

U.S. NUCLEAR REGULATORY COMMISSION

DIRECTIVE TRANSMITTAL

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To: NRC Management Directives Custodians

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

Purpose: Directive and Handbook 3.57 are totally revised to establish policy and procedures for—

- preparing and handling correspondence in paper and electronic environments, including the use of electronic mail and the Agencywide Documents Access and Management System (ADAMS);
- identifying the responsibilities of those involved in the correspondence process; and
- ensuring that correspondence is
 - accurate;
 - written in plain English; and
 - handled in an appropriate time frame for its source, subject matter, and sensitivity.

No change bars appear in MD 3.57 because of the extent of the revision.

Office of Origin: Office of the Executive Director for Operations

Contact: Patricia N. Tressler, 301-415-1718

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Office of Administration
Michael T. Lesar, 301-415-7163
Christy Moore, 301-415-7086

Correspondence Management

Directive
3.57

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U. S. Nuclear Regulatory Commission

Volume: 3 Information Management

Part: 2 Records Management

EDO

Correspondence Management

Directive 3.57

Policy

(3.57-01)

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.

Objectives

(3.57-02)

- To ensure that correspondence is consistent with agency and programmatic policy. (021)
- To produce accurate correspondence. (022)
- To ensure that correspondence is written in plain language, consistent with the NRC Plain Language Action Plan, so that it is accurate, clear, and concise. (023)
- To establish procedures for preparing and handling NRC correspondence in both paper and electronic environments. (024)
- To establish procedures for identifying by the source, subject matter, or sensitivity of incoming correspondence whether it requires expeditious handling as principal correspondence. (025)
- To produce correspondence that is uniform in style and format. (026)

Objectives

(3.57-02) (continued)

- To implement Federal and NRC policies and procedures for managing correspondence. (027)

Organizational Responsibilities and

Delegations of Authority

(3.57-03)

Executive Director for Operations (EDO)

(031)

Oversees the Correspondence Management Program.

Director, Office of Information Services (OIS)

(032)

Oversees any infrastructure involved in producing, storing, and transmitting correspondence.

Office of the General Counsel (OGC)

(033)

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

Director, Office of Congressional

Affairs (OCA)

(034)

- Reviews communications from congressional sources, acknowledges their receipt, and provides guidance to offices

Organizational Responsibilities and
Delegations of Authority
(3.57-03) (continued)

Director, Office of Congressional
Affairs (OCA)
(034) (continued)

assigned action, as necessary, on the nature of required responses. (a)

- Reviews and concurs in replies to congressional correspondence prepared by NRC offices. (b)
- Dispatches all mail addressed to Congress. (c)
- Monitors, as necessary, and concurs in all congressional-related Commission papers before they are distributed to the Commission. (d)
- Monitors material sent for information purposes to House and Senate committees that have jurisdiction over NRC activities. (e)

Office of the Secretary of
the Commission (SECY)
(035)

- 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. (a)
- Receives and reviews all communications addressed to SECY, assigning these communications action and suspense dates and tracking their status until complete. (b)

Organizational Responsibilities and
Delegations of Authority
(3.57-03) (continued)

Office of the Secretary of
the Commission (SECY)
(035) (continued)

- Reviews and controls, as appropriate, staff correspondence prepared at the direction of the Commission. (c)
- Determines those categories of incoming communications that warrant identification and control as principal correspondence and functions as the central point of control for action assignments. (d)
- Coordinates principal correspondence referrals to and from Commission-level offices and the Office of the EDO (OEDO) and acts in direct liaison with those offices on related inquiries and status reporting. (e)

Office Directors and
Regional Administrators
(036)

- Designate Correspondence Officers for their organizations to coordinate and control principal correspondence actions and apprise the EDO of any redesignation of an officer. (a)
- Ensure that the following principal correspondence originated in their organization is edited by a technical editor (see the Section 8 definition for technical editing): (b)
 - principal correspondence going to or responses being sent by the Commission; (i)
 - principal correspondence being signed by the EDO; (ii)

Organizational Responsibilities and
Delegations of Authority
(3.57-03) (continued)

Office Directors and
Regional Administrators
(036) (continued)

- other complex or sensitive principal correspondence at the discretion of the office director or the regional administrator. (iii)
- Ensure that the official record copy of letters, memoranda, and other correspondence qualifying as official agency records is saved in the appropriate recordkeeping system, such as the Agencywide Documents Access and Management System (ADAMS). (c)
- Ensure that their staffs implement this directive and handbook within their areas of responsibility. (d)
- 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. (e)
- Ensure that the correspondence produced under their purview is technically accurate and well written in plain English so that it is readable. (f)
- Are responsible for oversight of the technical accuracy and overall quality of correspondence under their purview. (g)

Director, Infrastructure and Computer
Operations Division (ICOD), OIS
(037)

Provides and maintains hardware and software necessary to produce and handle correspondence and official agency records.

Organizational Responsibilities and
Delegations of Authority
(3.57-03) (continued)

Director, Division of Nuclear Security
(DNS), Office of Nuclear Security
and Incident Response (NSIR)
(038)

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

Director, Division of Administrative
Services (DAS), Office of
Administration (ADM)
(039)

Provides technical editing services for the agency's principal correspondence as specified in Section (3.57-036).

Director, Division of Facilities
and Security (DFS), ADM
(0310)

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

Administrative and Correspondence Staff
(ACS), Office of the Executive Director
for Operations (OEDO)
(0311)

- Determines and stipulates, in coordination with SECY, requirements and procedures for processing principal correspondence. (a)

Organizational Responsibilities and
Delegations of Authority
(3.57-03) (continued)

Administrative and Correspondence Staff
(ACS), Office of the Executive Director
for Operations (OEDO)
(0311) (continued)

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

Applicability
(3.57-04)

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

Handbook
(3.57-05)

Handbook 3.57 contains procedures and guidance for preparing NRC correspondence.

References
(3.57-06)

U.S. Government Printing Office, Mail Stop SSOP, Washington, D.C., *U.S. Government Printing Office Style Manual, 2000*.¹

U.S. Nuclear Regulatory Commission

Internal Commission Procedures at <http://www.nrc.gov>.

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

Management Directives²—

2.3, "Telecommunications."

3.1, "Freedom of Information Act."

3.4, "Release of Information to the Public."

3.13, "Printing."

3.23, "Mail Management."

3.50, "Document Management."

3.53, "NRC Records Management Program."

10.159, "The NRC Differing Professional Opinions Program."

12.2, "NRC Classified Information Security Program."

¹Available from the NRC Supply Store

²Available in the Agencywide Documents Access and Management System (ADAMS) or by request to e-mail address <Distribution>. Ask for the latest revision.

References

(3.57-06) (continued)

NUREG-Series Publications³—

NUREG-0544, "NRC Collection of Abbreviations."

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

NUREG-1379, "NRC Editorial Style Guide."

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

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

NUREG/BR-0273, "ADAMS Desk Reference Guide."

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

"A Customer's Guide to Mailing," available online at <http://www.usps.com/customersguide/dmm100.htm>.

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

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

³Available in ADAMS or by request to e-mail address <Distribution>. Ask for the latest version.

Correspondence Management

Handbook

3.57

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Section 1

1 Handbook Overview

Section 1 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. This section also describes the role of the Agencywide Documents Access and Management System (ADAMS) in the correspondence process. Section 2 describes the responsibilities for writing and handling correspondence, including the responsibility for signing various types of correspondence.

Section 3 covers writing guidelines and e-mail etiquette, and Section 4 covers general procedures for all types of correspondence, including response time frames, use of shell formats, and general formatting for all correspondence. Sections 5 through 7 cover procedures for handling specific types of correspondence—Commission papers, letters, and memoranda. Section 8 gives definitions for terms used in both Directive and Handbook 3.57.

Review this handbook, become familiar with the definitions, then follow the procedures for the type of correspondence you are handling.

1.1 Correspondence Types

For purposes of this handbook, correspondence includes any communication related to agency business. NRC controls some 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 in Section 4.

1.1.1 Principal Correspondence

Principal correspondence is correspondence that because of its source, subject matter, sensitivity, urgency, or possible impact on the NRC's regulatory responsibilities is controlled by the Office of the Secretary of the Commission (SECY) or the Office of the Executive Director for Operations (OEDO). This correspondence can be originated by high-level NRC officials in response to substantive matters from the Commission offices reporting directly to the Commission, the EDO, or the Chief Financial Officer (CFO). It can also be 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 principal correspondence because they are received 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.

1.1.2 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 principal correspondence.

1.1.3 Supplementary Correspondence

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

- preprinted postcards,
- notes,
- routing slips,
- telephone messages, and
- notes to file.

1. **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").
2. **Notes.** Handwritten or typed information on small letterhead stationery (5½ by 8½ inches). The use of e-mail may have 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").
3. **Routing Slips.** Sheets indicating who is to receive attached documents. Such a sheet may indicate who is to concur with or sign one or more of the attached

documents and 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 ML031671483) rather than use Optional Form 41, which is still available from the NRC Supply Store.

4. **Telephone Messages.** NRC staff generally use the GroupWise 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 that are still available from the NRC Supply Store.
5. **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").

1.2 Official Agency Records

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, CD-ROMs, and Electronic Information Exchange (EIE) submissions.

For help determining if a specific document is an OAR, access the interactive tool provided on the agency's records management Web site. This tool is designed to step individuals through the process of determining whether a document is a record by answering yes or no to a series of questions.

For additional information, see the definitions for "Federal record" and "official agency record" in Section 8; "How To Determine if a Document is an OAR," Chapter 2, NUREG/BR-0273, "ADAMS Desk Reference Guide"; and the following resources that define records, their retention periods, and release of information to the public:

- Management Directive (MD) 3.1, "Freedom of Information Act"

- MD 3.4, "Release of Information to the Public"
- MD 3.53, "NRC Records Management Program"
- NUREG-0910, "NRC Comprehensive Records Disposition Schedule"
- NUREG/BR-0273, "ADAMS Desk Reference Guide"

Direct any questions concerning what constitutes an OAR and retention periods to OIS's Records and FOIA/Privacy Services Branch.

1.3 Security

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>.

No allegations, 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.

1.4 The Agencywide Documents Access and Management System (ADAMS)

ADAMS is an electronic document management and recordkeeping system that maintains official records of the agency. This system is used by staff to organize, process, and manage their documents as well as a reference tool to search and retrieve agency records. It also serves as the vehicle to disseminate publicly available records to the agency's Public Web Server.

The ADAMS internal Web pages and the "ADAMS Desk Reference Guide" (NUREG/BR-0273) provide information for using ADAMS. See especially Chapter 8, "Preparing Final Documents for ADAMS."

To enter correspondence in ADAMS, follow the instructions in the "ADAMS Desk Reference Guide," adhering to your own office's procedures and appropriate templates for use of ADAMS.

- If adding electronic files for your correspondence, using your personal computer, follow Chapter 5 of the guide, "Adding NRC-Generated Documents to ADAMS."
- Otherwise, follow the procedures contained in the "ADAMS Document Submission Guidelines for HQ Offices Step-by-Step Instructions" (ADAMS Accession Number ML010390040) for processing by the Document Processing Center. Regional employees should contact their Director of Resource Management and Administration (DRMA) for procedures established for their specific region.

Also check the useful Index to this guide if you need more information, or contact the ADAMS Support Center.

NRC employees are provided an agencywide basic information technology (IT) infrastructure that includes the Corel WordPerfect word processing software. Some offices provide additional word processing software (such as Microsoft Word) to those staff members who have a specific need for it. Those other word processing software packages are not currently considered part of the agencywide basic IT infrastructure and should not be used for the preparation of documents to be reviewed or approved by OEDO. Documents should be prepared using Corel WordPerfect in order to facilitate their review by OEDO and other offices.

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

<p>UNITED STATES NUCLEAR REGULATORY COMMISSION WASHINGTON DC 20555-0001</p> <hr/> <p>OFFICIAL BUSINESS PENALTY FOR PRIVATE USE \$300</p>
<p>We have received your recent correspondence regarding the subject referred to below. Please be advised that your correspondence has been forwarded for consideration by the Commission. Thank you for your interest.</p>
<p>Rulemakings and Adjudications Staff Office of the Secretary of the Commission</p>
<p>NRC FORM 532B (7-1998)</p>

