

4.5.2 ESCALATED ENFORCEMENT PROCEDURES

VII. Compliance Policy

Enforcement action is necessary to promote and protect the radiological health of the public, radiation workers and the protection of the environment by:

- Ensuring compliance with the New Jersey Radiation Protection Act and New Jersey Radiation Protection Code
- Obtaining prompt correction of noncompliance
- Deterring future noncompliance
- Encouraging improvement of license performance in the field of radiation protection
- Encouraging prompt identification and reporting of potential safety problems

It is intended that noncompliance should be more expensive than compliance. Every enforcement action is dependent on the circumstances of the case and requires the exercise of discretion after consideration of the appropriate policies and procedures. In no case, shall a licensee who cannot achieve and maintain adequate levels of protection be permitted to conduct licensed activities. To address these concerns, the DEP established a Master Code of Violations with a penalty schedule.

The rationale for arriving at the values in the penalty schedule is as follows:

- 1) Violations which pose a possible or real physical threat to people generally have a higher value than administrative violations (e.g. records).
- 2) Administrative violations which fail to demonstrate the licensee's ability to operate legally and safely have a higher value within the administrative violations.
- 3) Violations which pose a possible or real physical threat to the public have a higher value than violations that pose a possible or real physical threat to radiation workers.

A licensee who demonstrates an effort to comply with the regulations, was to be issued an order on evidence of the first occurrence of a violation and a penalty, Notice of Prosecution (NOP), on evidence of the second occurrence of the same violation. However, the DEP reserves the right to impose any penalty available to use under the law which is deemed necessary or appropriate to protect individuals and the environment.

Severity of Violations

The Master Code of Violations is categorized according to five levels of severity:

Severity Level I deals with violations of allowable radiation limits to the extent that physical injury or death results.

Severity Level II deals with violations for refusing to allow the DEP to inspect a facility, sources of radiation, or to conduct tests as the DEP deems appropriate or necessary.

Severity Level III deals with violations that "pose a significant potential for a hazardous situation or for performing unlicensed activities.

Severity Level IV deals with violations that pose potential for a "hazardous situation". These deal with failures to ensure a safe operation by not performing required activities or for performing activities considered to be unsafe.

Severity Level V deals with violations that "do not pose a direct hazard". These deal with regulations regarding records, labeling, posting, and failure to perform routine license activities.

SEVERITY CATEGORIES

HEALTH PHYSICS:

A. Severity Level I - Violations involving for example:

1. A radiation exposure during any year of a worker in excess of 25 rems total effective dose equivalent, 75 rems to the lens of the eye, or 250 rems to the skin of the whole body, or to the feet, ankles, hands or forearms, or to any other organ or tissue;
2. A radiation exposure over the gestation period of the embryo/fetus of a declared pregnant woman in excess of 2.5 rems total effective dose equivalent;
3. A radiation exposure during any year of a minor in excess of 2.5 rems total effective dose equivalent, 7.5 rems to the lens of the eye, or 25 rems to the skin of the whole body, or to the feet, ankles, hands or forearms, or to any other organ or tissue;
4. An annual exposure of a member of the public in excess of 1.0 rem total effective dose equivalent;
5. A release of radioactive material to an unrestricted area at concentrations in excess of 50 times the limits for members of the public; or
6. Disposal of licensed material in quantities or concentrations in excess of 10 times the limit.

B. Severity Level II - Violations involving for example;

1. A radiation exposure during any year of a worker in excess of 10 rems total effective dose equivalent, 30 rems to the lens of the eye, or 100 rems to the skin of the whole body, or to the feet, ankles, hands or forearms, or to any other organ or tissue
2. A radiation exposure over the gestation period of the embryo/fetus of a declared pregnant woman in excess of 1.0 rem total effective dose equivalent;
3. A radiation exposure during any year of a minor in excess of 1.0 rem total effective dose equivalent; 3.0 rems to the lens of the eye, or 10 rems to the skin of the whole body, or to the feet, ankles, hands or forearms, or to any other organ or tissue;
4. An annual exposure of a member of the public in excess of 500 millirems total effective dose equivalent;

5. A release of radioactive material to an unrestricted area at concentrations in excess of 10 times the limits for members of the public (except when operation up to 500 millirems a year has been approved by the Department);
6. Disposal of licensed material in quantities or concentrations in excess of 5 times the limits; or
7. A failure to make an immediate notification, as required.

