Governor (surname): Sincerely,
Lieutenant Governor	The Honorable (full name) Lieutenant Governor of (State) (City), (State) (ZIP Code)	Dear Mr., Mrs., Miss, *or* Ms. (surname): Sincerely,
Attorney General of a State	The Honorable (full name) Attorney General State of (State) (City), (State) (ZIP Code)	Dear Mr., Mrs., Miss, *or* Ms. Attorney General: Sincerely,
State Senator	The Honorable (full name) (State) Senate (City), (State) (ZIP Code)	Dear Mr., Mrs., Miss, *or* Ms (surname): Sincerely,
State Representative *or* Assemblyman *or* Delegate	The Honorable (full name) (State) House of Representatives *or* (State) Assembly *or* (State) House of Delegates (City), (State) (ZIP Code)	Dear Mr., Mrs., Miss, *or* Ms. (surname): Sincerely,
Mayor	The Honorable (full name) Mayor of (City) (City), (State) (ZIP Code)	Dear Mayor (surname): Sincerely,

Table 6.3
Forms of Address

Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
President of a Board of Commissioners	The Honorable (full name) President, Board of Commissioners of (name of city) (City), (State) (ZIP Code)	Dear Mr., Mrs., Miss, *or* Ms. (surname): Sincerely,
CHURCH OFFICIALS		
Minister *or* Pastor *or* Rector (with doctoral degree)	The Reverend (full name, degrees) (name of church) (address) (City), (State) (ZIP Code)	Dear Dr. (surname): Sincerely,
Minister *or* Pastor *or* Rector (with no doctoral degree)	The Reverend (full name) (name of church) (address) (City), (State) (ZIP Code)	Dear Mr., Mrs., Miss, *or* Ms. (surname): Sincerely,
Presiding Episcopal Bishop	The Most Reverend (full name, degrees) Presiding Bishop of the Episcopal Church (address) (City), (State) (ZIP Code)	Dear Bishop (surname): Sincerely,
Episcopal Bishop	The Right Reverend (full name, degrees) Bishop of (diocese) (address) (City), (State) (ZIP Code)	Dear Bishop (surname): Sincerely,
Episcopal Dean	The Very Reverend (full name, degrees) Dean of (church) (address) (City), (State) (ZIP Code)	Dear Dean (surname): Sincerely,
Methodist Bishop	The Reverend (full name, degrees) Methodist Bishop (address) (City), (State), (ZIP Code)	Dear Bishop (surname): Sincerely,
Mormon Bishop	Mr. (Full name) The Church of Jesus Christ of Latter-Day Saints (address) (City), (State) (ZIP Code)	Dear Mr. (surname): Sincerely,

Table 6.3
Forms of Address

Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
Rabbi (with doctoral degree)	Rabbi (full name, degrees) (Synagogue) (address) (City), (State) (ZIP Code)	Dear Dr. (surname): Sincerely,
Rabbi (without doctoral degree)	Rabbi (full name) (Synagogue) (address) (City), (State) (ZIP Code)	Dear Rabbi (surname): Sincerely,
Catholic Cardinal	His Eminence (first name) Cardinal (surname) (address) (City), (State) (ZIP Code)	Dear Cardinal (surname): Sincerely,
Catholic Archbishop	The Most Reverend (full name) Archbishop of (archdiocese) (address) (City), (State) (ZIP Code)	Dear Archbishop (surname): Sincerely,
Catholic Bishop	The Most Reverend (full name) Bishop of (diocese) (address) (City), (State) (ZIP Code)	Dear Bishop (surname): Sincerely,
Catholic Monsignor (higher rank)	The Right Reverend (full name) (address) (City), (State) (ZIP Code)	Dear Monsignor (surname): Sincerely,
Catholic Monsignor (lower rank)	The Very Reverend (full name) (address) (City), (State) (ZIP Code)	Dear Monsignor (surname): Sincerely,
Catholic Priest	The Reverend (full name) (initials of order, if used) (address) (City), (State) (ZIP Code)	Dear Father (surname): Sincerely,
Catholic Mother Superior of an institution	The Reverend Mother Superior, (initials of order, if used) (name of institution) (address) (City), (State) (ZIP Code)	Dear Reverend Mother: Sincerely,
Orthodox Archbishop	His Eminence Archbishop (full name) (address) (City), (State) (ZIP Code)	Your Eminence: Sincerely,

Table 6.3
Forms of Address

Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
Orthodox Bishop	His Grace (full name) Bishop of (name of diocese) (address) (City), (State) (ZIP Code)	Your Grace: Sincerely,
Orthodox Priest	The Reverend (full name) (name of church) (address) (City), (State) (ZIP Code)	Dear Father: Sincerely,
Chaplain (military services)	Chaplain (full name) (rank, service designation) (address) (City), (State) (ZIP Code)	Dear Chaplain (surname): Sincerely,
MILITARY SERVICES		
Army, Air Force, Marine Corps		
General Lieutenant General Major General Brigadier General	(full rank, full name, abbreviation of service), (address) (City), (State) (ZIP Code)	Dear General (surname): Sincerely,
Colonel Lieutenant Colonel	(full rank, full name, abbreviation of service), (address) (City), (State) (ZIP Code)	Dear Colonel (surname): Sincerely,
Major	(full rank, full name, abbreviation of service), (address) (City), (State) (ZIP Code)	Dear Major (surname): Sincerely,
Captain	(full rank, full name, abbreviation of service), (address) (City), (State) (ZIP Code)	Dear Captain (surname): Sincerely,
First Lieutenant Second Lieutenant	(full rank, full name, abbreviation of service), (address) (City), (State) (ZIP Code)	Dear Lieutenant (surname): Sincerely,
Chief Warrant Officer *or* Warrant Officer	(full rank, full name, abbreviation of service), (address) (City), (State) (ZIP Code)	Dear Chief Warrant Officer (surname): *or* Dear Warrant Officer (surname): Sincerely,

Table 6.3
Forms of Address

Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
Sergeant Major Master Sergeant Sergeant First Class Technical Sergeant Staff Sergeant Sergeant	(full rank, full name, abbreviation of service), (address) (City), (State) (ZIP Code)	Dear Sergeant (surname): Sincerely,
Corporal	(full rank, full name, abbreviation of service), (address) (City), (State) (ZIP Code)	Dear Corporal (surname): Sincerely,
Specialist classes 4 through 9	(full rank, full name, abbreviation of service), (address) (City), (State) (ZIP Code)	Dear Specialist (surname): Sincerely,
Private First Class *or* Private	(full rank, full name, abbreviation of service), (address) (City), (State) (ZIP Code)	Dear Private (surname): Sincerely,
Airman First Class Airman Second Class Airman Third Class Basic Airman	(full rank, full name, abbreviation of service), (address) (City), (State) (ZIP Code)	Dear Airman (surname): Sincerely,
Navy, Coast Guard		
Admiral Vice Admiral Rear Admiral Captain	(full rank, full name, abbreviation of service) (City), (State) (ZIP Code)	Dear Admiral (surname): Dear Admiral (surname): Rear Admiral (surname): Dear Captain (surname): Sincerely,
Commander Lieutenant Commander	(full rank, full name, abbreviation of service), (City), (State) (ZIP Code)	Dear Commander (surname): Sincerely,
Lieutenant Lieutenant (jg)	(full rank, full name, abbreviation of service), (City), (State) (ZIP Code)	Dear Lieutenant (surname): Sincerely,
Ensign Chief Warrant Officer Enlistee	(full rank, full name, abbreviation of service), (City), (State) (ZIP Code)	Dear (rank, surname): Sincerely,

Table 6.3
Forms of Address

Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
All Services		
Retired Officer	(full rank, full name, abbreviation of service), Retired (address) (City), (State) (ZIP Code)	Dear (rank, surname): Sincerely,
SERVICE ACADEMIES (OFFICER CANDIDATES)		
U.S. Army or Coast Guard Academy		
Army Cadet *or* Coast Guard Cadet	Cadet (full name) (address) (City), (State) (ZIP Code)	Dear Cadet (surname): Sincerely,
U.S. Naval Academy		
Navy Midshipman	Midshipman (full name) (address) (City), (State) (ZIP Code)	Dear Midshipman (surname): Sincerely,
U.S. Air Force Academy		
Air Force Cadet	Cadet (full name) (address) (City), (State) (ZIP Code)	Dear Cadet (surname): Sincerely,
EDUCATION OFFICIALS		
President of a College or University (with doctoral degree)	Dr. (full name) President, (name of institution) (address) (City), (State) (ZIP Code)	Dear Dr. (surname): Sincerely,
President of a College or University (without doctoral degree)	Mr., Mrs., Miss, *or* Ms. (full name) President, (name of institution) (address) (City), (State) (ZIP Code)	Dear Mr., Mrs., Miss, *or* Ms. (surname): Sincerely,
Dean of a School	Dean (full name) School of (name) (name of institution) (address) (City), (State) (ZIP Code)	Dear Dean (surname): Sincerely,
Professor	Professor (full name) Department of (name) (name of institution) (address) (City), (State) (ZIP Code)	Dear Professor (surname): Sincerely,

Table 6.3
Forms of Address

Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
Associate Professor Assistant Professor	Mr. (full name) Associate Professor *or* Assistant Professor Department of (name) (name of institution) (address) (City), (State) (ZIP Code)	Dear Professor (surname): Sincerely,
PHYSICIANS AND LAWYERS		
Physician	(full name), M.D. (address) (City), (State) (ZIP Code)	Dear Dr. (surname): Sincerely,
Lawyer	Mr., Mrs., Miss, *or* Ms. (full name) Attorney at Law (address) (City), (State) (ZIP Code)	Dear Mr., Mrs., Miss, *or* Ms. (surname): Sincerely,
MULTIPLE ADDRESSES		
One Woman *and* One Man	Mrs., Miss, *or* Ms. (full name) *and* Mr. (full name)* (address) (City), (State) (ZIP Code) **You also may address a letter to two or more persons to only one of them when the other is mentioned by name in the opening paragraph.*	Dear Mrs., Miss, *or* Ms. (surname) and Dear Mr. (surname): Sincerely,
Two or More Men	Mr. (full name) and Mr. (full name) (address) (City), (State) (ZIP Code)	Dear Mr. (surname) and Mr. (surname) *or* Dear Messrs. (surname) and (surname): Sincerely,
Two or More Women	Mrs., Miss, *or* Ms. (full name) and Mrs., Miss, *or* Ms. (full name) (address) (City), (State) (ZIP Code)	Dear Mrs. (surname): and Ms. (surname): *or* Dear Mmes. (surname): (if married) and Mlles. (surnames): (if unmarried) Sincerely,

Table 6.3
Forms of Address

Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
OTHER		
Unknown Gender	Leslie Smith (address) (City), (State) (ZIP Code) *or* A. J. Jones (address) (City), (State) (ZIP Code)	Dear Leslie Smith: Sincerely, *or* Dear A. J. Jones: Sincerely,

E. General Rules for Forms of Address

Section VI, “Letters,” includes general rules to use as patterns for developing other forms of address for which an example may not be given. See also the *Congressional Directory* available at http://www.gpoaccess.gov/cdirectory/index.html.