Figure 1.1
Preprinted Postcard

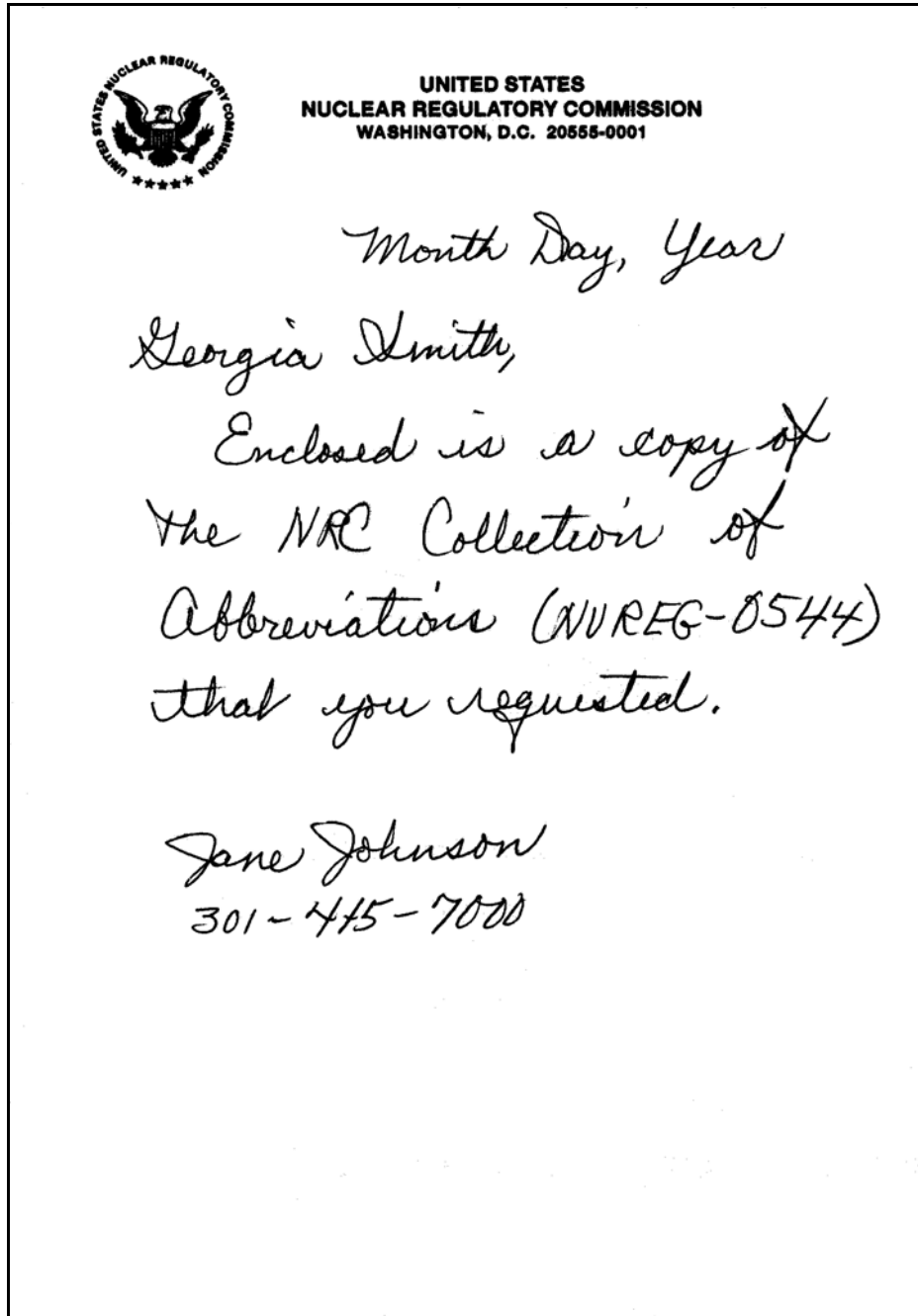


Figure 1.2
Note Letterhead

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 Correspondence Management
 Handbook 3.57 Section 1 Figures

OIS ROUTING SLIP							
<u>Date:</u>							
Author completes items 1-4.							
1. <input type="checkbox"/> Document edited (Applies to documents going to the Commission or outside the agency. Send to e-mail address QTE.)							
2. <input type="checkbox"/> Fully complete NRC Form 665 (ADAMS Document Submission).							
3. <input type="checkbox"/> Include appropriate background material with document, such as, incoming correspondence or copy of OIS orange ticket. Give this information to the ISA/Secretary who will prepare the documents. Provide electronic versions if available.							
4. <input type="checkbox"/> 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:							
<input type="checkbox"/> ISA/Secretary initials & date _____							
Concur ✓	Sign ✓	TO: Name	Staff Initials	Date	Office	Location/ Mail Stop	ISA/Secy Initials (if app)
		1.					NM
		2.					
		3.					
		4.					
		5.					
		6.					
		7.					
		8.					
REMARKS/INSTRUCTIONS:							
CONTACT:		OFFICE:		PHONE:		ROOM:	
ISA/SECRETARY:		OFFICE:		PHONE:		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 Skip Kemerer 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 Victoria Voytko 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

Section 2

2 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, "Signatures," at the end of this section.

2.1 The Office of the Secretary of the Commission (SECY), which serves the Commission and those offices reporting directly to the Commission, performs the following tasks:

- assigns suspense dates to principal correspondence addressed to the Chairman, the Commission, the Secretary, and, upon request, individual Commissioners and, occasionally, to the EDO and the Office of Congressional Affairs;
- advises the OEDO's Administrative and Correspondence Staff (ACS) of procedural or format changes requested by the Commission or otherwise warranted;
- uses a yellow computerized correspondence control ticket, referred to as a "yellow ticket" by SECY (Figure 2.1), to manage its principal correspondence;
- assigns a SECY number to SECY papers (see Section 5, "Commission Papers," of this handbook);
- assigns SECY paper suspense dates (due dates);
- finalizes in ADAMS SECY papers and correspondence signed by the Chairman;
- oversees the reproduction and distribution of all SECY papers;
- reproduces and distributes all principal correspondence for the Commission.

2.2 The Office of the Executive Director for Operations (OEDO) manages the ACS, which includes Correspondence Officers and serves the EDO and those offices reporting to the EDO. The ACS is responsible for the following tasks:

- requiring that each office director or regional administrator designate an office or regional Correspondence Officer to control and report on principal correspondence OEDO refers to that office;
- developing procedures for handling principal correspondence to supplement and expand on this MD;
- ensuring that respective offices and divisions under the EDO's purview comply with OEDO's procedures;
- using OEDO's Electronic Document and Action Tracking System (EDATS) to control principal correspondence under the EDO's purview;
- assigning OEDO suspense dates; and
- for SECY papers prepared by an office reporting to OEDO, dating the SECY paper being sent to the Commission after the EDO signs it and sending it to the SECY staff.

2.3 Office Directors and Regional Administrators, as stated in Section 2.2 of this handbook, perform the following tasks:

- designate an office or regional Correspondence Officer to handle correspondence under the office's or region's purview;
- 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;
- ensure that principal correspondence is edited by a technical editor before office-level concurrence; and
- are responsible for oversight of the technical accuracy and overall quality of correspondence under their purview.

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

- establish a system to ensure that this 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);
- 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 mailbox "EDO Extension Request." For specific instructions, see the OEDO's Extension Request Process (ML031750295);
- in accordance with the office's or region's procedures, remind staff responsible for responses of the due date for each response, usually about 5 workdays before the due date or more frequently as necessary.

2.5 The Correspondence Originator is responsible for ensuring that correspondence (1) is appropriate for its purpose; (2) is accurate; (3) is clear to the intended audience; (4) complies with agency policy for correspondence, including preparation of an ADAMS Document Submission NRC Form 665S or 665P, or both; and (5) is appropriately handled during the concurrence process.

(1) To ensure **appropriateness**, the originator—

- determines, in conjunction with management supervisor, the type of correspondence to use;
- identifies any questions in incoming correspondence to answer;
- determines the topics to discuss in a reply;
- identifies the office staff with the expertise to answer the questions or address the concerns in the incoming; and
- adequately answers the questions and addresses the concerns in the incoming correspondence.

(2) To ensure **accuracy**, the correspondence originator, using the "Originator's Checklist for Ensuring Accuracy of Correspondence" (Table 2.2)—

- keeps a file of all reference material used in developing a document;
 - requests simultaneous review from all appropriate program or staff offices on a draft document to expedite completion of the final correspondence;
 - 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;
 - reviews changes received on the draft to resolve and eliminate any conflicting changes and to ensure logical cohesiveness of the correspondence;
 - ensures that the correspondence correctly identifies any references; and
 - concurs and obtains concurrence from each contributing office on the final version of the correspondence (see also Section 2.6).
- (3) To ensure **clarity**, the correspondence originator ensures that the correspondence—
- is written in plain language consistent with Federal and NRC's Plain Language guidance on NRC's internal and external Web sites;
 - complies with "Writing Guidelines and E-Mail Etiquette" (Section 3);
 - is edited by a technical editor if it is principal correspondence;
 - is complete, clear, concise, and easy to read;
 - minimizes the use of jargon unless all recipients would understand the jargon; and
 - spells out titles, organizations, and other abbreviations at first use.
- (4) To ensure **compliance with correspondence policy**, the originator—
- completes ADAMS Document Submission NRC Form 665S or 665P, or both;

- ensures that correspondence involving classified and sensitive unclassified information, such as Official Use Only material, is prepared, marked, cleared, and protected as prescribed in Management Directive (MD) 12.2, "NRC Classified Information Security Program," and on the SUNSI Web site at <http://www.internal.nrc.gov/sunsi>; and
 - ensures that the correspondence complies with the policies, standards, and procedures in this directive and handbook, including any special instructions for correspondence for the Chairman's signature in Sections 6 and 7 of this handbook.
- (5) To ensure **appropriate handling during the concurrence and review process**, the originator—
- informs involved managers who promptly inform staff in OEDO if any office staff state that their concurrence will be delayed;
 - concurs and obtains concurrence from each contributing office and the following offices on the final version of the correspondence as required:
 - the Office of the General Counsel for correspondence that involves legal issues or regulatory interpretation or that is prepared for the Chairman's signature;
 - the originator's office director or regional administrator for correspondence prepared for the Executive Director for Operations' signature;
 - OEDO for those documents being signed or concurred in by the EDO;
 - the Office of Information Services for correspondence that has information technology or information management implications, including Freedom of Information Act and Privacy Act matters; and
 - the Office of the Chief Financial Officer for correspondence involving the budget, financial management, or resource impacts.

Any correspondence that needs to be concurred in at a higher level than the individual signing the document must have two concurrence blocks for that individual. The first concurrence block for that individual is for initial concurrence and the second

concurrency block for that individual will be for final concurrence and signature after the higher level review.

Insert the name and date of concurrence on the final version of the document for concurrences obtained on prior versions of the document.

If the EDO assigns correspondence that requires Office of Congressional Affairs (OCA) review, it is the responsibility of OEDO to obtain OCA's concurrence. Note: offices should not send documents directly to OCA for concurrence. OCA reviews the document before the EDO signs the correspondence and OCA should come before the EDO in the concurrence chain.

2.6 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 8 for "concurrence" and "non-concurrence"):

- making necessary substantive changes to information in their area of technical expertise;
- refraining from making editorial changes unrelated to technical accuracy but perhaps informally relaying editorial suggestions to the originator;
- indicating any changes to the original draft electronic file or any subsequent revised version of the correspondence circulated for concurrence, using approved agency software, by comparison markings or marking changes on the hard copy and returning the revised file or hard copy to the originator;
- notifying their managers and the originator if their review and concurrence may cause a controlled correspondence due date to be missed; and
- concurring with the final version of the correspondence when they agree—
 - that the technical content in their area of responsibility is accurate;
 - with the overall approach of the document; and
 - that the document is consistent with NRC's programs and policies in their area of responsibility.

2.7 Signatories, those who sign the correspondence, are legally responsible for its content. The signatory, or the senior manager in the office or region originating the correspondence, for correspondence to be signed by the EDO, the Chairman, or a Commissioner, should—

- agree with the content and be satisfied that the content is both accurate and consistent with program and agency policy before signing and
- review the proposed decisions of the document originator on NRC Form 665S or 665P, or both, accompanying the correspondence for appropriateness of its public availability, sensitivity, and security access rights unless the EDO or a member of the Commission is the signatory, in which case, the senior manager in the office or region preparing the correspondence for signature performs this review.

2.8 Secretaries and Office Automation 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:

- using available electronic tools, features such as Spell Check or Grammatik in WordPerfect, or other approved agency software tools;
- consulting 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>;
- consulting also as needed a current standard dictionary, the "NRC Editorial Style Guide" (NUREG-1379), a current English grammar textbook (such as *Hodges' Harbrace College Handbook*), or an NRC technical editor;
- reminding the originator to have principal correspondence edited by a technical editor as specified in Section (3.57-036) of Directive 3.57;
- proofreading all correspondence, attending to spelling, punctuation, grammar, and hyphenation, and clearly marking material to be revised;
- revising and reproofing the correspondence as necessary until the originator deems it satisfactorily completed;

- saving the final record copy in the appropriate recordkeeping system (e.g., ADAMS);
and
- overseeing appropriate dispatch and distribution of the correspondence.

For records that are kept in ADAMS, follow the office procedures and the guidance in the latest version of the "ADAMS Desk Reference Guide" (NUREG/BR-0273). See especially Chapter 8, "Preparing Final Documents for ADAMS." 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.

**Table 2.1
 Signatures**

Signature on Response Unless Otherwise Directed	Type of Incoming Correspondence
Chairman	<ul style="list-style-type: none"> • Letter addressed to the Chairman or the Commission from a member of Congress • Letter from a cabinet officer or the head of a Government agency or Commission • Letter from a high-ranking official of a foreign government agency or commission • Letter from a major official of a State government or domestic organization • Letter soliciting NRC's position on a substantive matter or requesting establishment of a policy, a legislative position, or budgetary requirements
Commissioner	<ul style="list-style-type: none"> • Letter addressed to a specific Commissioner is prepared for that Commissioner's signature unless otherwise directed
Office of the Secretary of the Commission	<ul style="list-style-type: none"> • SECY acknowledges all principal correspondence with the exception of correspondence from Congress, State, Tribal, and local governments
Executive Director for Operations	<ul style="list-style-type: none"> • Letter addressed to the EDO unless the response establishes a policy, a legislative position, or budgetary requirements that require the Chairman's signature • Letter 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	<ul style="list-style-type: none"> • Letter 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

Table 2.1
Signatures (continued)

Signature on Response Unless Otherwise Directed	Type of Incoming Correspondence
	<ul style="list-style-type: none"> • Memoranda to the Commission prepared by offices reporting to the Commission
Director, Office of Congressional Affairs	<ul style="list-style-type: none"> • Letter from a member of Congress (acknowledge within 3 days of receipt) • Letter addressed to OCA, except when the response establishes a policy, a legislative position, or budgetary requirements that require the Chairman's signature
Director, Office of State and Tribal Programs	<ul style="list-style-type: none"> • Letter 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	<ul style="list-style-type: none"> • Correspondence from external sources, such as official State, local, or other related organizations
Regional administrators	<ul style="list-style-type: none"> • Correspondence to the administrators from external sources, such as official State, Tribal, local, or other related organizations
Division directors	<ul style="list-style-type: none"> • Correspondence of a routine nature received from external sources as assigned by an office director or a regional administrator
Branch chiefs	<ul style="list-style-type: none"> • 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

Table 2.2
Originator's Checklist for Ensuring Accuracy
of Correspondence

Task	Date Completed
Maintained complete file of reference material used to develop correspondence	
Maintained complete file of revised versions, which is easily done through ADAMS	
Satisfied that all revisions are accurate	
Satisfied that correspondence contains no conflicting information	
Satisfied that information does not conflict with agency policy	
Satisfied that correspondence is logically coherent	
Satisfied that 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/)	
Completed appropriate ADAMS Document Submission Forms found at ADAMS ML020170281 or ML020170279	
Verified accuracy and availability of references listed on the correspondence	
Obtained all concurrences on final version, including concurrence by a technical editor if it is principal correspondence as specified in Section (3.57-036) of Directive 3.57	
Oversaw dispatch	

OFFICE OF THE SECRETARY CORRESPONDENCE CONTROL TICKET		
<i>Date Printed: Jun 29, 2005 11:00</i>		
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:
<hr/>		
EDO --G20050465		

Figure 2.1
Office of the Secretary
Correspondence Control Ticket
(Yellow Ticket)

Section 3

3 Writing Guidelines and E-Mail Etiquette

3.1 Writing Guidelines

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

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

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

Not: This is in response to...