C. Severity Level III - Violations involving for example;

1. A radiation exposure during any year of a worker in excess of 5 rems total effective dose equivalent, 15 rems to the lens of the eye, or 50 rems to the skin of the whole body or to the feet, ankles, hands or forearms, or to any other organ or tissue;
2. A radiation exposure over the gestation period of the embryo/fetus of a declared pregnant woman in excess of 500 millirems total effective dose equivalent (except when doses are in accordance with the planned special exposures);
3. A radiation exposure during any year of a minor in excess of 500 millirems total effective dose equivalent; 1.5 rems to the lens of the eye, or 5 rems to the skin of the whole body, or to the feet, ankles, hands or forearms, or to any other organ or tissue;
4. A worker exposure above regulatory limits when such exposure reflects a programmatic (rather than an isolated) weakness in the radiation control program;
5. An annual exposure of a member of the public in excess of 100 millirems total effective dose equivalent (except when operation up to 0.5 rem a year has been approved by the Department);
6. A release of radioactive material to an unrestricted area at concentrations in excess of 2 times the effluent concentration limits (except when operation up to 0.5 rem a year has been approved by the Department);
7. A failure to make a 24-hour notification or an immediate notification, as required;
8. A substantial potential for exposures or releases in excess of the applicable limits whether or not an exposure or release occurs;
9. Disposal of licensed material not covered in Severity Levels I or II;

10. A release of restricted use of contaminated or radioactive material or equivalent that poses a realistic potential for exposure of the public to levels or doses exceeding the annual dose limits for members of the public, or that reflects a programmatic (rather than an isolated) weakness in the radiation control program;
11. Conduct of regulated entity activities by a technically unqualified person;
12. A significant failure to control licensed material; or
13. A breakdown in the radiation safety program involving a number of violations that are related (or, if isolated, that are recurring) that collectively represent a potentially significant lack of attention or carelessness toward regulated responsibilities.

D. Severity Level IV - Violations involving for example:

1. Exposures in excess of the limits not constituting Severity Level I, II, or III violations;
2. A release of radioactive material to an unrestricted area at concentrations in excess of the limits for members of the public (except when operation up to 500 millirems per year has been approved by the Department);
3. A radiation dose rate in an unrestricted area in excess of 2.0 millirems in any one hour or 50 millirems in a year;
4. Failure to maintain and implement radiation programs to keep radiation exposures as low as is reasonably achievable;
5. Doses to members of the public in excess of any EPA applicable environmental radiation standard, such as 40 CFR part 190;
6. A failure to make a 30-day notification, as required;
7. A failure to make a timely written report, as required;
8. Any other matter that has more than a minor safety, health, or environmental significance.

E. Severity Level V - Violations that are of a minor safety, health, or environmental significance.

TRANSPORTATION OF RADIOACTIVE MATERIALS

A. Severity Level I - Violations involving for example:

1. A failure to meet transportation requirements that resulted in loss of control of radioactive material with a breach in package integrity such that the material caused a radiation exposure to a member of the public and there was clear potential for the public to receive more than 100 millirems to the whole body.
2. Surface contamination in excess of 50 times the Department limit, or;
3. External radiation levels in excess of 10 times the Department limit.

B. Severity Level II - Violations involving for example:

1. A failure to meet transportation requirements that resulted in loss of control of radioactive material with a breach in package integrity such that there was a clear potential for a member of the public to receive more than 100 millirems to the whole body;
2. Surface contamination in excess of 10 but not more than 50 times the Department limit;
3. External radiation levels in excess of 5, but not more than 10 times the Department limit, or;
4. A failure to make required initial notifications associated with Severity Level I or II violations.

C. Severity Level III - Violations involving for example:

1. Surface contamination in excess of five but not more than 10 times the Department limit;
2. External radiation in excess of one but not more than five times the Department limit;
3. Any noncompliance with labeling, placarding, shipping paper, packaging, loading, or other requirements that could reasonably result in the following:
 - a. A significant failure to identify the type, quantity, or form of material;
 - b. A failure of the carrier or recipient to exercise adequate controls;
or;

- c. A substantial potential for either personnel exposure or contamination above regulatory limits or improper transfer of material;
- 4. A failure to make required initial notification associated with Severity Level III violations; or
- 5. A breakdown in the licensee's program for the transportation of licensed material involving a number of violations that are related (or, if isolated, that are recurring violations) that collectively reflect a potentially significant lack of attention or carelessness toward licensed responsibilities.