1. Titles of Addressees

(a) Exercise flexibility in the use of titles. For example, replace "The Honorable" by a title such as "Dr." or "General," but do not use it in combination with another title.

(b) Do not give a title a separate line. Depending on the length of the names of an individual and an organization and on the length of the address, place the title after the last name, separated by a comma, or on a line by itself, preceding the name of the organization.

(c) After leaving a titled position, an individual may opt to retain his or her distinctive title (such as "Judge," "General," or "Governor") throughout his or her lifetime. Defer to the individual’s personal preference.

(d) Use of "The Honorable"

(i) "The Honorable" is a title used to address, by name, current and former high officials—Presidential appointees, Federal and State elected officials, and mayors.

(ii) As a general rule, do not use "The Honorable" to address other county and city officials. "Honorable" is not used by itself. For example—

Correct:	**Incorrect:**
The Honorable May L. Smith Attorney General	Honorable May L. Smith Attorney General

(iii) "The Honorable" is a courtesy title that may, in certain instances, be used with an official title without a name. Cabinet officers and Governors of States may be addressed in this manner.

Example:

The Honorable	The Honorable
The Secretary of State	The Governor of Illinois

(iv) Do not use "The Honorable" before a last name alone. When “The Honorable” appears in the text of a letter or other communication, do not capitalize "the." For example, "the speech given by the Honorable John H. Doe."

(v) In the United States, use this title to address ministers of foreign embassies in Washington (including career ministers serving as chargé d'affaires).

Example:

The Honorable (full name)
Chargé d'Affaires ad interim of Italy

(vi) Use "The Honorable" to address the heads of international organizations by name, unless the officials are entitled to "His Excellency" or "Her Excellency" by virtue of a previous position.

Example:

The Honorable (full name)
World Health Organization
Geneva, Switzerland

(e) Use of "His (Her) Excellency"

(i) The title "His (Her) Excellency" is not, by custom, used to address high officials of the U.S. Government. Use this title, as appropriate, to address by name officers, foreign ambassadors, foreign high officials, and former foreign high officials.

Example:

Her Excellency (full name)
Ambassador of Canada

(ii) Custom dictates omitting "His Excellency" or "Her Excellency" when addressing the British Prime Minister or the cabinet officers of certain countries within the British Commonwealth. Any individual once entitled to the title "His Excellency" or "Her Excellency" may retain it throughout his or her lifetime.

(f) Abbreviations of Titles and Degrees

(i) Before Name

With the exceptions of "Mr." or "Mrs." and "Dr.," do not abbreviate titles preceding full names in an address. However, you may abbreviate long titles such as "Lieutenant Colonel" and "Brigadier General" for the sake of balance and appearance in the address when necessary.

Example:

Lt. Colonel John L. G. Smithson

Note that the basic rank (i.e., Colonel) is not abbreviated. For the previous example, the salutation would read:

Dear Colonel Smithson:

(ii) Designations Following Addressee's Name

- Abbreviate designations of degrees, religious and fraternal orders, fellowships, and military service branch titles after a name. Type the initials of an individual degree or order with periods but no spaces between them; type military service designations in capital letters without periods, separated from the surname after a comma.
- Do not use scholastic degrees in combination with complimentary titles of address or with military service ranks, except in the case of "The Reverend."
- When a name is followed by abbreviations designating religious and fraternal orders or scholastic and honorary degrees, their sequence is as follows:

  – Orders (religious first)
  – Theological degrees
  – Academic degrees earned in course of study
  – Honorary degrees in order of the bestowal
- Using more than two degrees is unnecessary.

  Example:

  John Doe, D.D., D.Lit.
  Patricia L. Smith, M.D.
  Henry Brown, LL.D., Ph.D.
  Lt. Colonel Mary Hill, USAF
  The Reverend George Green, D.D.

(iii) Use of "Dr. (Doctor)"

Use this abbreviated title before the names of persons who have acquired entitling degrees, but not in combination with the abbreviation for the degree.

Example: Dr. Jane Evans **or** Jane Evans, M.D.

Not

Dr. Jane Evans, Ph.D.

(iv) Use of "Reverend," "Right Reverend," and so on

Written in full and preceded by "The," use these titles in addressing members of the clergy. They are not abbreviated.

Examples:

The Reverend Paul Carter (clergyman)
The Reverend Dr. Paul Carter (clergyman with doctorate)
The Right Reverend Paul Carter (bishop)

(g) Spouse of Distinguished Individual

An individual does not share a spouse's official title; therefore, address the spouse individually by his or her own appropriate title and last name.

Example:

The American Ambassador and Mrs. Doe
or
The American Ambassador and Mr. Doe

(h) U.S. Citizens

In addressing U.S. citizens, do not use complimentary titles in combination with any other title or with abbreviations indicating scholastic degrees (except "The Reverend").

Example: John Smith, A.B., Ph.D.

Not

Mr. John Smith, A.B., Ph.D.

But

The Reverend Dr. Geoffrey Owens

(i) Gender Unknown

Address an individual whose gender is unknown by first and last name. Do not use a complimentary title.

2. Salutations

When a woman occupies a high government position, substitute the title "Madam" for "Mr." before such formal titles as "President," "Vice President," "Chairman," "Secretary," and "Ambassador." Substitute the appropriate title of "Miss," "Mrs.," or "Ms." for "Mr." when the surname, rather than a formal title, follows.

Example:

Dear Madam Secretary: (Cabinet officer)	**but**	Dear Senator Smith: (Member of U.S. Senate)
Dear Madam Ambassador:		Dear Congresswoman Smith:
Dear Madam Chairman: (Chairman of Committee in Congress)		(Member of the House of Representatives)

When it is not known if the addressee is a man or woman, use the name as given. For example, "Dear R. C. Roe."

(a) Formal Salutation

"Sir" or "Madam" is sometimes used as a formal salutation in addressing high-ranking Federal, State, or local officials. Letters to court officers often carry the salutation "Sir" or "Madam" when they are addressed to the officer by title rather than by name. Use of "Sirs or Madams" is permissible in letters to business firms or private organizations or when the identity of the specific addressees is not known.

(b) Informal Salutation

This form of salutation is the most commonly used in the United States. Unless the person holds a title, the salutation is usually "Dear Mr., Miss, Mrs., or Ms. (Last name)." For example—

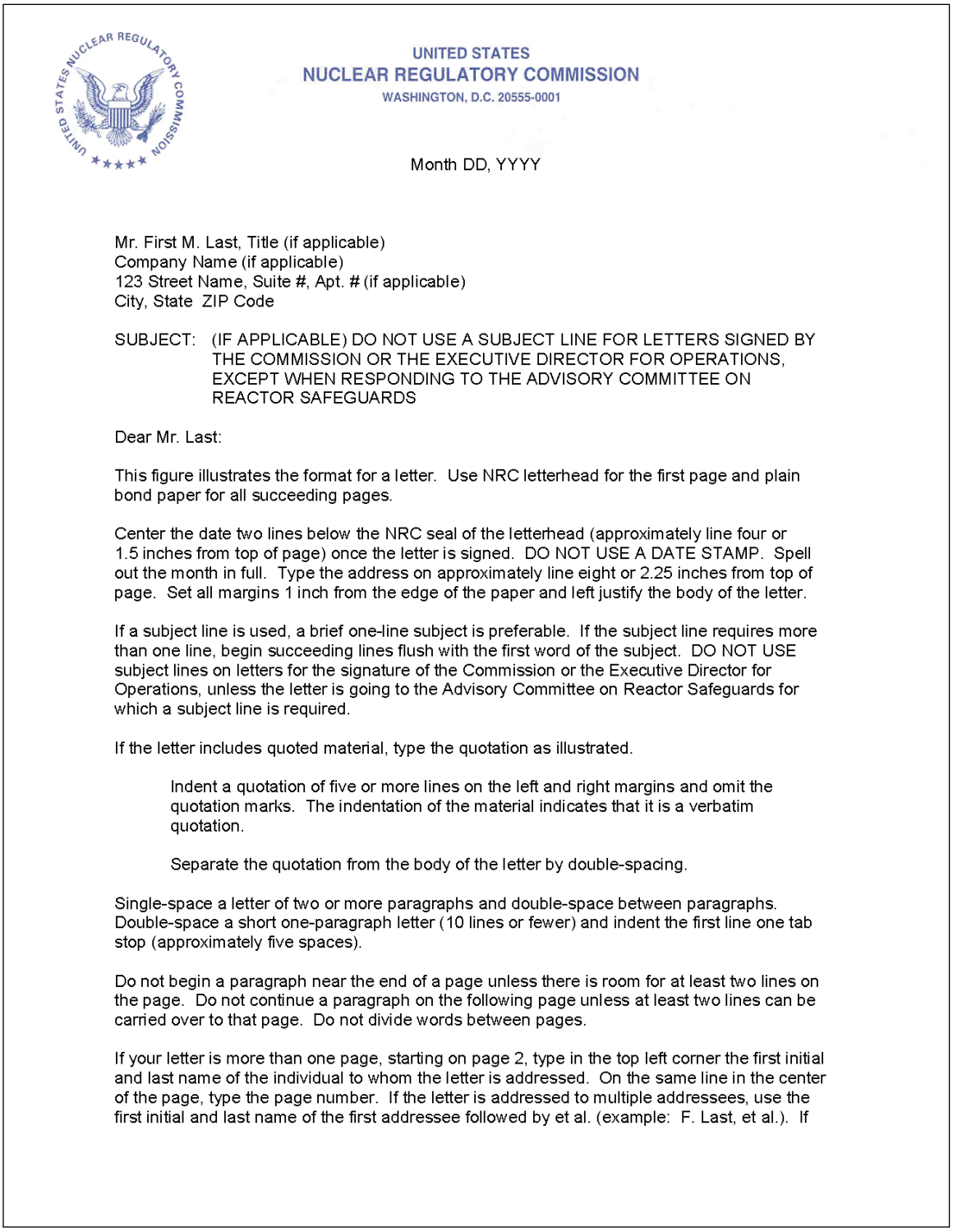
Dear Mr., Miss, Mrs., or Ms. Jones: **but not** Dear Reverend Brown:
Dear Senator Doe:
Dear General Smith:
Dear Mr. Brown:

In official correspondence, the titles of top-ranking Government officials such as the President, Vice President, Chief Justice, Secretary, and Ambassador are never used with the individual's last name. Instead, use the following salutation:

Dear Mr. President: **or** Dear Madam Ambassador:

3. Complimentary Close

Use the complimentary close "Sincerely."



