



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

June 3, 1983

MEMORANDUM FOR: All NRR Employees

FROM: Jesse L. Funches, Director  
Planning and Program Analysis Staff  
Office of Nuclear Reactor Regulation

SUBJECT: NRR OFFICE LETTER NO. 4, REVISION 2 -  
HANDLING OF CONTROLLED CORRESPONDENCE

This Office Letter has been updated to summarize current procedures for handling controlled correspondence and to broaden the scope to include all categories, rather than just Priority Green tickets. This revision supersedes and replaces NRR Office Letter No. 4, Revision 1, dated January 26, 1981. The subject title has been changed to reflect the increased scope.

General Information

Each controlled correspondence item received by NRR is screened by PPAS/MAB (the NRR Mailroom) to determine responsibility for the reply. Assigned actions are given to the appropriate Division or Program Office Correspondence Coordinator within one workday of receipt in NRR; priority items within 3 workhours. In order to meet schedules, all controlled correspondence must be in the hands of the person responsible for preparing the response within one workday of receipt by the Correspondence Coordinator. Thus, assignment of the action usually should be made concurrently with the Division management's review of the incoming item. When turnaround times are short, actions should be hand-carried through the process rather than mailed. Priority actions should be handcarried in all cases.

Occasionally, there will be a need to transfer responsibility for a controlled correspondence action. Requests for transfer should be made to the NRR Mailroom within one workday of receipt of the action, since such a transfer usually does not relieve the deadline date. If approved, the transfer will be made immediately.

The Work Item Tracking System

All NRR controlled correspondence is entered into the Work Item Tracking System (WITS). WITS is an automated information system designed to provide NRC offices with the capability of monitoring the status of controlled correspondence. This is accomplished by providing managers with computer-generated reports which identify and track all work items.

Tracking begins with the original assignment of controlled correspondence to NRR and subsequently to a Division, and ends when the action is completed. Each Division is provided copies of three computer-generated reports. The first report is called the "Assignee Status Report", which contains all actions due in the Division within 31 days of the date of the report. A copy of "All Open Items" is given to the Division for information. This report contains all actions within the Division regardless of the due date. The "Correspondence Summary Report" is a management-level report which lists and describes all open items in a simplified format with limited detail.

The "Assignee Status Report" for actions due within 31 days is provided to the Correspondence Coordinators for review and updating weekly, usually at the beginning of each week. All information on each item should be reviewed and updated as necessary and a concise, self-explanatory, current status added. After providing all pertinent information, the Correspondence Coordinators return the marked-up report to the NRR Mailroom for final review and updating. Examples of the "Assignee Status Report" and "Correspondence Summary Report" are attached as Enclosures 1 and 2, respectively.

#### Types of Controlled Correspondence

Several types of controlled correspondence are tracked in NRR. "PRIORITY GREEN TICKETS" are EDO actions assigned to NRR for correspondence designated to receive special attention (substantive congressionals, state and federal inquiries, letters to be prepared for the Chairman's signature, requests from the Commission, and other significant and time-sensitive items). "GREEN TICKETS" are EDO actions assigned to NRR for correspondence (VIP and executive correspondence, mail addressed to the Chairman, Commissioners or EDO). Unless approved by the EDO's Office, all responses to Priority Green/Green tickets must be completed by the established deadline date (usually ten workdays after assignment by EDO).

NRR policy on due date changes for Green tickets is that the assigned Division may request a change to the original due date with a valid justification through the NRR Mailroom within three workdays of receipt. This request must be approved by the EDO's Office before the change can be effected. A due date changed and approved in this manner is considered a "new original due date", which is then used as the basis for determining timeliness of the response. Priority Green ticket due dates are not permitted to slip except in the most extraordinary circumstances. Contact the NRR Mailroom with a valid justification within three workdays of receipt if such a date change is necessary.

Green tickets for "APPROPRIATE ACTION" are EDO actions assigned to NRR for correspondence that might or might not require a written reply. The Division assignee is responsible for determining whether a response is warranted. A three-week response time from the date of receipt in the NRR Mailroom is placed on the ticket when assigned. If the assignee determines that no response is required, the NRR Mailroom should be so notified and the original Green Ticket package returned. This will close out the action.