D. Severity Level IV - Violations involving for example:

- 1. A breach of package integrity without external radiation levels exceeding the Department limit or without contamination levels exceeding five times the Department limit;
- 2. Surface contamination in excess of but not more than five times the Department limit;
- 3. A failure to register as an authorized user of an Department Certified Transport package;
- 4. A noncompliance with shipping papers, marking, labeling, placarding, packaging, or loading not amounting to a Severity Level I, II or III violation;
- 5. A failure to demonstrate that packages for special form radioactive material meets applicable regulatory requirements;
- 6. A failure to demonstrate that packages meet DOT specifications for 7A Type A packages; or
- 7. Other violations that have more than minor safety or environmental significance.

E. Severity Level V - Violations that have minor safety or environmental significance.

Certain Uses of Radioactive Material

A. Severity Level I - Violations involving for example:

- 1. Radiation levels, contamination levels, or releases that exceed 10 times the limits specified in the registration or license;

2. A system designed to prevent or mitigate a serious safety event not being operable when actually required to perform its design function.

B. Severity Level II - Violations involving for example:

1. Radiation Levels, contamination levels, or releases that exceed five times the limits specified in the registration or license;
2. A system designed to prevent or mitigate a serious safety event being inoperable.

C. Severity Level III - Violations involving for example:

1. A failure to control access to licensed materials for radiation purposes as specified by Department requirements;
2. Possession or use of unauthorized equipment or materials in the conduct of registrant or licensee activities, which degrades safety;
3. Use of radioactive material on humans where such use is not authorized;
4. Conduct of registered or licensed activities by a technically unqualified person;
5. Radiation levels, contamination levels, or releases that exceed the limits specified in the registration or license;
6. A substantial failure to implement the quality management program; failure to follow the procedures of the quality management program that results in a misadministration or a failure to report a misadministration.
7. A breakdown in the control of licensed activities involving a number of violations that are related (or, if isolated, that are recurring violations) that collectively represent a potentially significant lack of attention or carelessness toward licensed responsibilities.
8. A failure, during radiographic operations, to have present or to use radiographic equipment, radiation survey instruments, and/or personnel monitoring devices as required;
9. A failure by a person to notify the Department at least three working days before bringing a radiation machine or radioactive material into the state, as required;
10. A failure to receive required Department approval prior to the implementation of a change in licensed activities that has radiological or programmatic significance, such as, a change in ownership; lack of a radiation safety officer (RSO) or replacement of an RSO with an unqualified individual; a change in the location where licensed activities are being conducted, or where licensed material is being

stored where the new facilities do not meet safety guidelines; or a change in the quantity or type of radioactive material being processed or used that has radiological significance.

D. Severity Level IV - Violations involving for example:

1. A failure to maintain patients hospitalized who have cobalt-60, Cesium-137, Radium-226, or Iridium-192 implants or to conduct required leakage or contamination tests, or to use properly calibrated equipment; other violations that have more than minor safety or environmental significance.
2. A failure to follow the procedures of the quality management program, or failure to conduct the annual review, or failure to take corrective actions as required by the quality management program.
3. A failure to keep the records required by the quality management program.

E. Severity Level V - Violations that have minor safety or environmental significance.

MISCELLANEOUS

A. SEVERITY LEVEL I - Violations involving for example:

1. Inaccurate or incomplete information that is provided to the Department:
 - a. deliberately with the knowledge of a regulated entity official that the information is incomplete or inaccurate, or
 - b. if the information, had it been complete and accurate at the time provided, likely would have resulted in regulatory action such as an immediate order required by public health and safety considerations;
2. Incomplete or inaccurate information that the Department requires be kept by a regulated entity that is:
 - a. incomplete or inaccurate because of falsification by or with the knowledge of the information on the part of a regulated entity official, or
 - b. if the information, had it been complete and accurate when reviewed by the Department likely would have resulted in regulatory action such as an immediate order required by public health and safety considerations;
3. Information that the regulated entity has identified as having significant implications for public health and safety or the common defense and security

("significant information identified by a regulated entity") and is deliberately withheld from the Department;

4. An action by senior corporate management, in violation of rules, against an employee;
5. A knowing and intentional failure to provide the notice required by these rules; or