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

Month DD, YYYY

Mr. First M. Last, Title (if applicable)
Company Name (if applicable)
123 Street Name, Suite #, Apt. # (if applicable)
City, State ZIP Code

SUBJECT: (IF APPLICABLE) DO NOT USE A SUBJECT LINE FOR LETTERS SIGNED BY THE COMMISSION OR THE EXECUTIVE DIRECTOR FOR OPERATIONS, EXCEPT WHEN RESPONDING TO THE ADVISORY COMMITTEE ON REACTOR SAFEGUARDS

Dear Mr. Last:

This figure illustrates the format for a letter. Use NRC letterhead for the first page and plain bond paper for all succeeding pages.

Center the date two lines below the NRC seal of the letterhead (approximately line four or 1.5 inches from top of page) once the letter is signed. DO NOT USE A DATE STAMP. Spell out the month in full. Type the address on approximately line eight or 2.25 inches from top of page. Set all margins 1 inch from the edge of the paper and left justify the body of the letter.

If a subject line is used, a brief one-line subject is preferable. If the subject line requires more than one line, begin succeeding lines flush with the first word of the subject. DO NOT USE subject lines on letters for the signature of the Commission or the Executive Director for Operations, unless the letter is going to the Advisory Committee on Reactor Safeguards for which a subject line is required.

If the letter includes quoted material, type the quotation as illustrated.

> 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 letter by double-spacing.

Single-space a letter 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 one tab stop (approximately five spaces).

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 words between pages.

If your letter is more than one page, starting on page 2, type in the top left corner the first initial and last name of the individual to whom the letter is addressed. On the same line in the center of the page, type the page number. If the letter is addressed to multiple addressees, use the first initial and last name of the first addressee followed by et al. (example: F. Last, et al.). If

Figure 6.1
Letter

F. Last -2-

the addressee is not an individual, use the abbreviated name of the company or organization (example: PG&E).

Type the complimentary close two lines below the last line of the letter (press enter twice), beginning at the center of the page. Type the signature block five lines (press enter five times) below and flush with the complimentary close.

Type the docket/project number two lines (press enter twice) below the signature block. Type the enclosure notation two lines (press enter twice) below the docket/project number. Type the "cc" notation two lines (press enter twice) below the enclosure notation. (Note: Only external individuals should be listed as a "cc"; internal individuals should be listed in the distribution section.)

The concurrence page should be an exact duplicate of the last page of the letter. If the letter is only one page, the concurrence page should be an exact duplicate of that page. Type the concurrence grid(s) at the bottom of the page. Adjust your top and bottom margins as necessary (on the concurrence page only) so that the concurrence grid(s) fits on the duplicate page. DO NOT PLACE the concurrence grid(s) on a separate page. Place the concurrence grid only on the duplicated page. Have a technical editor review and concur with all letters for the signature of the Chairman, the Commissioners, and the EDO.

Place the distribution notation and list on the concurrence page flush with the left margin. If the distribution list is too long to fit on the concurrence page, type the distribution notation followed by "See next page" and type the distribution list on a separate sheet of plain bond paper.

Sincerely,

First M. Last, Title
Branch (if applicable)
Division (if applicable)
Office

Docket No. 50-123 or Project No. 123 (if applicable)

Enclosures:
1. List all the enclosures, abbreviating as much as possible; not allowing the title to pass the center of the page
2. Use number, period, two spaces, and then type the name of the enclosure

cc: J. Doe (if applicable)
A. Smith

F. Last -2-

the addressee is not an individual, use the abbreviated name of the company or organization (example: PG&E).

Type the complimentary close two lines below the last line of the letter (press enter twice), beginning at the center of the page. Type the signature block five lines (press enter five times) below and flush with the complimentary close.

Type the docket/project number two lines (press enter twice) below the signature block. Type the enclosure notation two lines (press enter twice) below the docket/project number. Type the "cc" notation two lines (press enter twice) below the enclosure notation. (Note: Only external individuals should be listed as a "cc"; internal individuals should be listed in the distribution section.)

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Place the distribution notation and list on the concurrence page flush with the left margin. If the distribution list is too long to fit on the concurrence page, type the distribution notation followed by "See next page" and type the distribution list on a separate sheet of plain bond paper.

Sincerely,

First M. Last, Title
Branch (if applicable)
Division (if applicable)
Office

Docket No. 50-123 or Project No. 123 (if applicable)

Enclosures:
1. List all the enclosures, abbreviating as much as possible; not allowing the title to pass the center of the page
2. Use number, period, two spaces, and then type the name of the enclosure

cc: J. Doe (if applicable)
A. Smith

Note: Adjust the top and bottom margins, if necessary, to fit the concurrence grid(s) on the concurrence page. Also, the font size of the distribution list and the concurrence grid(s) may be adjusted, if necessary, to fit them on the page. DO NOT adjust the left or right margins of the concurrence page, or change the font size of the letter's text.

DISTRIBUTION: Ticket Number(s) (if applicable)
Public (if applicable)
FLast, OFFICE
Appropriate RIDS box(es)

OR

DISTRIBUTION:
See next page

ADAMS Accession Number: MLXXXXXXXXX

OFFICE				
NAME	FLast:typist initials			
DATE	mm/dd/yy	mm/dd/yy	mm/dd/yy	mm/dd/yy

OFFICIAL RECORD COPY

Letter to First M. Last from First M. Last dated _____

SUBJECT: EXAMPLE OF DISTRIBUTION LIST ON SEPARATE PAGE

DISTRIBUTION: Tasking Number(s) (if applicable)
Docket/Project No.(s) (if applicable)
PUBLIC (if applicable)
FLast, OFFICE
Appropriate RIDS box(es)

Note: Any correspondence that needs to be concurred at a higher level than the individual signing the document must have two concurrence blocks for the signatory. The first concurrence block is for initial concurrence and the second concurrence block is for final concurrence and signature after the higher level review.

Example:

OFFICE	NSIR/DSO	NSIR/DSO	OGC	NSIR/OD	EDO	OCM	NSIR/OD
NAME	FLast:fml	FLast	FLast	FLast (concur)	FLast	FLast	FLast (sign)
DATE	mm/dd/yy	mm/dd/yy	mm/dd/yy	mm/dd/yy	mm/dd/yy	mm/dd/yy	mm/dd/yy

OFFICIAL RECORD COPY

ENTER TYPE OF SENSITIVITY IN THIS AREA (BOLD, 11 PT FONT, ALL CAPS)

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

Month DD, YYYY

Mr. First M. Last, Title (if applicable)
Company Name (if applicable)
123 Street Name, Suite #, Apt. # (if applicable)
City, State ZIP Code

SUBJECT: (IF APPLICABLE) DO NOT USE A SUBJECT LINE FOR LETTERS SIGNED BY THE COMMISSION OR THE EXECUTIVE DIRECTOR FOR OPERATIONS, EXCEPT WHEN RESPONDING TO THE ADVISORY COMMITTEE ON REACTOR SAFEGUARDS

Dear Mr. Last:

This figure illustrates the format for a letter. Use NRC letterhead for the first page and plain bond paper for all succeeding pages.

Center the date two lines below the NRC seal of the letterhead (approximately line four or 1.5 inches from top of page) once the letter is signed. DO NOT USE A DATE STAMP. Spell out the month in full. Type the address on approximately line eight or 2.25 inches from top of page. Set all margins 1 inch from the edge of the paper and left justify the body of the letter.

If a subject line is used, a brief one-line subject is preferable. If the subject line requires more than one line, begin succeeding lines flush with the first word of the subject. DO NOT USE subject lines on letters for the signature of the Commission or the Executive Director for Operations, unless the letter is going to the Advisory Committee on Reactor Safeguards for which a subject line is required.

If the letter includes quoted material, type the quotation as illustrated.

> 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 letter by double-spacing.

Single-space a letter 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 one tab stop (approximately five spaces).

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 words between pages.

ENTER TYPE OF SENSITIVITY IN THIS AREA (BOLD, 11 PT FONT, ALL CAPS)

Figure 6.2
Sensitive Letter

ENTER TYPE OF SENSITIVITY IN THIS AREA (BOLD, 11 PT FONT, ALL CAPS)

F. Last -2-

If your letter is more than one page, starting on page 2, type in the top left corner the first initial and last name of the individual to whom the letter is addressed. On the same line in the center of the page, type the page number. If the letter is addressed to multiple addressees, use the first initial and last name of the first addressee followed by et al. (example: F. Last, et al.). If the addressee is not an individual, use the abbreviated name of the company or organization (example: PG&E).

Type the complimentary close two lines below the last line of the letter (press enter twice), beginning at the center of the page. Type the signature block five lines (press enter five times) below and flush with the complimentary close.

Type the docket/project number two lines (press enter twice) below the signature block. Type the enclosure notation two lines (press enter twice) below the docket/project number. Type the "cc" notation two lines (press enter twice) below the enclosure notation. (Note: Only external individuals should be listed as a "cc"; internal individuals should be listed in the distribution section.)