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

Use: I am responding to your letter of January 2, 2003, in which you inquire about several topics discussed at the workshop you attended on December 3, 2002.

Not: In your letter of January 2, 2003, you asked whether the NRC has decided... and what action NRC will take to resolve this issue.

3. Respond to questions in the incoming correspondence.
4. Focus on the questions asked, avoiding amplification or unnecessary detail, thereby creating a concise response.
5. Be forthright and honest in your answers.
6. Keep the point of view accurate by doing the following:
 - Distinguish between when the Chairman speaks for himself (I) and when he speaks for the Commission (we).

- 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).

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

Direct: The team inspected...

Indirect: The team conducted an inspection...

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

Active: The task force investigated...

Passive: The issue was investigated by the task force...

9. Avoid jargon when writing to nontechnical readers who may not understand the terminology. Adequate synonyms exist for many concepts.

Use: automatic reactor shutdown

Not: reactor scram or trip

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

11. 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.

12. 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...

13. Finally, ensure that your response will stand the test of time. That is, never say anything that you or NRC will regret 5 years from now.

3.2 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.

3.2.1 Guidance on E-Mails

1. Use oral communication instead of e-mail for—
 - complex issues
 - time-sensitive issues
(If e-mail is used because of an inability to reach an individual, explain the urgency of the transmittal in the e-mail. 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 before sending it 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—
 - **FYI** (For your information - No action or response is required)
 - **QUERY** (General Question - A response is optional)
 - **ACTION** (Action or response is required)
 - **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 **S**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 "Away message" when out of the office for two or more consecutive workdays.
15. Provide feedback to the e-mail sender when e-mail guidelines are not followed.

3.2.2 Tools and Tips for E-Mails

3.2.2.1 Tracking the Status of E-Mails

If desired, the originator can be notified when the e-mail is opened and deleted by the recipient.

Select "Create New Mail."

Select "File." In the drop-down menu, select "Properties."

The "Mail and Phone Properties" window will open.

Select the "Status Tracking" Tab.

In the Return Notification Section:

- Select the method you would like to be notified when the e-mail has been opened.
- Select the method you would like to be notified when the e-mail has been deleted.

3.2.2.2 Requesting a Reply

If a reply is requested (very useful for Actions), use the GroupWise function "Mail and Phone Properties" (select "Create New Mail," "File," "Properties").

In the Send Options Tab, select "Reply requested" and choose "When convenient" or "Within # of days."

3.2.2.3 Attaching E-Mails

You may wish to attach an e-mail or multiple e-mails rather than forward each e-mail or copy/paste the content into the new e-mail. To perform this function, minimize the GroupWise window, minimize the new e-mail, then drag the desired e-mails and drop them into the attachment pane of the new e-mail.

3.2.2.4 Giving Priority to an E-Mail

Select "Create New Mail."

Select "File." In the drop-down menu, select "Properties."

The "Mail and Phone Properties" window will open.

In the Send Options Tab, select the priority you want to attach to the e-mail (High, Standard, Low).

3.2.2.5 Sending a Delayed E-Mail

You may wish to send an e-mail during a time you may be out of the office or a time later than when you created the e-mail.

Select "Create New Mail."

Select "File." In the drop-down window, select "Properties."

The "Mail and Phone Properties" window will open.

In the Send Options Tab, check "Delay Delivery" and enter the date you want the delayed e-mail to be sent.

3.2.2.6 Creating an Away Message

In the GroupWise main window, select the "Tools" menu.

Select "Rules" and "New."

Enter a Rule Name (Out of Office, vacation, etc.).

In the "When event is" section, select a "New Item" and "Received."

To Create an Automatic Response:

In the "Then actions are" section:

Select "Add Actions"; select "Reply"

Choose "Reply to Sender" only! DO NOT choose "Reply to all (senders and recipients)."

Enter a subject line. Example, "Out of Office Reply."

Enter a message. Example: "I will be out of the office from __/__/__ to __/__/__. Please contact _____ at (e-mail address or work phone) if you need immediate assistance."

Select "OK."

Select "Save."

This rule will be in effect in accordance with the conditions; however, you should "Disable" the rule when you return to the office (multiple rules may contradict each other).

To Define the Start and End Dates, and Other Conditions:

Select "Define Conditions."

In the first row of conditions:

Select "Delivered"; "> = on or after Date"; define the Start Date; select "And."

This will open the second row of conditions. In the second row:

Select "Delivered"; "< = on or after Date"; define the End Date; select "And."

This will open the third row of conditions. In the third row:

Select "To"; "Contains"; type your GroupWise User ID as it appears in the GroupWise Address book; select "And."

This will open the fourth row of conditions. In the fourth row:

Select "From"; "Does Not Contain"; type your GroupWise User ID as it appears in the GroupWise Address book; select "End."

Select "OK."

3.2.2.7 Delegating E-Mails With "Out of Office"

If you wish, e-mails can be forwarded to a person to whom you choose to delegate this responsibility.

In the "Then actions are" section:

Select "Add Actions"; select "Delegate."

In the "To" field, enter the GroupWise User ID for the individual to whom you choose to delegate this responsibility.

Optional: Write a comment to the sender.

Optional: Write a comment to the recipient.

3.2.3 Professional Development Center (PDC) GroupWise Training

1. GroupWise: E-Mail and Calendaring
2. GroupWise: Communication Techniques (advanced functions in e-mail)

Section 4

4 General Procedures for All Types of Correspondence

This section covers procedures generally applicable to all types of correspondence. Read this section and review the figures at the end of this section and Sections 5, 6, and 7, reading carefully the information they contain, before preparing correspondence.

For correspondence to be signed by the Chairman, follow the current Chairman's editorial preferences as shown in correspondence shell formats in the agencywide, SECY, or EDO Correspondence Format Files folder in the Agencywide Documents Access and Management System (ADAMS). For preparing congressional correspondence, see ADAMS Accession Number ML031820146 and also Section 4.2.3.

4.1 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
Principal	By whichever date is earliest on the— <ul style="list-style-type: none"> • Yellow Ticket • OEDO Tasking Item • Office Ticket
General If controlled: Complete response If not controlled: <ul style="list-style-type: none"> • Complete final response • Complete interim acknowledgment or reply to memoranda or letters 	By due date <ul style="list-style-type: none"> • 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 in Section 1 of this handbook).

4.1.1 Controlled Correspondence

As described in Section 1.1 of this handbook, principal correspondence is controlled by an office director or a manager above that managerial level while general correspondence, if it is controlled, is controlled by an office director or a manager below that managerial level.

4.1.1.1 Principal Correspondence

Due dates for replies to incoming correspondence are established by the Office of the Secretary of the Commission (SECY) on a yellow ticket (see Figure 2.1 in Section 2 of this handbook) or by the Office of the Executive Director for Operations (OEDO) through its electronic task tracking system. 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 or OEDO.

Respond to controlled correspondence by the date stated on the SECY's yellow ticket, the EDO's tasking document, or your own office's control ticket, whichever is earlier.

Staff should follow procedures to request an extension at the earliest indication that a yellow ticket or OEDO tasking item due date cannot be met. Offices reporting to the EDO should coordinate any change with the EDO's Administrative and Correspondence Staff. Commission-level offices are to contact SECY directly (see also ML031750295 extension request instructions).

Options offered the assigned office may include—

- Adjusting the suspense date on the ticket.
- Establishing a reply schedule for an acknowledgment or interim reply or both.

4.1.1.2 General Correspondence

If the correspondence qualifies as general correspondence and is controlled at the level of an office director or a manager below that managerial level, 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.

4.1.2 Electronic Mail Messages. Acknowledge an electronic mail (e-mail) message (see Figure 4.1) within 3 workdays. 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 3).

4.2 Writing and Preparing Correspondence

After reviewing Handbook 3.57 and becoming familiar with the definitions, you will be ready to write and prepare correspondence.

4.2.1 Designated Originator. The designated originator writes the correspondence, following "Writing Guidelines" in Section 3 of this handbook and does the following:

- Makes letters and memoranda clear and concise, using agency-supported software tools, and no longer than two pages if at all possible (see also Section 5 for "Commission Papers").
- Creates documents using agency-supported software tools.
- Omits any numbering of paragraphs, a format appropriate for lengthy enclosures, if needed.
- Presents detailed discussion and analysis in enclosures and appropriately references the enclosures in the body of the correspondence.

4.2.2 Secretary or Office Automation Assistant

The originator's secretary or office automation 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:

- Prepares an electronic version of all internally generated documents and, to the extent possible, all externally generated documents, according to the preparing office's policy.
- Attaches ADAMS Document Submission NRC Form 665S or 665P, or both, that the originator completes for the correspondence. Both forms are available in the ADAMS Main Library.
- Enters the electronic version in ADAMS, unless the documents are exempt from placement in ADAMS, in accordance with the preparing office's or region's correspondence procedures.
- Saves all correspondence and the enclosures sent to or through OEDO in ADAMS, except allegations, classified information, or Safeguards Information (see Section 1.4 of this handbook).
- Prepares a paper version of all correspondence and the enclosures.
- Prepares each enclosure to the correspondence as follows:
 - (1) If at all possible, identifies each enclosure in the bottom right corner as Enclosure 1, Enclosure 2, and so forth. If an enclosure cannot be labeled in the bottom right corner, appropriately labels a cover sheet. The secretary or office automation assistant may also add a cover sheet for an enclosure already labeled in the bottom right corner for ease of handling.
 - (2) Documents should be assembled into packages in ADAMS making sure that all stand-alone documents are captured as separate documents.
 - (3) Labels any information supplementary to an enclosure as an attachment. Identifies each attachment in the bottom right corner as Attachment 1, Attachment 2, and so forth. If an attachment cannot be labeled in the bottom right corner, appropriately labels a cover sheet. The secretary or office automation assistant may also add a cover sheet for an attachment to the already labeled document for ease of handling.
- Places the ADAMS accession number and any other identifying information as described in Section 4.3.5 on the concurrence copy above the concurrence grid.

- Prepares a routing slip briefly describing the correspondence and listing those who concur or who both concur and sign in accordance with his or her office's or region's procedures.
- Assembles a concurrence package that includes—
 - The routing slip;
 - ADAMS Document Submission NRC Form 665S or 665P, or both, that the originator completes for the correspondence. Both forms are available in the ADAMS Main Library;
 - A paper original to be signed;
 - A paper official record copy on which to concur;
 - All previous concurrence pages that have initials;
 - A separate list of addressees when the names and addresses of all recipients cannot be placed on the correspondence or official record copy and attaches this list to either the correspondence or the official record copy; and
 - Enough color copies for final distribution of hard copies.
- When complete, submits the correspondence package to the originator.

4.2.3 Stationery

Commission Papers, Letters, and Memoranda. NRC prints letters and memoranda on 8½- by 11-inch paper letterhead. Commission SECY papers are printed on plain white bond. Some organizations use their own letterhead (see Figure 4.2, "Page-Size Letterhead"). Print continuation pages for either of these types of correspondence on plain bond. See also Section 1.1.2, "General Correspondence," in this handbook for information about postcards, notes, and routing slips.

Envelopes and Labels. Management Directive (MD) 3.23, "Mail Management," describes envelopes and labels NRC authorizes for use. See also NUREG/BR-0248, "The Mail Services Center Reference Guide."

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.

4.3 General Formatting

Although illustrated in shell formats and figures throughout this handbook, NRC uses the following styles for its correspondence.

4.3.1 Fonts

- Use WordPerfect 11-point Arial for correspondence or, if the agency approves other word processing software for use, select an equivalent font.
- 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) for more information.

4.3.2 Margins. For the overall page, use 1-inch left and right margins and left justification. Use 1-inch top and bottom margins when appropriate.

4.3.3 Word Processor Tools. Use the spell check and grammar checking tools on your correspondence after you complete it. If NRC adds other tools, apply them to your correspondence as appropriate.

4.3.4 Quotations

- 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 and 6.2 of Section 6).
- 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.

Examples: The nuclear fuel cycle is discussed in NUREG/BR-0280, "Producing Nuclear Fuel."

NUREG/BR-0280, "Regulating Nuclear Fuel," describes the five processes involved.

4.3.5 Continuation Page. Any page of the correspondence subsequent to the original page.

- Limit a letter or a memorandum to two pages if at all possible.
- Place at the left margin the appropriate header from Table 4.2 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 6.2 of Section 6).

Table 4.2 Continuation Page Headers	
Type of Addressee	Header for Subsequent Page
Single	First initial and last name
Two	First initial and last name of each addressee, except congressional correspondence
Three or more	First initial and last name of first individual followed by et al., except congressional correspondence
Generic, such as Office Directors, Regional Administrators, Power Reactor Licensees, and so forth	Abbreviation for generic addressee, such as ODs, RAs, or PRLs
List of addressees having no generic name	Those on the Attached List
Business or organization	Abbreviated name

4.4 Notations. A notation gives a recipient additional information as described in this section. The contact appears on the first page of the correspondence while the distribution lists, list of courtesy copies, any docket numbers, and the concurrence grid appear on the last page and the official record copy or concurrence page.