B. Severity Level II - Violations involving for example:

1. Inaccurate or incomplete information, which is provided to the Department;
 - a. by a regulated entity official because of careless disregard for the completeness or accuracy of the information, or
 - b. if the information, had it been complete and accurate at the time provided, likely would have resulted in regulatory action such as a show cause order or a different regulatory position;
2. Incomplete or inaccurate information that the Department requires be kept by a regulated entity which is:
 - a. incomplete or inaccurate because of careless disregard for the accuracy of the information on the part of a regulated entity official, or
 - b. if the information, had it been complete and accurate when reviewed by the Department likely would have resulted in regulatory action such as a show cause order or a different regulatory position;
3. "Significant information identified by a regulated entity" and not provided to the Department because of careless disregard on the part of a regulated entity official;
4. An action by plant management above first-line supervision, in violation of rules, against an employee;

C. Severity Level III - Violations involving for example:

1. Incomplete or inaccurate information that is provided to the Department
 - a. because of inadequate actions on the part of regulated entity officials but not amounting to a Severity Level I or II violation, or
 - b. if the information, had it been complete and accurate at the time provided, likely would have resulted in a reconsideration of a regulatory position or substantial further inquiry such as an additional inspection or a formal request for information;

2. Incomplete or inaccurate information that the Department requires be kept by a regulated entity that is
 - a. incomplete or inaccurate because of inadequate actions on the part of regulated entity officials but not amounting to a Severity Level I or II violation, or
 - b. if the information, had it been complete and accurate when reviewed by the Department, likely would have resulted in a reconsideration of a regulatory position or substantial further inquiry such as an additional inspection or a formal request for information
3. A failure to provide "significant information identified by a regulated entity" to the Department and not amounting to a Severity Level I or II violation;
4. An action by first-line supervision, in violation of rules, against an employee;
5. An inadequate review or failure to review such that, if an appropriate review had been made as required, a report would have been made.

D. Severity Level IV - Violations involving for example:

1. Incomplete or inaccurate information of more than minor significance that is provided to the Department but not amounting to a Severity Level I, II or III violation;
2. Information that the Department requires be kept by a regulated entity and which is incomplete or inaccurate and of more than minor significance but not amounting to a Severity level I, II or III violation; or
3. An inadequate review, failure to review, or other procedural violations associated with reporting requirements with more than minor safety significance.

E. Severity Level V - Violations involving for example:

1. Incomplete or inaccurate information that is provided to the Department and the incompleteness or inaccuracy is of minor significance;
2. Information that the Department requires be kept by a regulated entity that is incomplete or inaccurate and the incompleteness or inaccuracy is of minor significance; or
3. Minor procedural requirements.

**Bureau of Environmental Radiation
Radioactive Material Section
Master Code of Violations**

Severity

Code	Description	Penalty Category
M = Minor	Any violation that results in only a Notice of Violation (NOV)	V
N = Non-Minor	Any violation that results in a monetary penalty	IV, III, II, I

Penalty Categories Rationale:

The following rationale was used in establishing the various penalty categories:		Offense Occurrence				
Code	Rationale	1st	2nd	3rd	4th	5th
V	Category V deals with violations that "do not pose a direct hazard." These deal with regulations regarding records, labeling and posting, and failure to perform highly routine activities required by the license.	NOV	\$300	\$600	\$1,200	\$2,500 + AG
IV	Category IV deals with violations that pose potential for a "hazardous situation." These deal with failures to ensure safe operation by not performing required activities or for performing activities considered to be unsafe.	\$300	\$600	\$1,200	\$2,500 + AG	
III	Category III deals with violations that "pose a significant potential for a hazardous situation or performing unlicensed activities."	\$750	\$1,500	\$2,500 + AG		
II	Category II deals with violations for refusing to allow the Department to inspect a facility, any sources of radiation or to conduct tests as the Department deems appropriate or necessary.	\$1,000	\$2,500	\$2,500 + AG		
I	Category I deals with violations of allowable radiation limits to the extent that physical injury or death results.	2,500	\$2,500 + AG			

Where:

NOV = Notice of Violation

All monetary penalties are issued in a Notice of Prosecution (NOP), accompanied by an Administrative Order (AO).