The concurrence page should be an exact duplicate of the last page of the letter. If the letter is only one page, the concurrence page should be an exact duplicate of that page. Type the concurrence grid(s) at the bottom of the page. Adjust your top and bottom margins as necessary (on the concurrence page only) so that the concurrence grid(s) fits on the duplicate page. DO NOT PLACE the concurrence grid(s) on a separate page. Place the concurrence grid only on the duplicated page. Have a technical editor review and concur with all letters for the signature of the Chairman, the Commissioners, and the EDO.

Place the distribution notation and list on the concurrence page flush with the left margin. If the distribution list is too long to fit on the concurrence page, type the distribution notation followed by "See next page" and type the distribution list on a separate sheet of plain bond paper.

Sincerely,

First M. Last, Title
Branch (if applicable)
Division (if applicable)
Office

Enclosures:
1. List all the enclosures, abbreviating as much as possible; not allowing the title to pass the center of the page
2. Use number, period, two spaces, and then type the name of the enclosure

ENTER TYPE OF SENSITIVITY IN THIS AREA (BOLD, 11 PT FONT, ALL CAPS)

ENTER TYPE OF SENSITIVITY IN THIS AREA (BOLD, 11 PT FONT, ALL CAPS)

F. Last -2-

If your letter is more than one page, starting on page 2, type in the top left corner the first initial and last name of the individual to whom the letter is addressed. On the same line in the center of the page, type the page number. If the letter is addressed to multiple addressees, use the first initial and last name of the first addressee followed by et al. (example: F. Last, et al.). If the addressee is not an individual, use the abbreviated name of the company or organization (example: PG&E).

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Sincerely,

First M. Last, Title
Branch (if applicable)
Division (if applicable)
Office

Enclosures:
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2. Use number, period, two spaces, and then type the name of the enclosure

Note: Adjust the top and bottom margins, if necessary, to fit the concurrence grid(s) on the concurrence page. Also, the font size of the distribution list and the concurrence grid(s) may be adjusted, if necessary, to fit them on the page. DO NOT adjust the left or right margins of the concurrence page, or change the font size of the letter's text.

DISTRIBUTION: Ticket Number(s) (if applicable)
Public (if applicable)
FLast, OFFICE
Appropriate RIDS box(es)

OR

DISTRIBUTION:
See next page

ADAMS Accession Number: MLXXXXXXXXX

OFFICE				
NAME	FLast:typist initials			
DATE	mm/dd/yy	mm/dd/yy	mm/dd/yy	mm/dd/yy

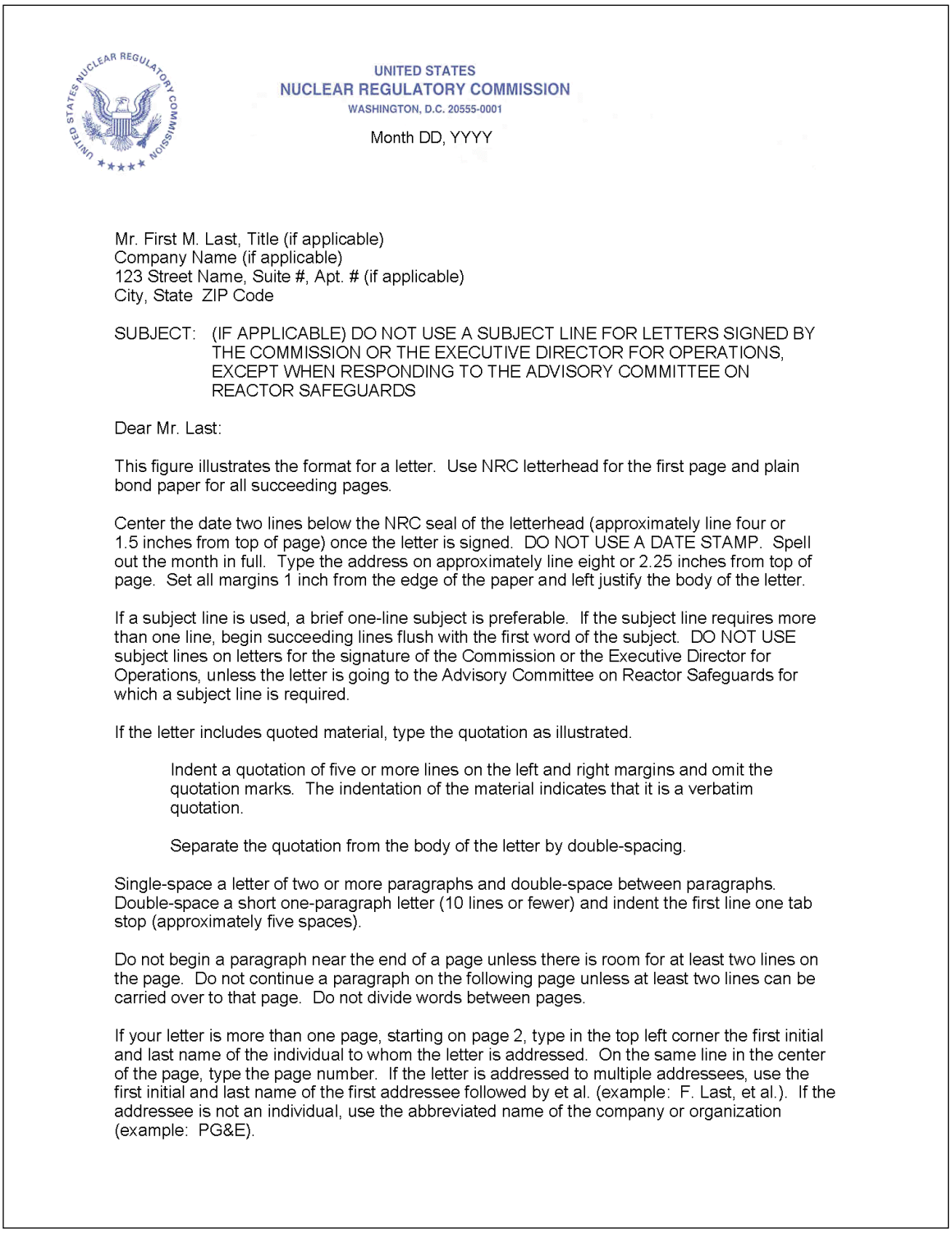
OFFICIAL RECORD COPY

ENTER TYPE OF SENSITIVITY IN THIS AREA (BOLD, 11 PT FONT, ALL CAPS)

Letter to First M. Last from First M. Last dated _____

SUBJECT: EXAMPLE OF DISTRIBUTION LIST ON SEPARATE PAGE

DISTRIBUTION: Tasking Number(s) (if applicable)
Docket/Project No.(s) (if applicable)
PUBLIC (if applicable)
FLast, OFFICE
Appropriate RIDS box(es)



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

Month DD, YYYY

Mr. First M. Last, Title (if applicable)
Company Name (if applicable)
123 Street Name, Suite #, Apt. # (if applicable)
City, State ZIP Code

SUBJECT: (IF APPLICABLE) DO NOT USE A SUBJECT LINE FOR LETTERS SIGNED BY THE COMMISSION OR THE EXECUTIVE DIRECTOR FOR OPERATIONS, EXCEPT WHEN RESPONDING TO THE ADVISORY COMMITTEE ON REACTOR SAFEGUARDS

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>
> Separate the quotation from the body of the letter by double-spacing.

Single-space a letter 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 one tab stop (approximately five spaces).

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 words between pages.

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Figure 6.3
Letter with Two Signature Blocks

F. Last -2-

Type the complimentary close two lines below the last line of the letter (press enter twice), beginning at the center of the page. Type the signature block five lines (press enter five times) below and flush with the complimentary close.

Type the docket/project number two lines (press enter twice) below the signature block. Type the enclosure notation two lines (press enter twice) below the docket/project number. Type the "cc" notation two lines (press enter twice) below the enclosure notation. (Note: Only external individuals should be listed as a "cc"; internal individuals should be listed in the distribution section.)

The concurrence page should be an exact duplicate of the last page of the letter. If the letter is only one page, the concurrence page should be an exact duplicate of that page. Type the concurrence grid(s) at the bottom of the page. Adjust your top and bottom margins as necessary (on the concurrence page only) so that the concurrence grid(s) fits on the duplicate page. DO NOT PLACE the concurrence grid(s) on a separate page. Place the concurrence grid only on the duplicated page. Have a technical editor review and concur with all letters for the signature of the Chairman, the Commissioners, and the EDO.

Place the distribution notation and list on the concurrence page flush with the left margin. If the distribution list is too long to fit on the concurrence page, type the distribution notation followed by "See next page" and type the distribution list on a separate sheet of plain bond paper.

Sincerely,

First M. Last, Title
Branch (if applicable)
Division (if applicable)
Office

First M. Last, Title
Branch (if applicable)
Division (if applicable)
Office

Docket No. 50-123 or Project No. 123 (if applicable)

Enclosure:
List title of enclosure, abbreviating as
much as possible; not allowing the title
to pass the center of the page

cc: J. Doe (if applicable)
A. Smith

F. Last -2-

Type the complimentary close two lines below the last line of the letter (press enter twice), beginning at the center of the page. Type the signature block five lines (press enter five times) below and flush with the complimentary close.

Type the docket/project number two lines (press enter twice) below the signature block. Type the enclosure notation two lines (press enter twice) below the docket/project number. Type the "cc" notation two lines (press enter twice) below the enclosure notation. (Note: Only external individuals should be listed as a "cc"; internal individuals should be listed in the distribution section.)

The concurrence page should be an exact duplicate of the last page of the letter. If the letter is only one page, the concurrence page should be an exact duplicate of that page. Type the concurrence grid(s) at the bottom of the page. Adjust your top and bottom margins as necessary (on the concurrence page only) so that the concurrence grid(s) fits on the duplicate page. DO NOT PLACE the concurrence grid(s) on a separate page. Place the concurrence grid only on the duplicated page. Have a technical editor review and concur with all letters for the signature of the Chairman, the Commissioners, and the EDO.

Place the distribution notation and list on the concurrence page flush with the left margin. If the distribution list is too long to fit on the concurrence page, type the distribution notation followed by "See next page" and type the distribution list on a separate sheet of plain bond paper.