"YELLOW TICKETS" are NRR Office-level requests for action within NRR's area of responsibility, either from within or outside of NRC, addressed to the NRR Director, or other Office personnel. Due dates for Yellow tickets normally are established at three weeks from receipt in the NRR Mailroom unless some other date is specified in the incoming request. Requests to revise a Yellow ticket original due date must be made to the NRR Mailroom within five work-days of receipt of action. Due date changes after the three day or five day initial period for Green and Yellow tickets, respectively, will not result in a new original due date but will slip the current due date, making the action late.

"EDO WITS ITEMS" generally are longer-term actions assigned directly by the EDO or by a Commissioner's Office through the EDO. These actions usually are in the form of memoranda from the Office of the Secretary (Chilk memo's). Currently, they have a numbering system with any of the following three prefixes: 810-, 607- or 61-. For each such EDO-assigned item the EDO's Office enters the description, suspense date, and other supporting information into the WITS.

#### Handling Controlled Correspondence

The following actions should be taken to assist in meeting the scheduled deadlines for controlled correspondence.

1. Immediately upon receipt of an action, the assignee should review the document for needed concurrence and input from other Branches, Divisions or Offices. The assignee is responsible for getting such concurrence or input within the allotted time given to complete the action.
2. All responses, starting with the first draft, should be typed on word processing equipment (e.g., 5520, Displaywriter etc.) and should receive appropriate priority in both the use of the equipment and the typist. Conflicts with other priority work should be resolved at the Division Director level or above, if necessary.
3. Limit the number of concurrences on the response to the minimum necessary. OELD concurrence should be sought only when required by the nature of the response. Division Directors should establish guidelines on which items need legal review and on concurrences within their Division.

4. Concurrence should be acted on promptly by each concurree, but should not be permitted by the assignee to take more than one workday at any level without valid reason. If concurrence cannot be obtained within that time frame due to unavailability of the person involved, that concurrence level may be waived, a notation to that effect entered on the concurrence line and the package taken to the next person for concurrence.
5. Where necessary to ensure a timely completion of the response, copies of the proposed response should be routed for simultaneous, rather than serial, review and concurrence. If possible, provide the NRR Mailroom a draft of the proposed response for PPAS/Director's Office review.
6. Any controlled correspondence action that can be resolved by a phone call should be handled in that manner. The responsible person should then describe on the ticket the action taken and return it to the NRR Mailroom in lieu of a response memo or letter.
7. Each Division must establish and implement procedures and responsibilities to ensure that each package is thoroughly reviewed for administrative-type errors. The Division Director should designate an individual who will be responsible for reviewing final packages for administrative errors (typos, format, copies, etc.). All packages must be delivered directly to the NRR Mailroom so that they can be properly logged, reviewed and tracked. The NRR Secretarial Information Book's section on Correspondence covers all administrative details which should be followed when preparing principal correspondence (i.e., copies, distribution, etc.). These procedures must be followed to avoid delaying correspondence packages.

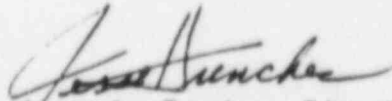
#### Controlled Correspondence Performance Measurement

To ensure timely completion of controlled action items, they are continuously tracked and each Division is given a quarterly report on action item completion. An action item will be considered to be completed on time by the assignee if it is delivered to the NRR Mailroom at least one full workday, or 24 hours before the due date. The due date is either the "original due date" or the "new original due date" which has been requested and approved in accordance with the above procedures. The exceptions and conditions to this policy are:

1. If the package must be returned to the originator to correct typographical, format or other administrative-type errors found in the course of PPAS/Director's Office review, the 24-hour clock does not start running until the package is returned to the NRR Mailroom free of such errors.

2. If the package is returned to the originator for further work following technical/programmatic review by the Director's Office and, because of this, it leaves NRR after the due date, the action will be considered late even though it might have been originally delivered to the NRR Mailroom within the required lead time.

NRR is committed to ensuring that controlled correspondence actions are completed on schedule and with high quality responses. Suggestions for improvements in processing policies and procedures are welcome at any time. Questions regarding controlled correspondence should be directed to the NRR Mailroom contacts, Melanie Garver - Ext. 27707 or Karen Bowman - Ext. 24966.