4.4.1 First Page. The first page is the letterhead page on which the address block appears.

4.4.1.1 Contact. Place a contact on all correspondence except letters and e-mails.

- Place the contact information on the bottom of the first page of the correspondence, regardless of its length.
- The contact is a person other than the signatory who is knowledgeable about the information in the correspondence and who can respond to questions about its content. Identify this person by name, organizational symbol, and telephone number (see Figure 5.1 of Section 5 and Figure 7.1 of Section 7). Leave a 1-inch bottom margin below the contact information.

4.4.1.2 Courtesy Copies. List courtesy copies at the end of the correspondence if the originator wants the addressee to know that others are receiving identical letters (see example). If a number of recipients are receiving a courtesy copy, place a list of the recipients on a separate sheet, if necessary.

Example: cc: F. Last, office

4.4.1.3 Enclosure. List each enclosure by number, type of document, name or an abbreviated name, or all of these, on correspondence. 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. Use any of the following format examples:

Examples: Enclosures:

1. Regulatory Guide 1.177
2. "Regulating Nuclear Fuel" (NUREG/BR-0280)

Enclosure:

"Reactor Oversight Process" (NUREG-1649)

Enclosure:

As stated

Enclosures:

As stated (4)

If at all possible, identify each enclosure in the bottom right corner as Enclosure 1, Enclosure 2, and so forth. If an enclosure cannot be labeled in the bottom right corner,

appropriately label a cover sheet. You may also add a cover sheet for an enclosure already labeled in the bottom right corner for ease of handling.

4.4.1.4 Attachment. Label any information supplementary to an enclosure as an attachment. If at all possible, identify each attachment in the bottom right corner as Attachment 1, Attachment 2, and so forth. If an attachment cannot be labeled in the bottom right corner, appropriately label a cover sheet. You may also add a cover sheet for an attachment already labeled in the bottom right corner for ease of handling. (See also Section 8, "Definitions," of this handbook.)

4.4.1.5 Separate Cover. If you are sending material too large to be included as an enclosure or not immediately available, list the material as follows 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

4.4.2 Concurrence Page. Place on a separate page identical to the last page of the correspondence the ADAMS accession number, the concurrence grid, and distribution recipients.

4.4.2.1 Concurrence Grids. A concurrence grid or grids appear on all correspondence. Place the concurrence grid(s) on a separate page identical to the last page of the correspondence (see Figure 5.1 of Section 5, Figure 6.1 of Section 6, and Figure 7.1 of Section 7).

4.4.2.2 Agencywide Documents Access and Management System (ADAMS) Identification. Place the ADAMS accession number on each piece of correspondence under the distribution list. See the "ADAMS Document Submission Guidelines for HQ Offices Step-by-Step Instructions" (ADAMS Accession Number ML010390040), regarding the submittal of documents for processing to the Office of Information Services Document Processing Center. See also NUREG/BR-0268, "Sensitive Unclassified Information," and the SUNSI Web site (<http://www.internal.nrc.gov/sunsi/>) for more information.

4.4.2.3 Docket Numbers. 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 of Section 6). 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.

4.4.2.4 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 Commission papers.

- 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, etc.) and name and office affiliation of the individuals to receive a copy.
- 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.
- If the response is controlled by a yellow ticket or an OEDO tasking item, or a responding office ticket, cite the ticket number in the distribution list.

Examples:

Gyyyyxxxx
LTR-yr-xxxx

- Place the distribution notation and list on the concurrence page flush with the left margin, three lines below the body of the memorandum or two lines below the last line of the list of enclosures, whichever applies.

4.5 Assembly

- Follow the instructions on Figure 4.3, "Assembly Tabs," for assembling letters and memoranda, using NRC divider tabs (NRC Forms 8A and 8B) available from the NRC Supply Store. Remove all enclosure and attachment tabs before submitting a correspondence package to OEDO for signature.
- Fasten assembled correspondence packages with binder clips rather than staples to allow for copying after the correspondence is signed.

4.6 Reproduction. Reproduce copies as follows:

- For recipients outside the agency, reproduce copies from the signed original.
- For recipients within the agency—
 - If the correspondence is a single page, reproduce copies from the official record copy (the concurrence copy) or
 - If the correspondence is more than one page, reproduce copies from the original, except reproduce the official record copy as the last page.

4.7 Dispatch. The signing office ensures that—

- The original hard copy is dated.
- 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 official agency record and dispatched.
- Copies are appropriately distributed.

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EDO Extension Request - REPLY - YES - 7/22 for both (EOM) Re: WITS 200500163 and 200500122 Page 1

From: William Dean
To: Debra McCain
Date: 7/13/05 8:59AM
Subject: REPLY - YES - 7/22 for both (EOM)* Re: WITS 200500163 and 200500122

>>> Debra McCain 07/12/05 01:21PM >>>
Bill:

Regarding 200500163 (current due date 7/1/05) and 200500122 (current due date 7/7/05), it is my understanding from Karen Olive that one paper will be responding to both of these WITS items. With that in mind, I am assuming that you would like to have both tickets extended to, due EDO 7/15/05, due OCM 7/22/05. Please confirm.

I am running the monthly reports this afternoon, which will be distributed to all the offices and would like the due dates to appear correctly.

Thanks,
Debbie

>>> R. Michelle Schroll 07/12/05 09:04AM >>>
Are you requesting 7/22 to OCM or EDO?

>>> William Dean 07/12/2005 8:57:42 AM >>>
Michelle
we are still involved in obtaining multiple office concurrence on this product requested out of the 5/27 SRM from the closed meeting. Staff expects to have all office concurrence by the end of the week and we will likely need a week up here to review. Therefore, we will need an extension to 7/22/05. This has been a challenging task given a number of competing interests and interface with the CFO to assure we have the right financial date/information.

Bill Dean
Assistant for Operations, OEDO
301-415-1703

CC: EDO Extension Request; Karen Olive; Patricia Tressler; R. Michelle Schroll

* EOM means End of Message.

Figure 4.1
Electronic Mail (E-Mail) Message

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 <p>UNITED STATES NUCLEAR REGULATORY COMMISSION WASHINGTON, D.C. 20555-0001</p>	 <p>UNITED STATES NUCLEAR REGULATORY COMMISSION WASHINGTON, D.C. 20555-0001 CHAIRMAN</p>
 <p>UNITED STATES NUCLEAR REGULATORY COMMISSION WASHINGTON, D.C. 20555-0001 OFFICE OF THE CHAIRMAN</p>	 <p>UNITED STATES NUCLEAR REGULATORY COMMISSION WASHINGTON, D.C. 20555-0001 COMMISSIONER</p>
 <p>UNITED STATES NUCLEAR REGULATORY COMMISSION WASHINGTON, D.C. 20555-0001 OFFICE OF THE COMMISSIONER</p>	 <p>UNITED STATES NUCLEAR REGULATORY COMMISSION WASHINGTON, D.C. 20555-0001 OFFICE OF THE SECRETARY</p>
 <p>UNITED STATES NUCLEAR REGULATORY COMMISSION WASHINGTON, D.C. 20555-0001 SECRETARY</p>	 <p>UNITED STATES NUCLEAR REGULATORY COMMISSION WASHINGTON, D.C. 20555-0001 OFFICE OF THE GENERAL COUNSEL</p>
 <p>UNITED STATES NUCLEAR REGULATORY COMMISSION WASHINGTON, D.C. 20555-0001 CHIEF FINANCIAL OFFICER</p>	 <p>UNITED STATES NUCLEAR REGULATORY COMMISSION REGION I 475 ALLENDALE ROAD KING OF PRUSSIA, PA 19406-1415</p>
 <p>UNITED STATES NUCLEAR REGULATORY COMMISSION REGION II SAM NUNN ATLANTA FEDERAL CENTER 61 FORSYTH STREET SW SUITE 23785 ATLANTA, GA 30303-8931</p>	 <p>UNITED STATES NUCLEAR REGULATORY COMMISSION REGION III 2443 WARRENVILLE ROAD, SUITE 210 LISLE, ILLINOIS 60532-4351</p>
 <p>UNITED STATES NUCLEAR REGULATORY COMMISSION REGION IV 611 RYAN PLAZA DR. SUITE 400 ARLINGTON, TEXAS 76011-8064</p>	 <p>UNITED STATES NUCLEAR REGULATORY COMMISSION OFFICE OF INVESTIGATION FIELD OFFICE, REGION IV 611 RYAN PLAZA DRIVE, SUITE 400 ARLINGTON, TEXAS 76011-8064</p>
 <p>UNITED STATES NUCLEAR REGULATORY COMMISSION TECHNICAL TRAINING CENTER OSBORNE OFFICE CENTER 5746 MARLIN ROAD, SUITE 200 CHATTANOOGA, TN 37411-5677</p>	

Figure 4.2
 Page-Size Letterhead

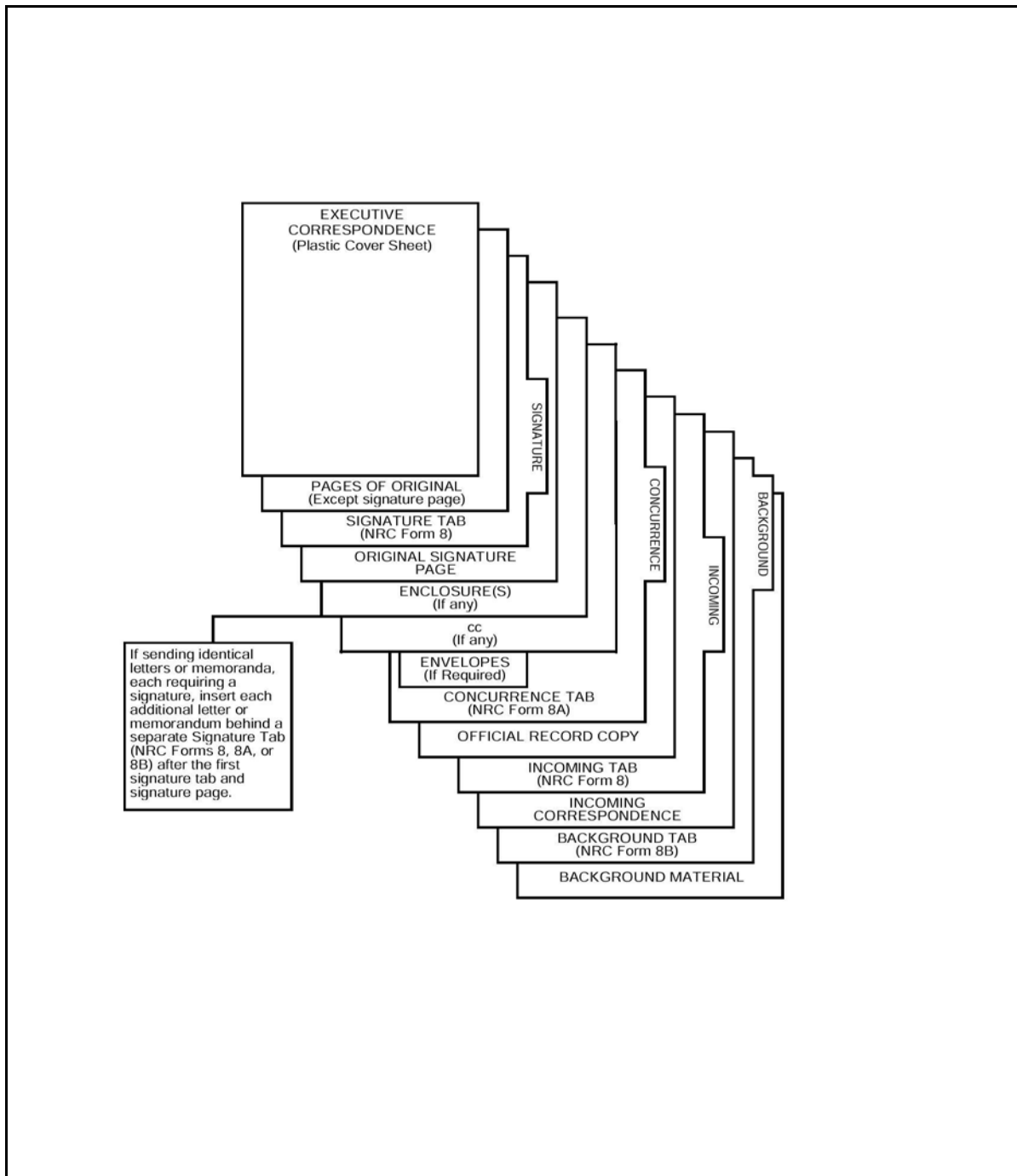


Figure 4.3
Assembly Tabs

Section 5

5 Commission Papers

The Office of the Secretary of the Commission (SECY) is responsible for all correspondence (principal correspondence), including Commission papers for the Commission. See Section 2, "Responsibilities for Writing and Handling Correspondence," of this handbook. See also the Commission's Internal Procedures on NRC's Public (external) Web site for more information about Commission documents.

5.1 Types

Commission papers, known as SECY papers (see Figures 5.1 and 5.2), constitute the principal instrument by which the Commission receives information needed for making decisions. See also on NRC's external Web site **What We Do: Commission Direction-Setting and Policymaking** and **Commission Resources in the Electronic Reading Room**. The three types of Commission papers, Affirmation, Notation, and Information, are described below:

- 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.
- 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.
- An **Information** paper sends to the Commission information on significant matters and requires no Commission action.

5.2 Writing

Before beginning a SECY paper, read Sections 1 and 2 of this handbook. Then, follow the guidelines in Section 3, "Writing Guidelines and E-Mail Etiquette," of this handbook and do the following:

- Make your SECY paper five or fewer pages to facilitate creating a clear and concise paper.
- Present detailed discussion and analysis in enclosures that are appropriately referenced.
- Summarize in the paper itself the major issues, conclusion, recommendations, commitments, resources, and any dissenting views, as appropriate.
- Prepare the SECY paper on plain white paper because the SECY staff reproduces the paper on the appropriate letterhead (see Figure 5.2, "Commission Paper Letterheads and Spacing").

5.3 Concurrence

Include coordination and concurrence information for the Office of the General Counsel (OGC), the Office of the Chief Financial Officer (OCFO), and the Office of Information Services (OIS), as follows:

- 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.
- 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.
- If a paper impacts information technology or information management, coordinate it with OIS before submitting it to the Office of the Executive Director for Operations (OEDO) and place the Director of OIS in the concurrence chain.