Sincerely,

First M. Last, Title
Branch (if applicable)
Division (if applicable)
Office

First M. Last, Title
Branch (if applicable)
Division (if applicable)
Office

Docket No. 50-123 or Project No. 123 (if applicable)

Enclosure:
List title of enclosure, abbreviating as
much as possible; not allowing the title
to pass the center of the page

cc: J. Doe (if applicable)
A. Smith

Note: Adjust the top and bottom margins, if necessary, to fit the concurrence grid(s) on the concurrence page. Also, the font size of the distribution list and the concurrence grid(s) may be adjusted, if necessary, to fit them on the page. DO NOT adjust the left or right margins of the concurrence page, or change the font size of the letter's text.

DISTRIBUTION: Ticket Number(s) (if applicable)
Public (if applicable)
FLast, OFFICE
Appropriate RIDS box(es)

OR

DISTRIBUTION:
See next page

ADAMS Accession Number: MLXXXXXXXXX

OFFICE				
NAME	FLast:typist initials			
DATE	mm/dd/yy	mm/dd/yy	mm/dd/yy	mm/dd/yy

OFFICIAL RECORD COPY

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

Month DD, YYYY

Mr. First M. Last, Title (if applicable)
Company Name (if applicable)
123 Street Name, Suite #, Apt. # (if applicable)
City, State ZIP Code

Dear Mr. Last:

This figure illustrates the format for a letter being signed by the Chairman. Use NRC "Chairman" letterhead for the first page and plain bond paper for all succeeding pages. DO NOT USE "Office of the Chairman" letterhead. Indent the first line of every paragraph.

DO NOT DATE THE LETTER. Type the address on approximately line eight or 2.25 inches from top of page. Set all margins 1 inch from the edge of the paper and left justify the body of the letter.

DO NOT USE subject lines on letters for the signature of the Chairman, unless the letter is going to the Advisory Committee on Reactor Safeguards for which a subject line is required.

If the letter includes quoted material, type the quotation as illustrated.

> 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 letter by double-spacing.

Single-space a letter 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 one tab stop (approximately five spaces).

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 words between pages.

If your letter is more than one page, center the page number(s) at the top of succeeding page(s). Do not type headers in the top left-hand corner. The page number is all that is required.

Type the complimentary close two lines below the last line of the letter (press enter twice), beginning at the center of the page. Type the Chairman's name five lines below (press enter five times) and flush with the complimentary close.

Type the enclosure notation two lines (press enter twice) below the signature block. Type the "cc" notation two lines (press enter twice) below the enclosure notation. (Note: Only external individuals should be listed as a "cc"; internal individuals should be listed in the distribution section.)

Figure 6.4
Letter for the Chairman's Signature

-2-

The concurrence page should be an exact duplicate of the last page of the letter. If the letter is only one page, the concurrence page should be an exact duplicate of that page. Type the concurrence grid(s) at the bottom of the page. Adjust your top and bottom margins as necessary (on the concurrence page only) so that the concurrence grid(s) fits on the duplicate page. DO NOT PLACE the concurrence grid(s) on a separate page; place the grid(s) on the duplicated page only.

Place the distribution notation and list on the concurrence page flush with the left margin. If the distribution list is too long to fit on the concurrence page, type the distribution notation followed by "See next page" and type the distribution list on a separate sheet of plain bond paper.

In accordance with the "NRC Internal Commission Procedures," dated April 17, 2007, place on any letter being signed by the Chairman one of two policy statements that are mentioned in Chapter V, under the "Outgoing Correspondence" section. The originator of the document is responsible for determining which statement is to be typed on the letter. Type the statement on the concurrence page only. Type the statement near the bottom of the concurrence page (just above the concurrence grid(s)).

Ensure all letters for the signature of the Chairman are edited by a technical editor.

Sincerely,

First M. Last (Chairman's name)

Enclosures:
1. List all the enclosures, abbreviating as much as possible; not allowing the title to pass the center of the page
2. Use number, period, two spaces, and then type the name of the enclosure

cc: J. Doe (if applicable)
A. Smith

-2-

The concurrence page should be an exact duplicate of the last page of the letter. If the letter is only one page, the concurrence page should be an exact duplicate of that page. Type the concurrence grid(s) at the bottom of the page. Adjust your top and bottom margins as necessary (on the concurrence page only) so that the concurrence grid(s) fits on the duplicate page. DO NOT PLACE the concurrence grid(s) on a separate page; place the grid(s) on the duplicated page only.

Place the distribution notation and list on the concurrence page flush with the left margin. If the distribution list is too long to fit on the concurrence page, type the distribution notation followed by "See next page" and type the distribution list on a separate sheet of plain bond paper.

In accordance with the "NRC Internal Commission Procedures," dated April 17, 2007, place on any letter being signed by the Chairman one of two policy statements that are mentioned in Chapter V, under the "Outgoing Correspondence" section. The originator of the document is responsible for determining which statement is to be typed on the letter. Type the statement on the concurrence page only. Type the statement near the bottom of the concurrence page (just above the concurrence grid(s)).

Ensure all letters for the signature of the Chairman are edited by a technical editor.

Sincerely,

First M. Last (Chairman's name)

Enclosures:
1. List all the enclosures, abbreviating as much as possible; not allowing the title to pass the center of the page
2. Use number, period, two spaces, and then type the name of the enclosure

cc: J. Doe (if applicable)
A. Smith

This correspondence addresses policy issues previously resolved by the Commission, transmits factual information, or restates Commission policy.

OR

This correspondence formulates policy or expands, revises, or interprets policy, involves matters pending Commission decision, contains items relating to the performance of Commission duties and responsibilities, or involves items of high Commission interest.

DISTRIBUTION: Ticket Number(s) (if applicable) **OR** **DISTRIBUTION**:
Public (if applicable) See next page
FLast, OFFICE
Appropriate RIDS box(es)

ADAMS Accession Number: MLXXXXXXXXX

OFFICE				
NAME	FLast:typist initials			
DATE	mm/dd/yy	mm/dd/yy	mm/dd/yy	mm/dd/yy

OFFICIAL RECORD COPY

Note: Adjust the top and bottom margins, if necessary, to fit the concurrence grid(s) on the concurrence page. Also, the font size of the distribution list and the concurrence grid(s) may be adjusted, if necessary, to fit them on the page. DO NOT adjust the left or right margins of the concurrence page, or change the font size of the letter's text.

One of the following statements must appear on the concurrence page for all letters being signed by the Chairman:

This correspondence addresses policy issues previously resolved by the Commission, transmits factual information, or restates Commission policy.

or

This correspondence formulates policy or expands, revises, or interprets policy, involves matters pending Commission decision, contains items relating to the performance of Commission duties and responsibilities, or involves items of high Commission interest.

Letter to First M. Last from Chairman dated _____

SUBJECT: EXAMPLE OF DISTRIBUTION LIST ON SEPARATE PAGE

DISTRIBUTION: Tasking Number(s) (if applicable)
Docket/Project No(s) (if applicable)
PUBLIC (if applicable)
SECY
OGC
OCA
OPA
CFO
FLast, OFFICE
Appropriate RIDS box(es)

VII. MEMORANDA

A. Overview

1. Memoranda include—

   (a) Correspondence among Commissioners;

   (b) Correspondence among NRC office staff and managers; and

   (c) Correspondence between NRC offices and their contractors.

2. The type of correspondence that NRC officials sign, unless otherwise directed, is given in Table 2.1, "Signatory Responsibilities," in Section II, “Responsibilities for Writing and Handling Correspondence,” of this handbook.

3. Before you begin your memorandum, review the following sections and figures and read the information contained in the figures:

   (a) Section IV, "General Procedures for All Types of Correspondence," of this handbook;

   (b) Section VII, Figure 7.1, “Multiple Addressee,” of this handbook;

   (c) Section VII, Figure 7.2, “Memorandum - Use of THRU or ATTN Line,” of this handbook;

   (d) Section VII, Figure 7.3, “Memorandum,” of this handbook;

   (e) Section VII, Figure 7.4, “Memorandum to the Commission,” of this handbook; and

   (f) Section VII, Figure 7.5, “Sensitive Memorandum to the Commission,” of this handbook.

B. Preparing a Memorandum

To prepare a draft memorandum, follow the instructions in Sections VII.A through VII.D of this handbook, setting 1-inch margins, the standard for all memoranda. Double-space drafts. Provide double-spaced drafts to the technical editors.

1. Components and Formatting

   (a) Date. The date on which the memorandum is signed.

      (i) Do not date a memorandum until it is signed by both the signatory and any official listed on a THRU line.

      (ii) See also Section II, "Responsibilities for Writing and Handling Correspondence," of this handbook about the correspondence that the SECY or the OEDO date.

   (b) Use only the date on which it is signed. Do not use the date of dispatch.

   (c) Type the date, centered, two lines below the letterhead. Do not use date stamp.

(d) Use the format of **month, day, year**, spelling out the month.

Example: April 4, 2008

2. MEMORANDUM TO line and THRU line. The name and title of the principal recipients.

(a) Begin MEMORANDUM TO at the left margin at least six lines below the top of the page to allow room for adding the date after the memorandum is signed.

(b) After the MEMORANDUM TO line, indent one tab (approximately 5 spaces) to begin the addressee's name and title.

(c) Align any subsequent addressees under the first name of the initial addressee in the MEMORANDUM TO line.

(d) Type all addressees, including those in a THRU line, single spaced, block style at the indented tab, following the instruction and examples in Table 7.1, "Addressees," in Section VII, "Memoranda," of this handbook. Abbreviations are acceptable for use in the THRU line only for correspondence within the originating office. See also Figures 7.1, "Multiple Addressees" and 7.2, "Memorandum - Use of THRU or ATTN Line," in Section VII, "Memoranda," of this handbook.

Table 7.1
Addressees

Instruction	**Example**
For a single addressee, indent one tab (approximately 5 spaces) after MEMORANDUM TO before typing the name. For any item that extends to two lines, indent the second line two spaces.	TO: Jane M. Smith, Director Division of Waste Management Office of Nuclear Material Safety and Safeguards
Begin the THRU line two lines under the last addressee, aligning the name under the first name of the initial addressee. For any item that extends to two lines, indent the second line two spaces.	TO: Jane M. Smith, Director Office of Nuclear Material Safety and Safeguards THRU: James M. Smith, Director Office of New Reactors

3. FROM Line. The name and title of the official signing the memorandum.

(a) Begin FROM line, at the left margin, two lines below the last of the MEMORANDUM TO line.