Jesse L. Funches, Director  
Planning and Program Analysis Staff  
Office of Nuclear Reactor Regulation

Enclosures:  
As stated

ENCLOSURE 1

R1234400  
DATA AS OF: 06/03/83

NUCLEAR REGULATORY COMMISSION  
WORK ITEM TRACKING SYSTEM

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NUCLEAR REACTOR REGULATION

OPTION 1: ORIGINATING ORGANIZATION: EDO & NRR - ITEMS PAST DUE OR DUE WITHIN 31 DAYS  
ASSIGNEE: ALL

- BY ASSIGNEE, ITEM

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ASSIGNEE: CRBR

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ASSIGNEE REFERENCE -> PRI:  
\*\* ITEM NO: 013130 \*\* TAC:  
SECY NO: GAO/DIA:  
PL ACCOM: REV:  
CONTACT: POSLUSNY

SOURCE: NRR LEVEL 2  
START: CURR DUE: 06/13/83  
RECVD: 05/16/83 ORIG DUE: 06/13/83  
UPDID: CURR DAYS: +10  
COMPL: ORIG DAYS: +10

ADMINISTRATOR REFERENCE ->  
\*\* TASK NO: 013130 \*\*  
ORIG BY: EDO REV:  
REQ TYPE: GRN  
REQUESTER: PALLADINO

CURR DUE: 06/13/83  
ORIG DUE: 06/13/83  
CURR DAYS: +10  
ORIG DAYS: +10

\*\* ADMINISTRATOR \*\*

STATUS:

BASIS/RMKS:

\*\* ASSIGNEE \*\*

DESC: OBJECTIVES OF THE U.S. LIQUID METAL FAST  
BREEDER REACTOR PROGRAM

BASIS/RMKS:

STATUS:  
06/03/83: RESPONSE IN PREPARATION

ENCLOSURE 2

R1234404  
DATE RUN: 06/03/83U.S. NUCLEAR REGULATORY COMMISSION  
WORK ITEM TRACKING SYSTEM  
NUCLEAR REACTOR REGULATION

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FOR: DL

\*\* SUMMARY OF OPEN CORRESPONDENCE ACTIONS \*\*

+ = EDO ITEM

ORIG DUE CURR DUE	ORIGINATOR	DESCRIPTION / LATEST STATUS	TICKET NO	REQUEST TYPE	CONTACT/FACILITY
02/26/82 08/01/83		PAPER ON SYSTEMATIC EVALUATION PROGRAM (SEP) AND NATIONAL RELIABILITY EVALUATION  02/04/83 COMMISSION BRIEFING ON SEP II; NO ACTION PENDING OPE REVIEW	+820024		RUSSELL
01/12/83 06/10/83		DISCUSSION PAPER AND RECOMMENDATIONS FOR INFORMING THE COMMISSION OF BOARD NOTIFICATIONS  06/03/83 STILL WITH EISENHUT FOR CONCURRENCE	+820494		WILLIAMS
03/30/83 06/10/83		STEAM GENERATOR GENERIC REQUIREMENTS (PAPER ON REQUIREMENTS TO PROVIDE ADDED ASSURANCE OF S/G TUBE INTEGRITY & MITIGATE CONSEQUENCES OF S/G TUBE RUPTURE)  06/03/83 PREPARING RESPONSE	+820444		MARTIN
04/29/83 06/10/83		TESTING PROGRAM FOR MODEL D-3 PREHEATER STEAM GENERATOR & CRACK MONITORING INSPECTION REQUIREMENT FOR INTAKE STRUCTURE AT SUMMER 1  06/03/83 IN EISENHUT'S OFFICE FOR CONCURRENCE	+820436		HOPKINS
05/02/83 06/10/83		SUBMIT A CHART SUMMARIZING THE APPLICABILITY & REQUIREMENTS OF SECTION 302(B) TO EACH CLASS OF REACTOR LICENSE.  06/03/83 TO DENTON FOR CONCURRENCE 6/2	+830116		M. WILLIAMS



2. If the package is returned to the originator for further work following technical/programmatic review by the Director's Office and, because of this, it leaves NRR after the due date, the action will be considered late even though it might have been originally delivered to the NRR Mailroom within the required lead time.

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Original Signed by

Jesse L. Funches, Director  
Planning and Program Analysis Staff  
Office of Nuclear Reactor Regulation

Enclosures:  
As stated

OFFICE	MAB:NRR	MAB:NRR	PPAS:NRR				
SURNAME	MGarver:nh	HBerkow	JFunches				
DATE	6/1/83	6/1/83	6/1/83				