5.4 Signing (See also Table 2.1, "Signatures," in this handbook.)

- The EDO signs a SECY paper prepared by offices reporting to the EDO.
- Do not date a Commission paper to be signed by the EDO because the OEDO's Administrative and Correspondence Staff (ACS) dates it after it is signed by the EDO. The ACS then forwards the Commission paper to SECY.
- For an office reporting to the Commission, the office director signs the SECY paper.

5.5 Assembling for Signature

- Assemble the following:
 - (1) a completed ADAMS Document Submission NRC Form 665S or 665P, or both;
 - (2) a paper original for the EDO or the Commission-level office director to sign; and
 - (3) a paper official record copy on which to concur.
- Place the correspondence in the Agencywide Documents Access and Management System (ADAMS) and place the ADAMS accession number on the concurrence page. The ADAMS profile should be filled out completely by the originating office.
- When complete, submit the following to OEDO or to SECY:
 - (1) a SECY paper distribution sheet (Form 6), available at ADAMS Accession Number ML032160382 or from the OEDO's ACS, and
 - (2) the paper original.

5.6 Distribution

SECY finalizes each Commission paper in ADAMS, determines its public or non-public availability, and declares the paper an official agency record.

SECY distributes copies of Commission papers signed by the EDO or an office reporting to the Commission. SECY retains the official record copy or concurrence page. The original of the Commission paper is returned to the office contact on the SECY distribution sheet.

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FOR: The Commissioners

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 why you prepared the paper in this section. (Press enter twice after writing the purpose before typing "SUMMARY.") Please note: If the SECY paper does not involve any new commitments or involve a change in resource allocations, these two sections below may be omitted by stating the following: "This paper does not address any new commitments or resource implications."

SUMMARY:

The summary is required on all papers that are 6 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 5 pages. When a paper reaches 6 or more pages, present the detailed discussion and analysis in appropriately referenced enclosures. Summarize the major issues, the recommendations, dissenting views, and concurrence information in the paper itself. Obtain approval from a DEDO before submitting a Commission paper that is more than 10 pages. (After typing down to line 47, press enter five times before typing "CONTACT." Press enter twice between each contact. End the text of the summary on line 47—about 7.5" from the top of the page.)

CONTACT: Name of individual, office/division
Area code and number

Type "FOR" on line 18 (approximately 3" from the top of the page) and tab three times after "FOR."

Type on Line 52, which is approximately 2 1/2 inches from the bottom of the page.

Figure 5.1
Commission Paper

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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 "Recommendations" (Notation Vote) or "Conclusions" (Information) 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.

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 options 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 impacts(s), or a statement that no currently planned work will be affected (note, this discussion is not intended to reflect a

Figure 5.1 (continued)

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PBPM [Planning, Budgeting, and Performance Management]-like 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 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.

Figure 5.1 (continued)

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PBPM [Planning, Budgeting, and Performance Management]-like 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 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 NUMBER:

OFFICE				
NAME	FMLast/typist initials			
DATE	mm/dd/yy	mm/dd/yy	mm/dd/yy	mm/dd/yy

OFFICIAL RECORD COPY

Figure 5.1 (continued)

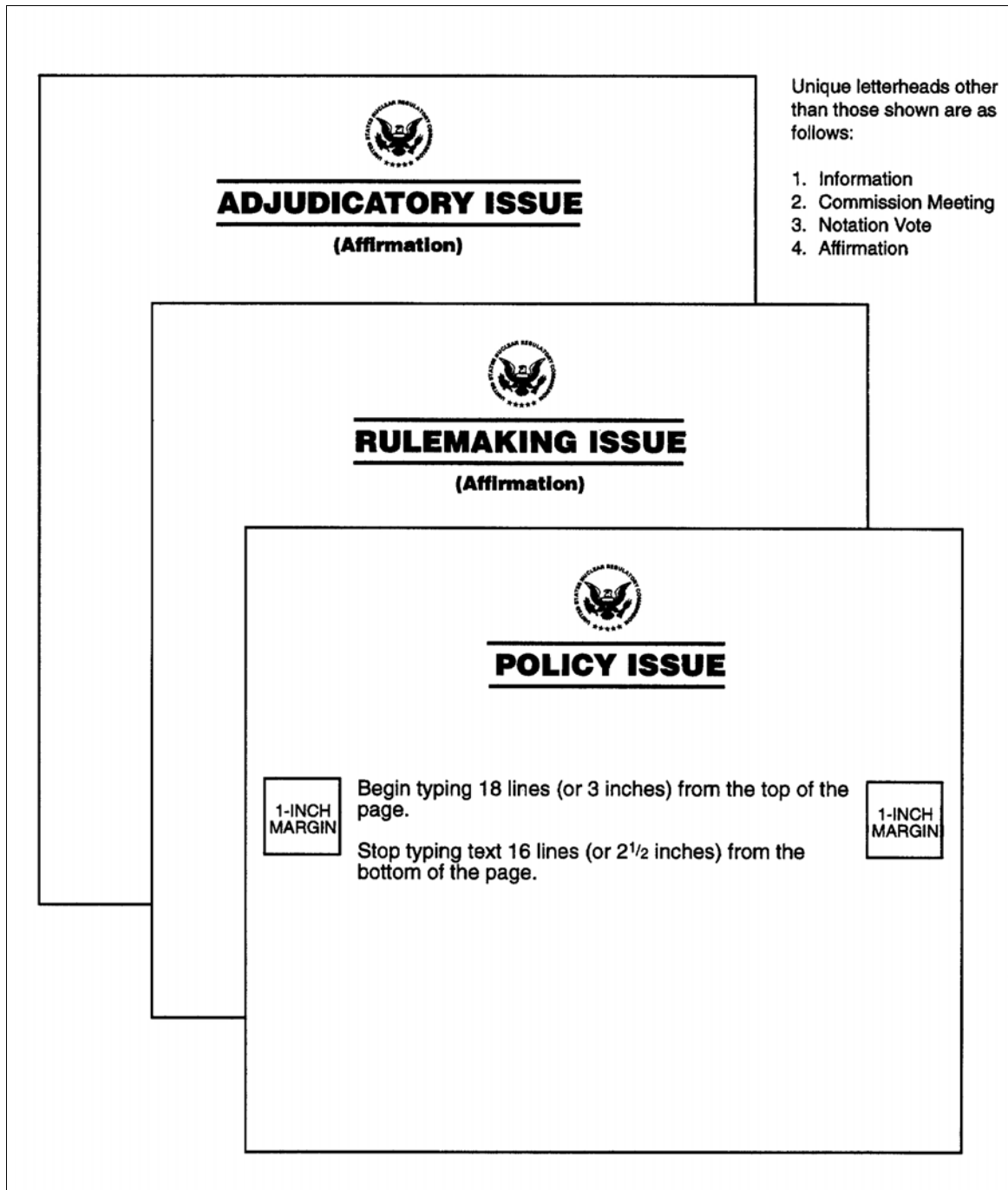


Figure 5.2
Commission Paper Letterheads and Spacing

Section 6

6 Letters

A letter is any correspondence addressed to other Government agencies, businesses, or individuals outside NRC (see Section 8, "Definitions," of this handbook).

The type of correspondence that NRC officials sign, unless otherwise directed, is given in Table 2.1, "Signatures," in Section 2 of this handbook.

Before you begin your letter, read this section and review the figures at the end of this section and the information they contain.

To prepare a draft letter that is intended for review and revision, follow instructions in Sections 6.1.1 through 6.1.9, setting 1-inch left and right margins, the standard for all letters. Double-space drafts. For editing, give a technical editor a double-spaced draft if the letter will not be edited electronically.

Before preparing a final letter, see Figure 6.1, "Letter." See also Section 6.4, "Forms of Address." In Section 6.4, Table 6.1 gives examples of commonly used address blocks, Table 6.2 gives examples of commonly used address blocks and salutations, and Table 6.3 gives forms of address for U.S. Government officials, military personnel, some foreign officials, and religious officials.

6.1 Components and Formatting

6.1.1 Date. The date on which the letter is signed.

- Do not date a letter until it is signed. See also Section 2, "Responsibilities for Writing and Handling Correspondence," in this handbook for correspondence that the Offices of the Secretary of the Commission (SECY) or the Executive Director for Operations (OEDO) date.
- Use only the date on which the letter is signed. Do not use the date of dispatch.
- Type the date, centered, two lines below the letterhead. Date stamps are not visible in ADAMS and should not be used.

- Use the format of **month, day, year**, spelling out the month.

Example: April 4, 2005

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

- Begin the address at the left margin at least six lines below the top margin.
- Type the address single spaced, block style.
- Left-justify all lines of the address, following the instruction and examples in Table 6.1, "Address Blocks."
- 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—
 - State Abbreviations at <http://www.usps.com/ncsc/lookups/abbreviations.html>
 - ZIP Code Lookup at <http://www.usps.com/zip4/>
 - "Postal Addressing Standards" (Publication 28) at <http://pe.usps.gov/text/pub28/welcome.htm>
- 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. The following statement should be placed on the concurrence page before the concurrence grid as follows:

Identical Letters Sent To: See next page

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

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. If you have any questions, please contact the ACS for clarification.

6.1.3 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.

- Do not use a subject line on a letter to be signed by the Chairman, a Commissioner, the Executive Director for Operations (EDO), or the Deputy Executive Directors for Operations (DEDOs), except for letters addressed to the Advisory Committee on Reactor Safeguards and the Advisory Committee on Nuclear Waste, which the EDO signs.
- 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.
- Type the subject line at the left margin, two lines below the last line of the address.
- Type SUBJECT in capital letters at the left margin, followed by a colon.
- Type the subject information itself after the colon in capital letters.
- Use a one-line subject if possible (read Figure 6.1).
- If the subject requires more than one line, begin any subsequent line on the next line flush with the first word of the subject.

6.1.4 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.

- 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 (see ADAMS 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.

- If a number of references are needed, create a list on a separate page, identifying each reference by title and date, 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, Department of Energy (DOE), transmitting NRC comments on DOE's Draft Environmental Impact Statement for a High-Level Waste (HLW) Repository, 02/22/2002 (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)

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

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

- Type the salutation single spaced, block style, followed by a colon, following the instructions and samples shown in Table 6.2.

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

- Begin the body of the letter at the left margin on the first page, two lines below the salutation (see Figure 6.1, "Letter").
- 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 bond.
- If possible, limit letters to two pages.
- Single-space a letter of two or more paragraphs.
- Double-space a short one-paragraph letter of 10 or fewer lines, indenting the first line one tab.
- 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.
- Do not divide words between pages.

6.1.7 Complimentary Close. Indicates that the letter is closing and precedes the signature.

- Use "Sincerely," unless otherwise directed by the originator or specified in an overriding procedure (see Figure 6.1, "Letter").
- Start the complimentary close at the center of the page, two lines below the last line of the letter.

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

- Type the name and title five lines below and flush with the first word of the complimentary close (see Figure 6.1).

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

- 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 6.2).

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)

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

- Type the address single space, block style.
- When using a window envelope, omit all punctuation except the hyphen in the ZIP Code and be certain that the entire address is visible through the window.
- See MD 3.23, "Mail Management," and NUREG/BR-0248, "The Mail Services Center Reference Guide," for more information.

6.2 Procedures for Handling

Follow the guidance in Sections 4.4, 4.5, 4.6, and 4.7 for creating notations, assembling, reproducing, and dispatching your letter, noting the exceptions in Section 6.3 for letters signed by the Chairman.

6.3 Exceptions for Letters To Be Signed by the Chairman

The following procedures are for letters intended for the Chairman's signature. Commissioners handle their own correspondence unless they request that the SECY staff control their correspondence in the SECY system (see also Section 7, "Memoranda").

6.3.1 Preparation

- Use NRC stationery with the NRC seal in the upper left corner with the legend "Chairman" under the seal (see Figure 4.2 in Section 4).
- Indent the first line of every paragraph one tab.

- Begin letters with "On behalf of the Nuclear Regulatory Commission, I am responding to your letter of May 14, 2005."
- Limit the letter to no more than two pages, making the text brief, honest, easily understood by the intended recipients, and responsive to the concerns of the incoming correspondence. See also Section 3, "Writing Guidelines and E-Mail Etiquette." On a continuation page, type only the centered page number in the header, omitting the recipient's name.
- In the signature block, use only the Chairman's name without a title.
- If a letter refers to a docket case, type the docket number only on the official record copy, two lines below the signature line.
- 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):
 1. This correspondence addresses policy issues previously resolved by the Commission, transmits factual information, or restates Commission policy.

-or-

2. 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.

For more information, see also the Internal Commission Procedures, Chapter V, "Outgoing Correspondence," on the external Web site.

- Send a letter for the Chairman's signature, undated, to OEDO's Administrative and Correspondence Staff (ACS).
- ACS sends a letter for the Chairman's signature to the SECY staff for signature, copying, and processing.
- Commission-level offices send letters for the Chairman's signature, undated, directly to SECY.

- If the letter is for the Chairman's signature, the ADAMS profile should be filled out completely by the originating office.

The SECY staff completes the profile for these letters and declares the letters official agency records 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.

6.3.2 Copy Requirements

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

- The yellow ticket control number and/or the OEDO tasking item number, if applicable
- RidsEdoMailCenter
- SECY, when the correspondence is referred by SECY, referencing SECY's correspondence record alphanumeric control number (e.g., LTR-YY-XXXX)
- Office of Congressional Affairs (OCA), when the letter responds to a congressional letter or inquiry or is related to congressional issues
- Offices receiving a copy of the incoming letter, which the EDO's ACS places in the routing column of the OEDO's tasking item, also receive a copy of the response
- Other information copies designated by the originator

SECY reviews the originating office's recommendations on the ADAMS Document Submission NRC Form 665S or 665P, or both; finalizes each letter in ADAMS; determines the public or non-public availability; and declares the letter an official agency record.