(b) Use the name and title of the official signing the memorandum.

(c) If a position is vacant, use the name and title of the formally appointed "acting" official.

(d) Use the name and title of the official occupying the position even if someone is temporarily delegated authority to act for this official. The delegated official writes "for" before the occupant's name when signing the memorandum.

(e) Before declaring the memorandum in ADAMS as an OAR, type "***/RA/***" or when an acting official signs type ***"/RA First LastName Acting for/."***

4. SUBJECT Line. Information to aid the recipient in identifying the principal purpose of the memorandum, and, if applicable, that the memorandum responds to an incoming memorandum about a particular subject.

(a) Type SUBJECT at the left margin two lines below the last line of the FROM line or the THRU line, if used. Type SUBJECT in capital letters at the left margin (see Figure 7.3, "Memorandum," in Section VII, "Memoranda," of this handbook).

(b) Type the subject information at the next tab setting to the right of the colon in the MEMORANDUM TO line.

(c) If the subject requires more than one line, begin any subsequent line on the next line flush with the first word of the subject.

5. Body. The main text of the memorandum.

(a) Begin the body of the memorandum at the left margin three lines (two blank lines) below the last line of the subject (see Figure 7.3, "Memorandum," in Section VII, "Memoranda," of this handbook).

(b) Single-space a memorandum of two or more paragraphs.

(c) Double-space a short one-paragraph memorandum of 10 or fewer lines, indenting the first line approximately ½ inch (one tab).

(d) Clearly state the purpose of the memorandum in the first few lines of the body.

(e) Limit the memorandum to two pages if at all possible.

(f) Leave at least two lines of text at the bottom of a page or at the top of a continuation page to aid the reader's comprehension when reading a paragraph that spans two pages.

(g) Do not divide words between pages.

C. Procedures for Handling

Follow the guidance in Sections IV.C through IV.G of this handbook as applicable, for continuation pages, notations, distribution copies, assembly, reproduction, and dispatch.

D. Staff Memoranda Sent to the Commission

1. Information Memoranda Sent to the Commission

   Prepare any memoranda sent to the Commission to inform them of regulatory or administrative matters that do not require Commission action as you would other memoranda, following the instructions in Figures 7.4, “Memorandum to the Commission,” and 7.5, “Sensitive Memorandum to the Commission” in Section VII, “Memoranda,” of this handbook.

2. Memoranda Sent to or Exchanged Among the Commission

   (a) Action memoranda, known as COMs, may be—

      (i) Written exchanges between Commissioners on issues before the agency or on matters a Commissioner wants to bring to the attention of his or her fellow Commissioners; or

      (ii) Memoranda from the EDO, the CFO, or any other Commission-level office seeking guidance from the Commission.

   (b) Use of COMs allows Commissioners to develop preliminary views, explore options and proposed direction to the staff, and initiate activities before staff offices become involved. In addition, use of COMs allows the staff to obtain Commission views on matters that do not warrant development of a SECY paper.

   (c) The EDO’s ACS forwards to the Commission memoranda from offices reporting to the EDO for approval of a policy, a significant course of action, a rulemaking, or a major adjudicatory matter. Commission-level offices forward their memoranda directly to SECY.

   (d) Each action memorandum must contain the statement "SECY, please track." as the last paragraph of the memorandum.

   (e) SECY assigns each COM a distinctive control and identification number, similar to that of the SECY paper numbering system, assigns a proposed due date (normally 10 business days), reproduces the memorandum, and forwards it to the Commission for action.

      (i) Commission memoranda numbers consist of a three-letter Commissioner identification, year of issuance, and a consecutive number (e.g., COMDEK-09-xxxx or COMKLS-09-xxxx).

      (ii) Staff memoranda are identified with a "COMSECY" identification number, year of issuance, and a consecutive number (COMSECY-09-xxxx).

   (f) As a general policy, SECY releases to the public those COMs developed by a Commissioner and COMSECY documents developed by the staff after the Commission completes its action unless the COMs contain specific, limited types of information that warrant protection.

3. Format and Procedures

   (a) Prepare a memorandum from an office reporting to the EDO on standard agency NRC letterhead to be signed by the EDO (see Figures 7.4, "Memorandum to the Commission," and 7.5, "Sensitive Memorandum to the Commission," in Section VII, "Memoranda," of this handbook).

   (b) Prepare a memorandum from an office, a region, or an organization having its own letterhead on the organization-specific letterhead.

   (c) Use plain white paper for any subsequent pages.

   (d) Limit the memorandum to two pages, if possible. If the text of the memorandum is more than two typed pages single spaced—

      (i) Briefly summarize the major issues (e.g., technical, policy, legal),

      (ii) Recommend an action or resolution,

      (iii) State whether the staff had dissenting views, and

      (iv) State whether personnel and funding resources would be required.

   (e) If the subject of the memorandum has a prior history before the Commission, create a preliminary background paragraph that references previous SECY papers, meeting dates, memoranda, and any Commission actions.

   (f) If the memorandum recommends revised text in a document the Commission has previously been asked to approve, clearly identify the additions and the deletions to that text.

   (g) Place a contact at the left margin on the third line after the end of text on the first page only. Include the name, office, and telephone number of a staff member other than the signatory knowledgeable about the topic of the memorandum (see Figures 7.4, "Memorandum to the Commission," and 7.5, "Sensitive Memorandum to the Commission," in Section VII, "Memoranda," of this handbook).

      Example:

      CONTACT: First M. Last, Office/Division (in abbreviated form)
      Telephone number (use the format XXX-XXX-XXXX)

   (h) SECY controls and processes a COM once it is received, finalizing it in ADAMS.

4. Copy Requirements

   Indicate the following copy requirements, if applicable, on the official record copy (the concurrence page):

   (a) The docket number for each docket referenced in the memorandum

   (b) The SECY correspondence control ticket number and/or the OEDO tasking item number(s), if applicable

   (c) RidsEdoMailCenter Resource

   (d) Other information copies designated by the originator

The following three examples illustrate appropriate ways to address a memorandum to multiple addressees.

MEMORANDUM TO: Those on the Attached List

When using this format for a memorandum to multiple addressees, use the following heading on the attached list:

MEMORANDUM TO THOSE ON THE ATTACHED LIST DATED: Month DD, YYYY

MEMORANDUM TO: First M. Last, Title
Branch (if applicable)
Division (if applicable)
Office (if applicable)

First M. Last, Title
Branch (if applicable)
Division (if applicable)
Office (if applicable)

First M. Last, Title
Branch (if applicable)
Division (if applicable)
Office (if applicable)

First M. Last, Title
Branch (if applicable)
Division (if applicable)
Office (if applicable)

Use this format only if there is enough space on the page (after you have listed all of your addressees, the "FROM" notation, and the "SUBJECT" notation) to type at least three lines of text on the page and the contact information.

MEMORANDUM TO: First M. Last, Regional Administrator, RI
First M. Last, Regional Administrator, RII
First M. Last, Regional Administrator, RIII
First M. Last, Regional Administrator, RIV

Use this format for a memorandum addressed to the Regional Administrators.

Figure 7.1
Multiple Addressees

The following example illustrates an appropriate way to address a memorandum using a THRU Line.

MEMORANDUM TO: First M. Last, Title
Branch Name (if applicable)
Division Name (if applicable)
Office Name

THRU: First M. Last, Title
Branch Name (if applicable)
Division Name (if applicable)
Office Name

FROM: First M. Last, Title
Branch Name (if applicable)
Division Name (if applicable)
Office Name

SUBJECT: MEMORANDUM CONTAINING A THRU LINE

When typing addressees and an item extends to two lines, indent the second line two spaces. Begin the THRU line two lines under the last addressee, aligning the name under the first name of the initial addressee. For any item that extends to two lines, indent the second line two spaces.

Figure 7.2
Memorandum – Use of THRU or ATTN Line

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

Month DD, YYYY

MEMORANDUM TO: First M. Last, Title
Branch Name (if applicable)
Division Name (if applicable)
Office Name

FROM: First M. Last, Title
Branch Name (if applicable)
Division Name (if applicable)
Office Name

SUBJECT: INSTRUCTIONS FOR PREPARING A MEMORANDUM

Use NRC letterhead stationery for the first page and plain bond paper for succeeding pages. Clearly state the purpose of the memorandum in the first sentence of the body.

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.

Set all margins 1 inch from the edge of the paper. Type "MEMORANDUM TO:", "FROM:", and "SUBJECT:" (headings) in all capital letters flush with the left margin. Begin "MEMORANDUM TO:" a minimum of four lines below the letterhead. Begin entry for these headings at the next tab setting (approximately five spaces) to the right of the colon in the "MEMORANDUM TO:" line. Double-space between the last line of text under a heading and the beginning of the next heading. Left justify the body of the memorandum.

Begin the body of the memorandum on the third line below the subject line (press enter three times). 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 one tab stop (approximately five spaces).

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 on the third line below the last line of the text, or two lines below the enclosure 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.

CONTACT: First M. Last, Office/Division
###-###-####

Figure 7.3
Memorandum

F. Last -2-

For continuation/succeeding pages, type the header (first initial and last name) at the 1-inch top margin and flush with the left margin. Center the page number. If the memorandum is for the Chairman's signature, type the centered page number only as the header. For a multiple addressee header, type the first initial and last name of the first individual followed by "et al." (Example: F. Last, et al.). For a generic addressee header, such as Office Directors and Regional Administrators, type the abbreviation of the generic addressee, such as ODs and RAs. For a "Those on the Attached List" header, type exactly that (Those on the Attached List).

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.

Type the docket/project number three lines (press enter three times) below the body of the memorandum. Type the enclosure notation two lines (press enter twice) below the docket/project number. Type the "cc:" notation two lines below the enclosure notation.

The concurrence page must be an exact duplicate of the last page of the memorandum. If the memorandum is only one page, the concurrence page must be an exact duplicate of that page. Type the concurrence grid(s) at the bottom of the page. Adjust your top and bottom margins as necessary (on the concurrence page only) so that the concurrence grid(s) fit on the duplicate page. Do not place the concurrence grid(s) on a separate page; place it or them only on the duplicated page.

