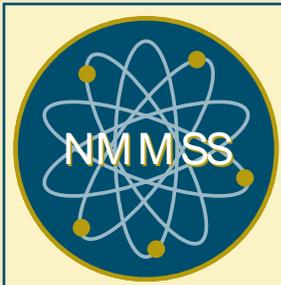


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# Data Quality Improvements Open Transactions

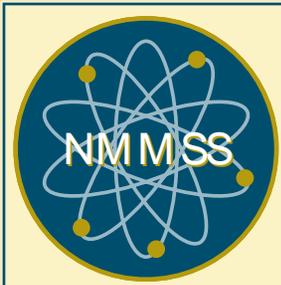
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Ron Bonifay  
NMMSS



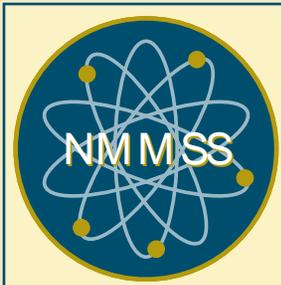
# What are Open Transactions ?

- General Definition: *Transactions on file at NMMSS that show the shipper's quantities for which no final quantitative data from the receiver has been received and accepted by the system at the close of a given month's processing period.*



# Reporting Transactions Timelines

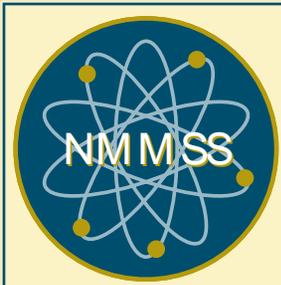
- **Shipper** – Reports DOE/NRC 741 document no later than one (1) workday after shipment occurred
- **Receiver** – Reports DOE/NRC 741 document acknowledging receipt no later than ten (10) workdays after receipt occurred



# Common Causes for Open Transactions

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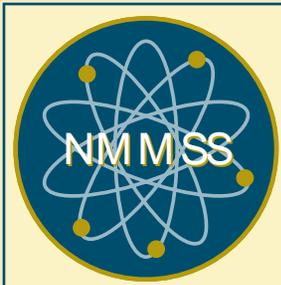
- Imports/Exports
  - Domestic facility responsible for submitting foreign side of transaction, but fails to do so
- Receiving facility copies and submits shipper's data file without changing the "A" action code to "B" when accepting shipper's values.



# Common Causes (cont.)

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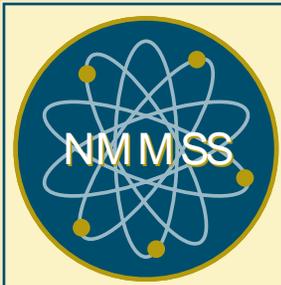
- Receiving facility sends the shipper a transaction closing out the data set, but fails to send a closing transaction to NMMSS.



# Options to Acknowledge or Close Transaction

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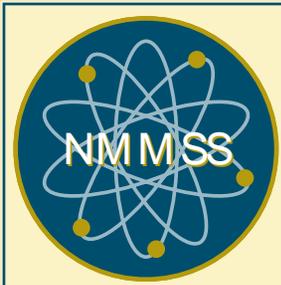
- Option 1: Submit a transaction without quantitative data to acknowledge receipt of the material
- Option 2: Submit a transaction accepting the shippers values or with the receiver's measured values.



# DOE - Action Codes Acknowledging Receipt of Material

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- Action codes for interim reporting and acknowledgement of receipt
  - J** – Material in-transit or project receipts. Followed by B, E, or S
  - N** – Known delay in receiver reporting for at least 10 days but less than 30. Followed by B, E or S
  - U** – Known delay in receiver reporting greater than 30 days Followed by B, E or S

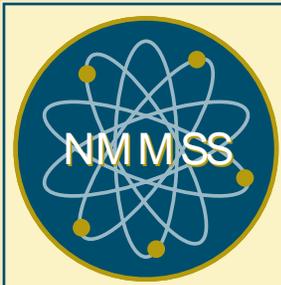


# DOE - Action Codes Acknowledging Receipt of Material (cont.)

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**S** – Accepting shipper's weights under a safeguards closure agreement

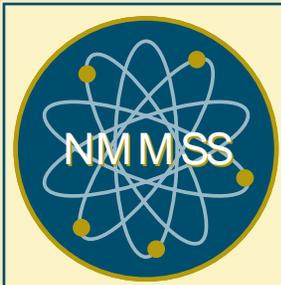
Note: Restricted to DOE contractors, owner code G where an approved shipper-receiver agreement is in effect



# NRC - Action Code Acknowledging Receipt of Material

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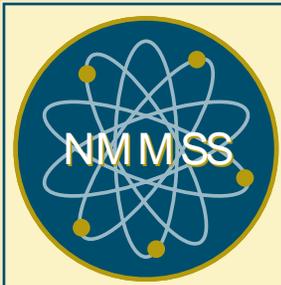
- **N** – Known delay in receiver reporting for more than 10 days, but not more than 60 days for source and LEU material, and not more than 45 days for HEU. Followed by a **B** or **E** action code



# Action Codes to Report Receiver's Final Data

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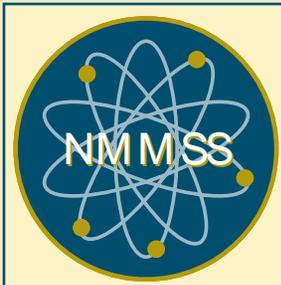
- Action codes used to close a transaction data set
  - B** - Accepting shipper's data
  - E** - Indicates receiver's measured data



# NMMSS Generated Receipts

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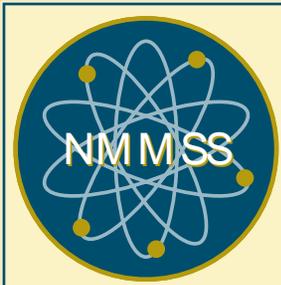
- The receiver's data is generated by NMMSS when shipping to:
  - Paired RIS
  - Department of Defense (DOD)



# Open Transaction Reports

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- TJ-11B – Open Transactions by Material Type and Facility
- TJ-11R – Transactions with no Acknowledgement of receipt
- TJ-11S – Transactions with **S** Action Code on file, but no **B** or **E**



# The Need to Close Open Transactions

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- Reasons to Close or Acknowledge Open Transactions:
  - Reliable safeguards and security practice
  - Maintaining accurate and dependable nuclear material accounting records
  - NMMSS cannot reconcile an NRC facility with an open transaction in the current reconciliation period