6.3.3 Reproduction

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

6.4 Forms of Address

Table 6.1 gives examples of commonly used address blocks while Table 6.2 gives examples of less commonly used address blocks and their salutations. Table 6.3 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>.

Information 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

Table 6.1 Address Blocks (continued)	
Instruction	Example
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.	<p>Mrs. Sue Brown 7000 Vernon Street, Apt. 2 Camp Springs, MD 20022-1443</p> <p>Mrs. Sally James 1629 Inverness Racing Circle Parkway Apt. 10 Winona, MD 26213-1330</p>
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.	<p>Mr. John Jackson, President ATTN: Mr. Robert Roe XYZ Nuclear Power Plant 123 Highland Road Detroit, MI 48217-1234</p> <p>The Xerox Corporation ATTN: Mr. Richard Rex 169 Corporate Road Detroit, MI 48217-1234</p>

Table 6.2 Salutations		
Ex. No.	Instruction and Letter Address	Salutation
1.	<p>To a single individual known to be male or female, use the name known.</p> <p>Mrs. Sue Brown 7000 Vernon Street, Apt. 2 Camp Springs, MD 20022-1443</p> <p>Mr. Claude J. Jones 1500 E. Main Avenue Glory, VA 22151-1010</p>	<p>Dear Mrs. Brown:</p> <p>Dear Mr. Jones:</p>

Table 6.2 Salutations (continued)		
Ex. No.	Instruction and Letter Address	Salutation
2.	<p>When it is not known whether the addressee is male or female, use the name as given</p> <p>S. J. Jones RR2, Box 152 Wading River, NY 10972-1234</p>	Dear S. J. Jones:
3.	<p>When the principal addressee is an organization, use "Gentlemen" as the salutation.</p> <p>National Atomic Corporation 123 Maritime Street New York, NY 20050-2000</p>	Gentlemen:
4.	<p>If the organization is known to be primarily female, use "Ladies" as the salutation.</p> <p>Federally Employed Women 4552 N. Capitol Street Washington, DC 20040-1000</p>	Ladies:
5.	<p>When writing a generic letter, use a generic address line but omit the salutation.</p>	To: ALL BOILING WATER REACTOR LICENSEES ALL PRESSURIZED 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. <i>or</i> Madam President: Respectfully,
Spouse of the President	Mrs. (full name) <i>or</i> Mr. (full name) The White House Washington, DC 20500	Dear Mrs. <i>or</i> 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, <i>or</i> Ms. (surname): Sincerely,
Former President	The Honorable (full name)* (local address) (ZIP Code) <i>*Use The Honorable unless the former President prefers another title earned, such as a military one, in which case, use— General (full name); Dear General (surname): Sincerely,</i>	Dear President (surname): Sincerely,
The Vice President	The Vice President United States Senate Washington, DC 20510	Dear Mr. <i>or</i> Madam Vice President: Sincerely,
Former Vice President	The Honorable (full name) (no title) (local address) (ZIP Code)	Dear Mr., Mrs., Miss, <i>or</i> Ms. (surname): Sincerely,

Table 6.3 Forms of Address (continued)		
Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
THE WHITE HOUSE (continued)		
Director, Office of Management and Budget	The Honorable (full name) Director, Office of Management and Budget Washington, DC 20503	Dear Mr., Mrs., Miss, <i>or</i> Ms. (surname): Sincerely,
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, <i>or</i> Ms. (surname): Sincerely,
THE CONGRESS		
President of the Senate	The Honorable (full name) President of the Senate Washington, DC 20510	Dear Mr., Mrs., Miss, <i>or</i> Ms. (surname): Sincerely,
President of the Senate Pro Tempore	The Honorable (full name) President Pro Tempore United States Senate Washington, DC 20510	Dear Mr. <i>or</i> Madam President: Sincerely,
Speaker of the House of Representatives	The Honorable (full name) Speaker of the House of Representatives Washington, DC 20515	Dear Mr. <i>or</i> Madam Speaker: Sincerely,

Table 6.3 Forms of Address (continued)		
Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
THE CONGRESS (continued)		
Majority Leader United States Senate	The Honorable (full name) Majority Leader United States Senate Washington, DC 20510	Dear Mr. <i>or</i> Madam Leader: Sincerely,
Minority Leader United States Senate	The Honorable (full name) Minority Leader United States Senate Washington, DC 20510	Dear Mr. <i>or</i> Madam Leader: Sincerely,
United States Senator	The Honorable (full name) United States Senate Washington, DC 20510 <i>or</i> The Honorable (full name) United States Senator (Congressional District office address) (City), (State) (ZIP Code)	Dear Senator (surname): Sincerely,
Majority Leader House of Representatives	The Honorable (full name) Majority Leader United States House of Representatives Washington, DC 20515	Dear Mr. <i>or</i> Madam Leader: Sincerely,
Minority Leader House of Representatives	The Honorable (full name) Minority Leader United States House of Representatives Washington, DC 20515	Dear Mr. <i>or</i> Madam Leader: Sincerely,

Table 6.3 Forms of Address (continued)		
Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
THE CONGRESS (continued)		
United States Representative	The Honorable (full name) United States House of Representatives Washington, DC 20515 <i>or</i> The Honorable (full name) Member, United States House of Representatives (local address) (ZIP Code)	Dear Congressman <i>or</i> Congresswoman (surname): Sincerely,
Committee Chairman Chairwoman Chair	The Honorable (full name) Chairman, Committee on (name) United States Senate Washington, DC 20510 <i>or</i> The Honorable (full name) Chairman, Committee on (name) House of Representatives Washington, DC 20515	Dear Mr. Chairman, <i>or</i> Madam Chairwoman, <i>or</i> Chair: Sincerely,
Subcommittee Chairman	The Honorable (full name) Chairman, Subcommittee on (name) (name of parent committee) United States Senate Washington, DC 20510 <i>or</i> The Honorable (full name) Chairman, Subcommittee on (name) (name of parent committee) House of Representatives Washington, DC 20515	Dear Mr. Chairman, <i>or</i> Madam Chairwoman, <i>or</i> Chair: Sincerely, <i>or</i> Dear Mr. <i>or</i> Madam Chairman: Sincerely,

Table 6.3 Forms of Address (continued)		
Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
THE CONGRESS (continued)		
Joint Committee Chairman* <i>*See also the Congressional Directory and in the ADAMS Correspondence Format File folders, see OCA Formats.</i>	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 <i>or</i> 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, <i>or</i> Dear Congressman-elect: Sincerely,
Office of a Deceased Senator or	Office of the late Senator* (full name) United States Senate Washington, DC 20510 <i>or</i>	Sir or Madam: Sincerely,

Table 6.3 Forms of Address (continued)		
Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
THE CONGRESS (continued)		
Office of a Deceased Representative	Office of the late Representative (full name) House of Representatives Washington, DC 20515 <i>*If the name of the late Senator's secretary or administrative assistant is known, address the letter to that person by name.</i>	
Chaplain of the United States Senate <i>or</i> House of Representatives	The Reverend (full name) Chaplain of the United States Senate Washington, DC 20510 <i>or</i> The Reverend (full name) Chaplain of the House of Representatives Washington, DC 20515	Dear Mr., Mrs., Miss, Ms. <i>or</i> (surname):* Sincerely, <i>*The title is "Mr." or "Dr." as appropriate. Do not use "Reverend" with the surname alone.</i>
Secretary of the United States Senate	The Honorable (full name) Secretary of the Senate United States Senate Washington, DC 20510	Dear Mr., Mrs., Miss, <i>or</i> 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, <i>or</i> Ms. (surname): Sincerely,

Table 6.3 Forms of Address (continued)		
Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
THE CONGRESS (continued)		
Resident Commissioner	The Honorable (full name) Resident Commissioner from Puerto Rico United States House of Representatives Washington, DC 20515	Dear Mr., Mrs., Miss, <i>or</i> Ms. (surname): Sincerely,
Delegate	The Honorable (full name) Delegate from (name) United States House of Representatives Washington, DC 20515	Dear Mr., Mrs., Miss, <i>or</i> Ms. (surname): Sincerely,
LEGISLATIVE AGENCIES		
Comptroller General	The Honorable (full name) Comptroller General of the United States Washington, DC 20548	Dear Mr., Mrs., Miss, <i>or</i> Ms. (surname): Sincerely,
Librarian of Congress	The Honorable (full name) Librarian of Congress Library of Congress Washington, DC 20540	Dear Mr., Mrs., Miss, <i>or</i> Ms. (surname): Sincerely,
Public Printer	The Honorable (full name) Public Printer U.S. Government Printing Office Washington, DC 20401	Dear Mr., Mrs., Miss, <i>or</i> Ms. (surname): Sincerely,
EXECUTIVE DEPARTMENTS AND INDEPENDENT AGENCIES		
Cabinet Members	The Honorable (full name) Secretary of (Department) Washington, DC (ZIP Code) <i>or</i>	Dear Mr. <i>or</i> Madam Secretary: Sincerely, <i>or</i>

Table 6.3 Forms of Address (continued)		
Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
EXECUTIVE DEPARTMENTS AND INDEPENDENT AGENCIES (continued)		
	The Honorable (full name) Attorney General Washington, DC 20530	Dear Mr. <i>or</i> Madam Attorney General: Sincerely,
Deputy Secretaries <i>or</i> Assistant Secretaries <i>or</i> Undersecretaries	The Honorable (full name) Deputy Secretary of (Department) Washington, DC (ZIP Code) <i>or</i> The Honorable (full name) Assistant Secretary of (Department) Washington, DC (ZIP Code) <i>or</i> The Honorable (full name) Undersecretary of (Department) Washington, DC (ZIP Code)	Dear Mr., Mrs., Miss, <i>or</i> Ms. (surname): Sincerely,
Postmaster General	The Honorable (full name) Postmaster General Washington, DC 20260	Dear Mr. <i>or</i> 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, <i>or</i> 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, <i>or</i> Ms. (surname): Sincerely,

Table 6.3 Forms of Address (continued)		
Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
EXECUTIVE DEPARTMENTS AND INDEPENDENT AGENCIES (continued)		
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,

Table 6.3 Forms of Address (continued)		
Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
AMERICAN MISSIONS (continued)		
American Consul General <i>or</i> American Consul	Mr. (full name) American Consul General <i>or</i> American Consul (City) (Country)	Dear Mr., Mrs., Miss, <i>or</i> Ms. (surname): Sincerely,
FOREIGN DIPLOMATIC MISSIONS TO THE UNITED STATES		
Foreign Ambassador in the United States	His <i>or</i> Her Excellency (full name) Ambassador of (Country) Washington, DC (ZIP Code)	Formal: Excellency: Very truly yours, Informal: Dear Mr. <i>or</i> Madam Ambassador: Sincerely,
Foreign Minister in the United States (head of a Legation)	The Honorable (full name) Minister of (Country) Washington, DC (ZIP Code)	Dear Mr. <i>or</i> Madam Minister: Sincerely,
Foreign Minister <i>or</i> Counselor in the United States	The Honorable (full name) Minister <i>or</i> Counselor Embassy of (Country) Washington, DC (ZIP Code)	Dear Mr. <i>or</i> Madam Minister: Sincerely,
INTERNATIONAL ORGANIZATIONS		
United States Representative to the United Nations <i>or</i> Organization of American States	The Honorable (full name) United States Representative to the United Nations (<i>or</i> Organization of American States) (City), (State) (ZIP Code)	Formal: Sir <i>or</i> Madam: Very truly yours, Informal: Dear Mr. <i>or</i> Madam Ambassador: Sincerely,

Table 6.3 Forms of Address (continued)		
Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
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, <i>or</i> 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, <i>or</i> Ms. Attorney General: Sincerely,
State Senator	The Honorable (full name) (State) Senate (City), (State) (ZIP Code)	Dear Mr., Mrs., Miss, <i>or</i> Ms. (surname): Sincerely,
State Representative <i>or</i> Assemblyman <i>or</i> Delegate	The Honorable (full name) (State) House of Representatives <i>or</i> (State) Assembly <i>or</i> (State) House of Delegates (City), (State) (ZIP Code)	Dear Mr., Mrs., Miss, <i>or</i> Ms. (surname): Sincerely,
Mayor	The Honorable (full name) Mayor of (City) (City), (State) (ZIP Code)	Dear Mayor (surname): Sincerely,
President of a Board of Commissioners	The Honorable (full name) President, Board of Commissioners of (name of city) (City), (State) (ZIP Code)	Dear Mr., Mrs., Miss <i>or</i> Ms. (surname): Sincerely,

Table 6.3 Forms of Address (continued)		
Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
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,

Table 6.3 Forms of Address (continued)		
Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
CHURCH OFFICIALS (continued)		
Methodist Bishop	The Reverend (full name, degrees) Methodist Bishop (address) (City), (State), (ZIP Code)	Dear Bishop: Sincerely,
Mormon Bishop	Mr. (Full name) The Church of Jesus Christ of Latter-Day Saints (address) (City), (State) (ZIP Code)	Dear Mr. (surname): Sincerely,
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,

Table 6.3 Forms of Address (continued)		
Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
CHURCH OFFICIALS (continued)		
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,
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,

Table 6.3 Forms of Address (continued)		
Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
CHURCH OFFICIALS (continued)		
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	(same as above)	Dear Colonel (surname): Sincerely,
Major	(same as above)	Dear Major (surname): Sincerely,
Captain	(same as above)	Dear Captain (surname): Sincerely,
Army, Air Force, Marine Corps		
First Lieutenant Second Lieutenant	(same as above)	Dear Lieutenant (surname): Sincerely,
Chief Warrant Officer	(same as above)	Dear Chief Warrant Officer (surname):

Table 6.3 Forms of Address (continued)		
Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
Army, Air Force, Marine Corps (continued)		
<i>or</i> Warrant Officer		<i>or</i> Dear Warrant Officer (surname): Sincerely,
Sergeant Major Master Sergeant Sergeant First Class Technical Sergeant Staff Sergeant Sergeant	(same as above)	Dear Sergeant (surname): Sincerely,
Corporal	(same as above)	Dear Corporal (surname): Sincerely,
Specialist classes 4 through 9	(same as above)	Dear Specialist (surname): Sincerely,
Private First Class <i>or</i> Private	(same as above)	Dear Private (surname): Sincerely,
Airman First Class Airman Second Class Airman Third Class Basic Airman	(same as above)	Dear Airman (surname): Sincerely,