Place the distribution notation and list on the concurrence page flush with the left margin. If the distribution list is so long that it will not fit on the concurrence page, type the distribution notation followed by "See next page."

Docket No. 50-123 or Project No. 123 (if applicable)

Enclosures:
1. List all the enclosures, abbreviating as much as possible; not allowing the title to pass the center of the page
2. Use number, period, two spaces, and then type the name of the enclosure

cc: J. Doe, Office (if applicable)
A. Smith

F. Last -2-

For continuation/succeeding pages, type the header (first initial and last name) at the 1-inch top margin and flush with the left margin. Center the page number. If the memorandum is for the Chairman's signature, type the centered page number only as the header. For a multiple addressee header, type the first initial and last name of the first individual followed by "et al." (Example: F. Last, et al.). For a generic addressee header, such as Office Directors and Regional Administrators, type the abbreviation of the generic addressee, such as ODs and RAs. For a "Those on the Attached List" header, type exactly that (Those on the Attached List).

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.

Type the docket/project number three lines (press enter three times) below the body of the memorandum. Type the enclosure notation two lines (press enter twice) below the docket/project number. Type the "cc:" notation two lines below the enclosure notation.

The concurrence page must be an exact duplicate of the last page of the memorandum. If the memorandum is only one page, the concurrence page must be an exact duplicate of that page. Type the concurrence grid(s) at the bottom of the page. Adjust your top and bottom margins as necessary (on the concurrence page only) so that the concurrence grid(s) fit on the duplicate page. Do not place the concurrence grid(s) on a separate page; place grid(s) only on the duplicated page.

Place the distribution notation and list on the concurrence page flush with the left margin. If the distribution list is so long that it will not fit on the concurrence page, type the distribution notation followed by "See next page."

Docket No. 50-123 or Project No. 123 (if applicable)

Enclosures:
1. List all the enclosures, abbreviating as much as possible; not allowing the title to pass the center of the page
2. Use number, period, two spaces, and then type the name of the enclosure

cc: J. Doe, Office (if applicable)
A. Smith

Note: Adjust the top and bottom margins, if necessary, to fit the concurrence grid(s) on the concurrence page. Also, the font size of the distribution list and the concurrence grid(s) may be adjusted, if necessary, to fit them on the page. DO NOT adjust the left or right margins of the concurrence page, or change the font size of the memorandums text.

DISTRIBUTION: Ticket Number(s) (if applicable)
Public (if applicable)
FLast, OFFICE
Appropriate RIDS box(es)

OR

DISTRIBUTION:
See next page

ADAMS Accession Number: MLXXXXXXXXX

OFFICE				
NAME	FLast:typist initials			
DATE	mm/dd/yy	mm/dd/yy	mm/dd/yy	mm/dd/yy

OFFICIAL RECORD COPY

Memo to First M. Last from First M. Last dated _____

SUBJECT: EXAMPLE OF DISTRIBUTION LIST ON SEPARATE PAGE

DISTRIBUTION: Tasking Number(s) (if applicable)
Docket/Project No.(s) (if applicable)
PUBLIC (if applicable)
FLast, OFFICE
Appropriate RIDS box(es)

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

Month DD, YYYY

MEMORANDUM TO: Chairman Surname
Commissioner Surname (List Commissioners in order of seniority)
Commissioner Surname
Commissioner Surname
Commissioner Surname

FROM: First M. Last
Executive Director for Operations

SUBJECT: INSTRUCTIONS FOR PREPARING A MEMORANDUM TO THE COMMISSION

Use NRC letterhead stationery for the first page and plain bond paper for succeeding pages. Clearly state the purpose of the memorandum in the first sentence of the body.

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.

Set all margins 1 inch from the edge of the paper. Type "MEMORANDUM TO:", "FROM:", and "SUBJECT:" (headings) in all capital letters flush with the left margin. Begin "MEMORANDUM TO:" a minimum of four lines below the letterhead. Begin entry for these headings at the next tab setting (approximately five spaces) to the right of the colon in the "MEMORANDUM TO:" line. Double-space between the last line of text under a heading and the beginning of the next heading. Left justify the body of the memorandum.

Begin the body of the memorandum on the third line below the subject line (press enter three times). 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 one tab stop (approximately five spaces).

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 on the third line below the last line of the text, or two lines below the enclosure 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.

CONTACT: First M. Last, Office/Division
###-###-####

Figure 7.4
Memorandum to the Commission

The Commissioners -2-

For continuation/succeeding pages, in the header at the 1 inch top margin, type "The Commissioners" flush with the left margin. Center the page number.

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.

The concurrence page must be an exact duplicate of the last page of the memorandum. If the memorandum is only one page, the concurrence page must be an exact duplicate of that page. Type the concurrence grid(s) at the bottom of the page. Adjust your top and bottom margins as necessary (on the concurrence page only) so that the concurrence grid(s) fits on the duplicate page. Do not place the concurrence grid(s) on a separate page; place grid(s) only on the duplicated page. Have a technical editor review and concur in a memorandum for the signature of the Executive Director for Operations.

Place the distribution notation and list on the concurrence page flush with the left margin. If the distribution list is so long that it will not fit on the concurrence page, type the distribution notation followed by “See next page.” If the memorandum is to be a COM, type "SECY, please track." as the last paragraph.

SECY, please track. (if applicable)

Enclosures:
1. List all the enclosures, abbreviating as much as possible; not allowing the title to pass the center of the page
2. Use number, period, two spaces, and then type the name of the enclosure

cc: SECY
OGC
OCA
OPA
CFO

The Commissioners -2-

For continuation/succeeding pages, in the header at the 1 inch top margin, type "The Commissioners" flush with the left margin. Center the page number.

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.

The concurrence page must be an exact duplicate of the last page of the memorandum. If the memorandum is only one page, the concurrence page must be an exact duplicate of that page. Type the concurrence grid(s) at the bottom of the page. Adjust your top and bottom margins as necessary (on the concurrence page only) so that the concurrence grid(s) fits on the duplicate page. Do not place the concurrence grid(s) on a separate page; place grid(s) only on the duplicated page. Have a technical editor review and concur in a memorandum for the signature of the Executive Director for Operations.

Place the distribution notation and list on the concurrence page flush with the left margin. If the distribution list is so long that it will not fit on the concurrence page, type the distribution notation followed by “See next page.” If the memorandum is to be a COM, type "SECY, please track." as the last paragraph.

SECY, please track. (if applicable)

Enclosures:
1. List all the enclosures, abbreviating as much as possible; not allowing the title to pass the center of the page
2. Use number, period, two spaces, and then type the name of the enclosure

cc: SECY
OGC
OCA
OPA
CFO

Note: Adjust the top and bottom margins, if necessary, to fit the concurrence grid(s) on the concurrence page. Also, the font size of the distribution list and the concurrence grid(s) may be adjusted, if necessary, to fit them on the page. DO NOT adjust the left or right margins of the concurrence page, or change the font size of the memorandums text.

DISTRIBUTION: Ticket Number(s) (if applicable) **OR** **DISTRIBUTION:**
Public (if applicable) See next page
FLast, OFFICE
Appropriate RIDS box(es)

ADAMS Accession Number: MLXXXXXXXXX

OFFICE				
NAME	FLast:typist initials			
DATE	mm/dd/yy	mm/dd/yy	mm/dd/yy	mm/dd/yy

OFFICIAL RECORD COPY

Memo to Commission from First M. Last dated _____

SUBJECT: EXAMPLE OF DISTRIBUTION LIST ON SEPARATE PAGE

DISTRIBUTION: Tasking Number(s) (if applicable)
Docket/Project No.(s) (if applicable)
PUBLIC (if applicable)
FLast, OFFICE
Appropriate RIDS box(es)

ENTER TYPE OF SENSITIVITY IN THIS AREA (BOLD, 11 PT FONT, ALL CAPS)

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

Month DD, YYYY

MEMORANDUM TO: Chairman Surname
Commissioner Surname (List Commissioners in order of seniority)
Commissioner Surname
Commissioner Surname
Commissioner Surname

FROM: First M. Last
Executive Director for Operations

SUBJECT: INSTRUCTIONS FOR PREPARING A SENSITIVE MEMORANDUM TO THE COMMISSION

Use NRC letterhead stationery for the first page and plain bond paper for succeeding pages. Clearly state the purpose of the memorandum in the first sentence of the body.

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.

Set all margins 1 inch from the edge of the paper. Type "MEMORANDUM TO:", "FROM:", and "SUBJECT:" (headings) in all capital letters flush with the left margin. Begin "MEMORANDUM TO:" a minimum of four lines below the letterhead. Begin entry for these headings at the next tab setting (approximately five spaces) to the right of the colon in the "MEMORANDUM TO:" line. Double-space between the last line of text under a heading and the beginning of the next heading. Left justify the body of the memorandum.

Begin the body of the memorandum on the third line below the subject line (press enter three times). 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 one tab stop (approximately five spaces).

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 on the third line below the last line of the text, or two lines below the enclosure 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.

CONTACT: First M. Last, Office/Division
###-###-####

ENTER TYPE OF SENSITIVITY IN THIS AREA (BOLD, 11 PT FONT, ALL CAPS)

Figure 7.5
Sensitive Memorandum to the Commission

ENTER TYPE OF SENSITIVITY IN THIS AREA (BOLD, 11 PT FONT, ALL CAPS)

The Commissioners -2-

For continuation/succeeding pages, in the header at the 1 inch top margin, type "The Commissioners" flush with the left margin. Center the page number.

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.

The concurrence page must be an exact duplicate of the last page of the memorandum. If the memorandum is only one page, the concurrence page must be an exact duplicate of that page. Type the concurrence grid(s) at the bottom of the page. Adjust your top and bottom margins as necessary (on the concurrence page only) so that the concurrence grid(s) fits on the duplicate page. Do not place the concurrence grid(s) on a separate page; place grid(s) only on the duplicated page. Have a technical editor review and concur in a memorandum for the signature of the Executive Director for Operations.

Place the distribution notation and list on the concurrence page flush with the left margin. If the distribution list is so long that it will not fit on the concurrence page, type the distribution notation followed by "See next page." If the memorandum is to be a COM, type "SECY, please track." as the last paragraph.

Note: All COMs marked "Official Use Only – Sensitive Internal Information" must include a justification statement which is sufficiently persuasive to set aside the Commission's release policy (see Internal Commission Procedures). Include justification statement here.

SECY, please track. (if applicable)

Enclosures:
1. List all the enclosures, abbreviating as much as possible; not allowing the title to pass the center of the page
2. Use number, period, two spaces, and then type the name of the enclosure

cc: SECY
OGC
OCA
OPA
CFO

ENTER TYPE OF SENSITIVITY IN THIS AREA (BOLD, 11 PT FONT, ALL CAPS)

ENTER TYPE OF SENSITIVITY IN THIS AREA (BOLD, 11 PT FONT, ALL CAPS)

The Commissioners -2-

For continuation/succeeding pages, in the header at the 1 inch top margin, type "The Commissioners" flush with the left margin. Center the page number.

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.

The concurrence page must be an exact duplicate of the last page of the memorandum. If the memorandum is only one page, the concurrence page must be an exact duplicate of that page. Type the concurrence grid(s) at the bottom of the page. Adjust your top and bottom margins as necessary (on the concurrence page only) so that the concurrence grid(s) fits on the duplicate page. Do not place the concurrence grid(s) on a separate page; place grid(s) only on the duplicated page. Have a technical editor review and concur in a memorandum for the signature of the Executive Director for Operations.

Place the distribution notation and list on the concurrence page flush with the left margin. If the distribution list is so long that it will not fit on the concurrence page, type the distribution notation followed by “See next page.” If the memorandum is to be a COM, type "SECY, please track." as the last paragraph.

Note: All COMs marked “Official Use Only – Sensitive Internal Information” must include a justification statement which is sufficiently persuasive to set aside the Commission’s release policy (see Internal Commission Procedures). Include justification statement here.

SECY, please track. (if applicable)

Enclosures:
1. List all the enclosures, abbreviating as much as possible; not allowing the title to pass the center of the page
2. Use number, period, two spaces, and then type the name of the enclosure

cc: SECY
OGC
OCA
OPA
CFO

Note: Adjust the top and bottom margins, if necessary, to fit the concurrence grid(s) on the concurrence page. Also, the font size of the distribution list and the concurrence grid(s) may be adjusted, if necessary, to fit them on the page. DO NOT adjust the left or right margins of the concurrence page, or change the font size of the memorandums text.

DISTRIBUTION: Ticket Number(s) (if applicable)
Public (if applicable)
FLast, OFFICE
Appropriate RIDS box(es)

OR

DISTRIBUTION:
See next page

ADAMS Accession Number: MLXXXXXXXXX

OFFICE				
NAME	FLast:typist initials			
DATE	mm/dd/yy	mm/dd/yy	mm/dd/yy	mm/dd/yy

OFFICIAL RECORD COPY

ENTER TYPE OF SENSITIVITY IN THIS AREA (BOLD, 11 PT FONT, ALL CAPS)

Memo to Commission from First M. Last dated _____

SUBJECT: EXAMPLE OF DISTRIBUTION LIST ON SEPARATE PAGE

DISTRIBUTION: Tasking Number(s) (if applicable)
Docket/Project No.(s) (if applicable)
PUBLIC (if applicable)
FLast, OFFICE
Appropriate RIDS box(es)

VIII. GLOSSARY

Accession number. A unique system-generated number assigned to an NRC official record when entered into the Agencywide Documents Access and Management System (ADAMS).

ADAMS. Agencywide Documents Access and Management System, NRC's official electronic recordkeeping system, approved by the National Archives and Records Administration on April 1, 2000.

ADAMS template. A document indicating the proper way to fill out the profile for a specific type of document when adding the document to ADAMS (e.g., a SECY paper, memorandum, letter). Each NRC office has a specific template for a specific type of correspondence that is stored under ADAMS Final Templates that all NRC users may view.

Attachment. Material referenced in an enclosure that is related to the content of the enclosure and attached to the enclosure (see also the definition for **enclosure**).

Classified information. At NRC, material that meets the requirements for designation as Confidential, Secret, or Top Secret in accordance with an Executive Order (currently E.O. 12958, "Classified National Security Information, as amended") or the Atomic Energy Act of 1954, as amended.

Concurrence. Initialing a piece of correspondence to indicate agreement with information in the correspondence on the basis of the individual's knowledge, experience, and responsibility.

Contact. A person other than the signatory who is knowledgeable about the content of the correspondence and can provide expertise.

Correspondence. Any written communication related to agency business, regardless of the medium (e.g., letters, memoranda, informal notes, and e-mail messages).

1. Controlled

   (a) Correspondence that the NRC controls because of the source, subject matter, sensitivity, urgency, or possible impact on NRC's regulatory responsibilities for the public health and safety.

   (b) An office director or manager above the level of an office director controls this correspondence. (It is often initially controlled by SECY or OEDO.)

2. General

   (a) All correspondence except controlled correspondence.

   (b) This correspondence may or may not be controlled, depending on the policy of the organization receiving it. If it is controlled, an office director or a manager below the level of office director controls it.

Correspondence control. Assigning to an office or a member of the staff responsibility for replying to incoming correspondence by a due date and tracking until a reply is dispatched.

Correspondence management. A system designed to establish and implement policies and procedures to ensure consistent handling of agency correspondence.

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.

Electronic Information Exchange (EIE). Allows NRC stakeholders to transmit their documents through the internet.

Electronic mail record. An e-mail message determined to be a Federal record in accordance with MD 3.53, "NRC Records Management Program," or MD 3.1, "Freedom of Information Act"; that is saved in ADAMS and assigned an accession number or is printed onto paper and saved in the appropriate recordkeeping system.

Enclosure. Explanatory or supporting material for the topics covered in a SECY paper, a letter, or a memorandum (see also the definition of an **attachment**).

Federal record. As defined in 44 U.S.C. 3301, includes—

> ...all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them.

See “ADAMS Desk Reference Guide” (NUREG/BR-0273, Revision 4.9) Chapter 3, "HOW TO Determine if a Document is an OAR" (ML051110390) for more information.

Form letters. Preprinted letters, memoranda, and postcards designed for repetitive use in correspondence.

Letter. Any correspondence addressed to other Government agencies or their employees, businesses, or other entities and their employees, and individuals outside NRC.

1. Original. The final signed document that is dispatched to the addressee.
2. Copy. A copy may be one of two types:
   (a) Courtesy copy. A copy reproduced from the signed original, as requested by the originator.
   (b) Information copy. A copy reproduced for recipients appearing on the Distribution list who did not receive the original or a courtesy copy but who may be interested in matters covered in the correspondence. Recipients outside the agency receive copies of the signed original while recipients within the agency receive copies of the official record copy (concurrence copy) or are directed to access their copy by using the ADAMS accession number.

Memorandum. Correspondence among Commissioners, NRC office staff, and managers or between NRC offices and their contractors.

Non-concurrence. Refusing to initial a piece of correspondence to indicate disagreement with information provided in the correspondence on the basis of the individual’s knowledge,

experience, and responsibility. (See MD 10.159, "The NRC Differing Professional Opinions Program.")

NRC Form 665P. ADAMS Document Submission. This form is to be used to submit paper copies of packages involving multiple documents to the DPC for finalization when ready for dispatch (paper will be scanned and not returned).

NRC Form 665S. ADAMS Document Submission. This form is to be used to submit paper copies involving single documents to the DPC for finalization when ready for dispatch (paper will be scanned and not returned).

Official agency record (OAR). As defined in the “ADAMS Desk Reference Guide” (NUREG/BR-0273, Revision 4.9) (ML051110390), this term has the same meaning as that of a "Federal Record":

> ...all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the Government or because of the informational value of data in them.

Note that "regardless of physical form or characteristics" means that the medium for a record may be paper, film, disk, or another physical type or form and that the method of recording may be manual, mechanical, photographic, electronic, or any combination of these or other technologies. (See Chapter 3, "HOW TO Determine if a Document is an OAR," of the “ADAMS Desk Reference Guide” (NUREG/BR-0273, Revision 4.9).)

As related to correspondence, in most cases OAR refers to the electronic-generated correspondence and its attachments and enclosures in any form that is entered into ADAMS, assigned an accession number, and declared an OAR. OARs also include scanned images of incoming correspondence and action copies of reports, completed forms, maps, photographs, and other documents associated with the correspondence OAR.

Official record copy. The final signed outgoing or internal correspondence complete with all attachments and enclosures and the original concurrences of the involved NRC officials, the original of the incoming correspondence, and the original or action copies of reports, completed forms, maps, photographs, and other documents.

Sensitive unclassified information. This information includes allegations, investigations, security-related, proprietary, privacy act, sensitive internal information, and unclassified information from other Government agencies and sources outside of NRC and its contractors and licensees that requires special protective measures. Markings used by these agencies and sources include, for example, For Official Use Only, Company Confidential, and Private. (See MD and Handbook 12.4, "NRC Telecommunications Systems Security Program," and Volume 12, "Glossary," for a complete definition of "sensitive unclassified information.")

Substantive complaint. Any issue that involves the public health and safety, including—

1. Regulatory obligations
2. Significant risks
3. Legal position in the courts
4. Agency resources
5. Licensee performance
6. Licensee requests
7. Licensee resources
8. Stakeholder concern

Suspense date (due date). The suspense date is the latest possible date that the reply or other appropriate action is due at the correspondence control office that originated the request.

Technical editing. Technical editing involves applying the following techniques to documents to ensure clear and accurate communication of a message:

1. Organize the message into a coherent and logical flow of ideas.
2. Correct syntax, grammar, spelling, and punctuation.
3. Ensure consistent use of terms, acronyms, abbreviations, and symbols.
4. Simplify overly complex sentences (sentences that contain too many ideas).
5. Correct subject/verb disagreement and faulty parallelisms.
6. Eliminate ambiguities, redundancy (wordiness), and overuse of the passive voice.
7. Verify the accuracy of equations.
8. Verify the accuracy of tables and figures and redesigning them as required to improve their visual effectiveness.
9. Verify the accuracy of references and cross-references and the consistency of text, figure, and table headings with the table of contents.