Table 6.3 Forms of Address (continued)		
Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
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	(same as above)	Dear Commander (surname): Sincerely,
Lieutenant Lieutenant (jg)	(same as above)	Dear Lieutenant (surname): Sincerely,
Ensign Chief Warrant Officer Enlistee	(same as above)	Dear (rank, surname): Sincerely,
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 <i>or</i> Coast Guard Cadet	Cadet (full name) (address) (City), (State) (ZIP Code)	Dear Cadet (surname): Sincerely,

Table 6.3 Forms of Address (continued)		
Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
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 (continued)		
Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
EDUCATION OFFICIALS (continued)		
Associate Professor Assistant Professor	Mr. (full name) Associate Professor <i>or</i> 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, <i>or</i> Ms. (full name) Attorney at Law (address) (City), (State) (ZIP Code)	Dear Mr., Mrs., Miss, <i>or</i> Ms. (surname): Sincerely,
MULTIPLE ADDRESSES		
One Woman <i>and</i> One Man	Mrs., Miss, or Ms. (full name) <i>and</i> Mr. (full name)* (address) (City), (State) (ZIP Code) <i>*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.</i>	Dear Mrs., Miss, or Ms. (surname) and Dear Mr. (surname): Sincerely,

Table 6.3 Forms of Address (continued)		
Addressee	Address on Letter and Envelope	Salutation and Complimentary Close
MULTIPLE ADDRESSES (continued)		
Two or More Men	Mr. (full name) and Mr. (full name) (address) (City), (State) (ZIP Code)	Dear Mr. (surname) and Mr. (surname) <i>or</i> 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): <i>or</i> Dear Mmes. (surname): (if married) and Mlles. (surnames): (if unmarried) Sincerely,
OTHER		
Unknown Gender	Leslie Smith (address) (City), (State) (ZIP Code) <i>or</i> A. J. Jones (address) (City), (State) (ZIP Code)	Dear Leslie Smith: Sincerely, <i>or</i> Dear A. J. Jones: Sincerely,

6.5 General Rules for Forms of Address

Section 6.5 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>.

6.5.1 Titles of Addressees

You may exercise flexibility in the use of titles. For example, you may replace "The Honorable" by a title such as "Dr." or "General," but you may not use it in combination with another title.

You need 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, you could place the title after the last name, separated by a comma, or on a line by itself, preceding the name of the organization.

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.

6.5.1.1 Use of "The Honorable"

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

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:

The Honorable May L. Smith
Attorney General

Incorrect:

Honorable May L. Smith
Attorney General

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

Example:

The Honorable
The Secretary of State

The Honorable
The Governor of Illinois

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

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

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

6.5.1.2 Use of "His (Her) Excellency"

The title "His or (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

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.

6.5.1.3 Abbreviations of Titles and Degrees

6.5.1.3.1 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. And for the previous example, the salutation would read:

Dear Colonel Smithson:

6.5.1.3.2 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.

6.5.1.3.3 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 **not** Dr. Richard Roe, Ph.D.
Jane Evans, M.D.

6.5.1.3.4 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)

6.5.1.4 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

6.5.1.5 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

6.5.1.6 Gender Unknown

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

6.5.2 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)

Dear Madam Ambassador:

Dear Mrs. Smith:

(Member of the House of Representatives)

but Dear Senator Smith:

(Member of U.S. Senate)

Dear Ms. Jones:

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

6.5.2.1 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.

6.5.2.2 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:

In some correspondence, the signing officer may direct the use of a salutation on a first-name basis when the addressee is personally known. "My dear (first name)" is not used, however. For example—

Dear Bill: **but not** My dear Cathy:
Dear Mary:

6.5.2.3 Modified or No Salutation

Some organizations may elect to omit the "Dear" or the entire salutation. Organizations might adopt this informal style for all correspondence or when the gender is unknown or an informal tone is desired for multiple addressees.

6.5.3 Complimentary Close

Use the complimentary close "Sincerely."

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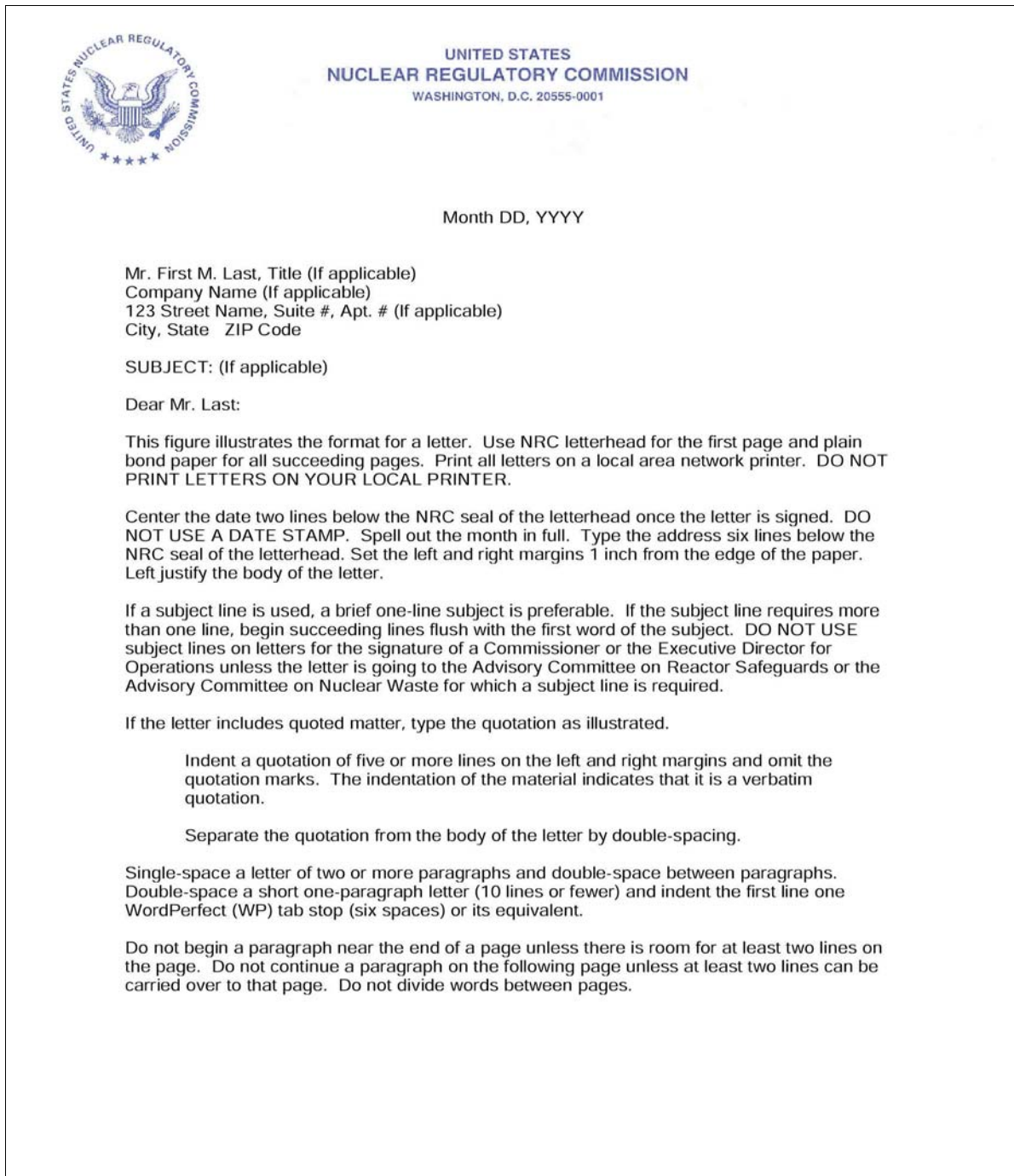


Figure 6.1
Letter

F. Last

- 2 -

If your letter is more than one page, 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.

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. This figure illustrates placement of the docket/project number, enclosure, and "cc" notations.

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 or grids at the bottom of the page. Adjust your top and bottom margins as necessary (on the concurrence page only) so that the concurrence grid or grids fit on the duplicate page. DO NOT PLACE the concurrence grid or grids on a separate page. Place a 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 space permits, place this entry three lines below the signature block (or two lines below the docket/project number, enclosure, or "cc" notations, if applicable). 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)

Enclosure:
Title of Enclosure (If applicable)

cc: F. Last (If applicable), office

Figure 6.1(continued)

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F. Last

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If your letter is more than one page, 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.

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. This figure illustrates placement of the docket/project number, enclosure, and "cc" notations.

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 or grids at the bottom of the page. Adjust your top and bottom margins as necessary (on the concurrence page only) so that the concurrence grid or grids fit on the duplicate page. DO NOT PLACE the concurrence grid or grids on a separate page. Place a 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 space permits, place this entry three lines below the signature block (or two lines below the docket/project number, enclosure, or "cc" notations, if applicable). 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)

Enclosure:
 Title of Enclosure (If applicable)

cc: F. Last (If applicable), office

Note: You can adjust the top and bottom margins on the concurrence page, if necessary, to fit the concurrence grid(s) on the page. You can also adjust the font size of the distribution list and the concurrence grid(s), if necessary, to fit them on the page.

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

ADAMS ACCESSION NUMBER:

OFFICE					
NAME	FMLast/typist initials				
DATE	mm/dd/yy	mm/dd/yy	mm/dd/yy	mm/dd/yy	

OFFICIAL RECORD COPY

Figure 6.1 (continued)

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

Example:

OFFICE	PDI/D	DLPM/D	ADPT	NRR/OD	EDO	OCM	NRR/OD
NAME	CHolden	LMarsh	BSheron	JDyer	LReyes		JDyer (signature)
DATE							

OFFICIAL RECORD COPY

Figure 6.1 (continued)

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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

Appropriate RIDS box(es)

Figure 6.1 (continued)

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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)

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. Print all letters on a local area network printer. **DO NOT PRINT LETTERS ON YOUR LOCAL PRINTER.**

Center the date two lines below the letterhead once the letter is signed. **DO NOT USE A DATE STAMP.** Spell out the month in full. Type the address six lines below the NRC seal of the letterhead. Set the left and right margins 1 inch from the edge of the paper. 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 a Commissioner, or the Executive Director for Operations unless the letter is going to the Advisory Committee on Reactor Safeguards or the Advisory Committee on Nuclear Waste for which a subject line is required.

If the letter includes quoted matter, 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 WordPerfect (WP) tab stop (six spaces) or its equivalent.

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, 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.

Figure 6.2
Letter With Two Signature Blocks

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F. Last

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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 block. Type the "cc" notation two lines (press enter twice) below the enclosure notation. This figure illustrates placement of the docket/project number, enclosure, and "cc" notations.

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 or grids at the bottom of the page. Adjust your top and bottom margins as necessary (on the concurrence page only) so that the concurrence grid or grids fit on the duplicate page. DO NOT PLACE the concurrence grid or grids on a separate page. Place a 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 space permits, place this entry three lines below the signature block (or two lines below the docket/project number, enclosure, or "cc" notations, if applicable). 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:
Title of Enclosure (If applicable)

cc: F. Last (If applicable)

Figure 6.2 (continued)

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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 block. Type the "cc" notation two lines (press enter twice) below the enclosure notation. This figure illustrates placement of the docket/project number, enclosure, and "cc" notations.

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 or grids at the bottom of the page. Adjust your top and bottom margins as necessary (on the concurrence page only) so that the concurrence grid or grids fit on the duplicate page. DO NOT PLACE the concurrence grid or grids on a separate page. Place a 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 space permits, place this entry three lines below the signature block (or two lines below the docket/project number, enclosure, or "cc" notations, if applicable). 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:
Title of Enclosure (If applicable)

cc: F. Last (If applicable)

Note: You can adjust the top and bottom margins on the concurrence page, if necessary, to fit the concurrence grid(s) on the page. You can also adjust the font size of the distribution list and the concurrence grid(s), if necessary, to fit them on the page.

DISTRIBUTION: Tasking Number(s) (If applicable)
Public (If applicable)
FLast
Appropriate RIDS box(es)

OR

DISTRIBUTION:
See next page

ADAMS ACCESSION NUMBER:

OFFICE					
NAME	FMLast/typist initials				
DATE	mm/dd/yy	mm/dd/yy	mm/dd/yy	mm/dd/yy	

OFFICIAL RECORD COPY

Figure 6.2 (continued)

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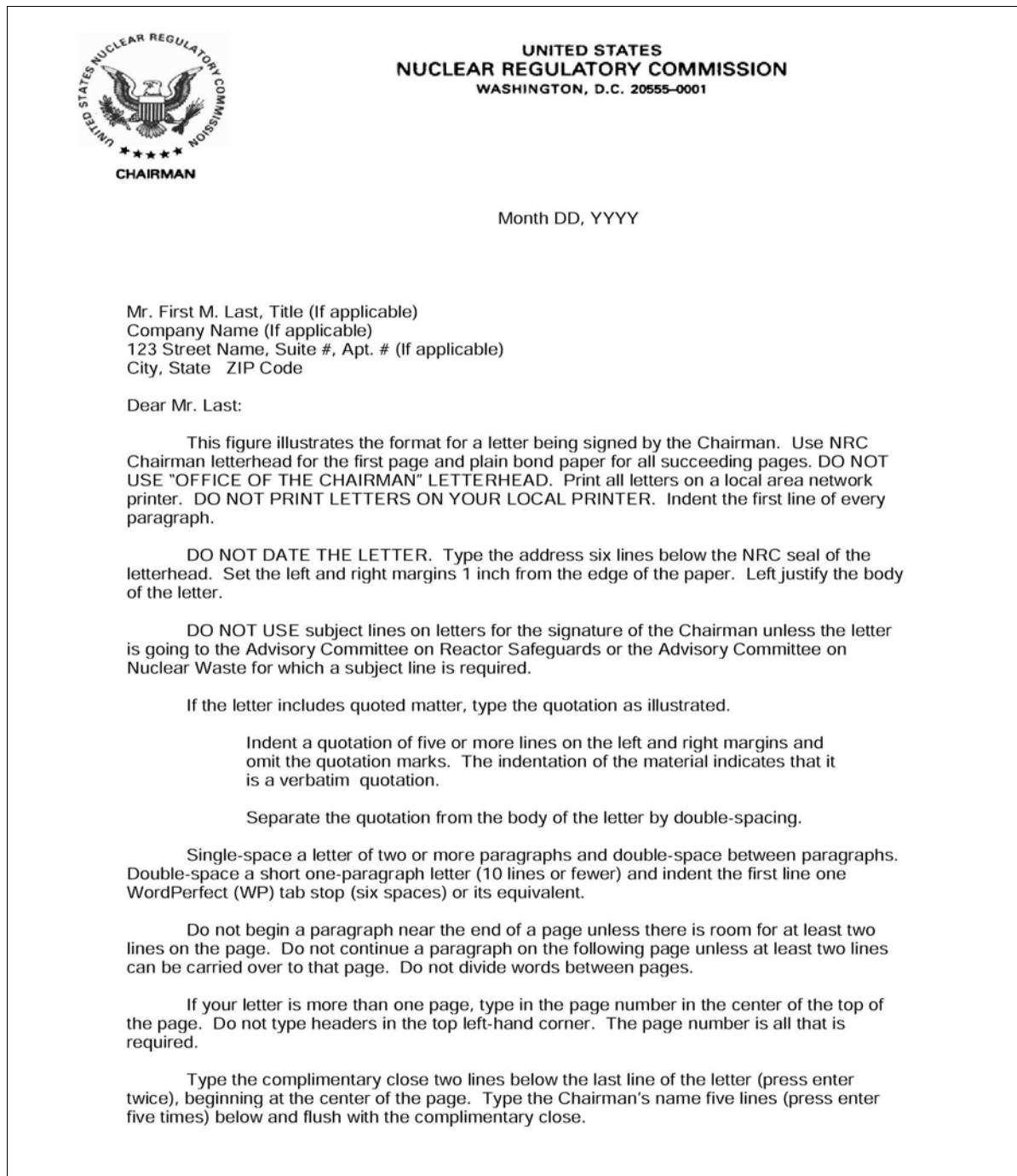


Figure 6.3
Letter for the Chairman's Signature

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Type the enclosure notation two lines (press enter twice) below the signature block flush with the left margin. Type the "cc" notation two lines (press enter twice) below the enclosure notation. This figure illustrates placement of the enclosure and "cc" notations.

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 or grids at the bottom of the page. Adjust your top and bottom margins as necessary (on the concurrence page only) so that the concurrence grid or grids fit on the duplicate page. DO NOT PLACE the concurrence grid or grids on a separate page. Place a grid only on the duplicated page.

Place the distribution notation and list on the concurrence page flush with the left margin. If space permits, place this entry three lines below the Chairman's name (or two lines below the enclosure, and/or "cc" notations, if applicable). 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 October 29, 2003, place on any letter being signed by the Chairman one of two policy statements that are mentioned in Chapter V, "Institutional Correspondence," page V-6, 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 or grids).

Have a technical editor review and concur with all letters for the signature of the Chairman.

Sincerely,

First M. Last (Chairman's name)

Enclosure:
Title of Enclosure (If applicable)

cc: F. Last (If applicable)

Figure 6.3 (continued)

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Type the enclosure notation two lines (press enter twice) below the signature block flush with the left margin. Type the "cc" notation two lines (press enter twice) below the enclosure notation. This figure illustrates placement of the enclosure and "cc" notations.

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 or grids at the bottom of the page. Adjust your top and bottom margins as necessary (on the concurrence page only) so that the concurrence grid or grids fit on the duplicate page. DO NOT PLACE the concurrence grid or grids on a separate page. Place a grid only on the duplicated page.

Place the distribution notation and list on the concurrence page flush with the left margin. If space permits, place this entry three lines below the Chairman's name (or two lines below the enclosure, and/or "cc" notations, if applicable). 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 October 29, 2003, place on any letter being signed by the Chairman one of two policy statements that are mentioned in Chapter V, "Institutional Correspondence," page V-6, 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 or grids. See statements on next page).

Have a technical editor review and concur with all letters for the signature of the Chairman.

Sincerely,

First M. Last (Chairman's name)

Enclosure:
 Title of Enclosure (If applicable)

cc: F. Last (If applicable)

Note: You can adjust the top and bottom margins on the concurrence page, if necessary, to fit the concurrence grid(s) on the page. You can also adjust the font size of the distribution list and the concurrence grid(s), if necessary, to fit them on the page.

DISTRIBUTION: Tasking Number(s) (If applicable) OR DISTRIBUTION:
 Public (If applicable) See next page
 FLast
 Appropriate RIDS box(es)

ADAMS ACCESSION NUMBER:

OFFICE				
NAME	FMLast/typist initials			
DATE	mm/dd/yy	mm/dd/yy	mm/dd/yy	mm/dd/yy

OFFICIAL RECORD COPY

Figure 6.3 (continued)

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.

Figure 6.3 (continued)

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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

DOC

OCA

OPA

CFO

FLast

Appropriate RIDS box(es)

Figure 6.3 (continued)

Section 7

7 Memoranda

Memoranda include correspondence among NRC offices or between NRC offices and their NRC contractors (see Section 8, "Definitions," of this handbook).

The type of correspondence that NRC officials sign, unless otherwise directed, is given in Table 2.1, "Signatures," in Section 2 of this handbook.

Before you begin your memorandum, read Section 4, "General Procedures for All Types of Correspondence," and this section, review Figures 7.1, 7.2, 7.3, and 7.4 at the end of this section, and read the information the figures contain.

To prepare a draft memorandum, follow the instructions in Sections 7.1.1 through 7.1.5, setting 1-inch left and right margins, the standard for all memoranda. Double-space drafts. Provide double-spaced drafts to the technical editors.

7.1 Components and Formatting

7.1.1 Date. The date on which the memorandum is signed.

- Do not date a memorandum until it is signed by both the signatory and any official listed on a THRU line. See also Section 2, "Responsibilities for Writing and Handling Correspondence," in this handbook about the correspondence that the Office of the Secretary of the Commission (SECY) or the Office of the Executive Director for Operations (OEDO) dates.
- Use only the date on which it is signed. Do not use the date of dispatch.
- Type the date, centered, two lines below the letterhead.
- Use the format of **month, day, year**, spelling out the month.

Example: April 4, 2005

7.1.2 MEMORANDUM TO Line and THRU Line. The name and title of the principal recipients.

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.

After the MEMORANDUM TO line, indent one tab to begin the addressee's name and title.

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

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." Abbreviations are acceptable for use in the THRU line only for correspondence within the originating office. See also Figure 7.2, "Multiple Addressees."

Table 7.1 Addressees	
Instruction	Example
For a single addressee, indent one tab 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 Division of Waste Management Office of Nuclear Material Safety and Safeguards THRU: James M. Smith, Chief High-Level Waste Disposal Branch, DWM, NMSS

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

- Begin FROM Line, at the left margin, two lines below the last of the MEMORANDUM TO line.

- Use the name and title of the official signing the memorandum.
- If a position is vacant, use the name and title of the formally appointed "acting" official.
- 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.
- On the official record copy, type "/RA/ occupant's name" before entering the memorandum in the Agencywide Documents Access and Management System (ADAMS) as an official agency record.

7.1.4 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.

- 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 7.1).
- Type the subject information at the next WordPerfect tab setting to the right of the colon in the MEMORANDUM TO line.
- If the subject requires more than one line, begin any subsequent line on the next line flush with the first word of the subject.

7.1.5 Body. The main text of the memorandum.

- Begin the body of the memorandum at the left margin three lines (two blank lines) below the last line of the subject (see Figure 7.1).
- Single-space a memorandum of two or more paragraphs.
- Double-space a short one-paragraph memorandum of 10 or fewer lines, indenting the first line one tab.
- Limit the memorandum to two pages if at all possible.

- 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.
- Do not divide words between pages.

7.2 Procedures for Handling

Follow the guidance in Sections 4.3, 4.4, 4.5, 4.6, and 4.7, as applicable, for continuation pages, notations, distribution copies, assembly, reproduction, and dispatch.

7.3 Staff Memoranda Sent to the Commission

7.3.1 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 on Figure 7.3.

7.3.2 Memoranda Sent to or Exchanged Among the Commission

Action memoranda, known as COMs, may be—

- 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
- Memoranda from the Executive Director for Operations (EDO), the Chief Financial Officer (CFO), or any other Commission-level office seeking guidance from the Commission.

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 Commission paper.

The EDO's Administrative and Correspondence Staff 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.

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

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.

- **Commission memoranda** numbers consist of a three-letter Commissioner identification, year of issuance, and a consecutive number (e.g., COMNJD-05-xxxx or COMJSM-05-xxxx).
- **Staff memoranda** are identified with a "COMSECY" identification number, year of issuance, and a consecutive number (COMSECY-05-xxxx).

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.

7.3.3 Format and Procedures

- Prepare a memorandum from an office reporting to the EDO on standard agency NRC letterhead to be signed by the EDO (see Figure 7.3, "Memorandum to the Commission," and ADAMS Accession Number ML031410008).
- Prepare a memorandum from an office, a region, or an organization having its own letterhead on the organization-specific letterhead.
- Use plain bond for any subsequent pages.
- Limit the memorandum to two pages, if possible. If the text of the memorandum is more than two typed pages single spaced—
 - briefly summarize the major issues (e.g., technical, policy, legal),

- recommend an action or resolution,
 - state whether the staff had dissenting views, and
 - state whether personnel and funding resources would be required.
- If the subject of the memorandum has a prior history before the Commission, create a preliminary background paragraph that references previous staff paper numbers, meeting dates, memoranda, and so forth, and the Commission actions on them.
 - 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.
 - Place a contact at the left margin on the third line after the end of text on the first page only, that is, the name, office, and telephone number of a staff member other than the signatory knowledgeable about the topic of the memorandum (see Figure 7.3).

Example:

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

- The SECY staff controls and processes a COM once it is received, finalizing it in ADAMS.


7.3.4 Copy Requirements

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

- The docket number for each docket referenced in the memorandum
- The yellow ticket control number and/or the OEDO tasking item number, if applicable

- RidsEdoMailCenter
- Other information copies designated by the originator

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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. Print all memoranda on a local area network printer. **DO NOT PRINT ON YOUR LOCAL PRINTER.**

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/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 WordPerfect tab setting 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 WordPerfect tab stop (five spaces) or its equivalent.

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, Division/Office
 Area code and number

Figure 7.1
Memorandum

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F. Last

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For continuation/succeeding pages, type the header 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 & RAs. For a "Those on the Attached List" header, type exactly that (Those on the Attached List). For a business header, type the abbreviated name of the company, such as PEPCO.

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. This figure illustrates placement of the docket/project number, enclosure, and "cc" notations.

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 or grids at the bottom of the page. Adjust your top and bottom margins as necessary (on the concurrence page only) so that the concurrence grid or grids fit on the duplicate page. Do not place the concurrence grid or grids 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 space permits, place this entry three lines below the body of the memorandum (or two lines below the enclosure notation, if applicable). 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)

Enclosure: (If applicable)

As stated or list 1. Title
 2. Title

cc: F. Last, Office (If applicable)

Figure 7.1 (continued)

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
Appropriate RIDS box(es)

Figure 7.1 (continued)

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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 from First M. Last dated Month, DD, YYYY

SUBJECT: MULTIPLE ADDRESSEES EXAMPLES

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 7.2
Multiple Addressees

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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. Print all memoranda on a local area network printer. DO NOT PRINT ON YOUR LOCAL PRINTER.

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/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 WordPerfect tab setting 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 on WordPerfect tab stop (five spaces) or its equivalent.

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, Division/Office
Area code and number

Figure 7.3
Memorandum to the Commission

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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
Appropriate RIDS box(es)

Figure 7.3 (continued)

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

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 7.4
Memorandum - Use of Thru or Attention Line

Section 8

8 Definitions

Accession number. A number automatically assigned to an NRC official record by 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 Commission 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.

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

- **Principal** 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 the Office of the

Secretary (SECY) or the Office of the Executive Director for Operations (OEDO).)

- **General** All correspondence except **principal correspondence**. 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 mail messages. Messages sent via the Intranet or Internet that may or may not qualify as an Electronic Record Copy. (See "E-Mail Messages as Official Agency Records" in the ADAMS Desk Reference Guide (NUREG/BR-0273).)

Electronic mail record. An e-mail message determined to be a Federal record in accordance with Management Directive (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 Commission paper (SECY paper), a letter, or a memorandum (see also the definition for **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 Chapter 2, "Content of ADAMS," in NUREG/BR-0273 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.

- **Original.** The final signed document that is dispatched to the addressee.
- **Copy.** A copy may be one of two types:
 1. **Courtesy copy.** A copy reproduced from the signed original, as requested by the originator.
 2. **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.")

Official agency record (OAR). As defined in the ADAMS Desk Reference Guide (NUREG/BR-0273), 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 "How To Determine if a Document is an OAR" in Chapter 2 of the latest version of NUREG/BR-0273.)

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—

- regulatory obligations
- significant risks
- legal position in the courts
- agency resources
- licensee performance
- licensee requests
- licensee resources
- stakeholder concern

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

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

- Organizing the message into a coherent and logical flow of ideas;
- Correcting syntax, grammar, spelling, and punctuation;
- Ensuring consistent use of terms, acronyms, abbreviations, and symbols;
- Simplifying overly complex sentences (sentences that contain too many ideas);
- Correcting subject/verb disagreement and faulty parallelisms;
- Eliminating ambiguities, redundancy (wordiness), and overuse of the passive voice;
- Verifying the accuracy of equations;

- Verifying the accuracy of tables and figures and redesigning them as required to improve their visual effectiveness; and
- Verifying the accuracy of references and cross-references and the consistency of text, figure, and table headings with the table of contents.