AG = refer the matter to the State Attorney General

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Code Section	Severity	Penalty Category	Description
7:28-2.1	N	III	Used and/or permitted others to use sources of ionizing radiation in a manner other than prescribed in this Chapter.
7:28-2.2(a)	N	III	Failure to have all sources of radiation under the supervision of at least one person who has demonstrated to the Department, or to any agency recognized by the Department, that the person's training and experience satisfies the Department's requirements pursuant to subsection 1 through 5 of this section.
7:28-2.3(a)	N	IV	Failure to instruct persons working in or frequenting the vicinity of radioactive materials in the use of radiation sources and the function and need for applicable safeguards.
7:28-2.3(b)	N	IV	Failure to instruct or escort visitors to controlled areas to prevent unnecessary exposure to radiation.
7:28-2.4	N	III	Permitting a source or sources of radiations to remain unattended and accessible to unauthorized use.
7:28-2.5(a)	N	III	Failure to prevent persons from using radioactive materials which were inadequately shielded so that radiation levels outside controlled areas had the potential to exceed or exceeded limits in Section 6.2 (Radiation levels outside controlled areas) of this Chapter.
7:28-2.5(b)	N	IV	Utilization of radioactive material when the protective device(s) was not operating.
7:28-2.6(a)	N	III	Employing unlicensed and/or unauthorized persons to arrange for irradiation, application or administration of radiation to a human being or any part thereof, for the purpose of medical diagnosis or treatment
7:28-2.10(a)	M	V	Failure to make a study of potential radiation hazards which may arise from radiation incidents, theft or radioactive materials, fires, floods, windstorms and other disasters within and near the installation with regard to the protection of the following: 1) Tenants and employees, 2) Emergency workers, 3) General public, 4) Fire fighters and police
7:28-2.10(b)	M	V	Failure to make a study of potential radiation hazards for radioactive materials on hand and in advance of the receipt of additional radioactive materials.
7:28-2.10(c)	M	V	Failure to prepare an emergency operational plan from the study of potential radiation hazards, informing all persons concerned of their duties and responsibilities.
7:28-2.10(c)	M	V	Failure to make available to the Department upon request, a copy of an emergency operational plan prepared from the study of potential radiation hazards.
7:28-2.11(a)	N	II	Failure to afford the Department an opportunity to inspect a source(s) of radiation and the operation associated with the source(s) of radiation as well as the facilities and premises where the source(s) of radiation is being used or stored.
7:28-2.11(b)	M	V	Failure to make available to the Department upon request, records kept pursuant to the rules in N.J.A.C. 7:28.
7:28-2.12	M	V	Failure to perform such tests as the Department deemed appropriate or necessary for the administration of this chapter
7:28-2.12	N	II	Preventing the Department from performing such tests as the Department deemed appropriate or necessary for the administration of this Chapter.

7:28-3.1(a)	M	V	Failure to register with the Department all radioactive by-product, source and special nuclear material, at the facility for inspection by the Department
7:28-3.1(b)	M	V	Failure to apply for a registration for possession of radioactive by-product, source and special nuclear material within 30 days after taking possession, custody or control.
7:28-3.1(c)	M	V	Failure to retain a copy of the registration for possession of radiation for possession of radioactive by-product, source and special nuclear material, at the facility for inspection
7:28-3.5(a)	M	V	Failure to obtain a registration for possession, custody or control of the specified type(s) and amount(s) of the radioactive material authorized by the license issued by the United States Nuclear Regulatory Commission
7:28-3.5(b)	M	V	Failure to apply for a new or amended registration after receipt of a shipment of a type of radioactive material which caused the total amount of such type of radioactive material in the registrant's possession to exceed the amount authorized in your registration for such type of material.
7:28-3.8	M	V	Failure to notify the Department in writing within 30 days of any change in the license issued by the Nuclear Regulatory Commission for possession, custody or control of radioactive material, when there is a change in the type and/or quantity of such material.
7:28-3.8	M	V	Failure to notify the Department in writing within 30 days of any change in the license issued by the Nuclear Regulatory Commission for possession custody or control of radioactive material, when there is a change in the designated licensed user(s) or radiation safety officer.
7:28-4.1(b)	N	III	Failure to acquire a valid State license issued by the Department for the radioactive material in your possession. Specifically, the manufacture, production, transfer, distribution, sale, lease, reception, acquisition, ownership, possession or use of material requires a state license.
7:28-4.1(c)	N	III	Failure to obtain a license for the sale, transfer, distribution or arrangement for distribution of a device that contains radioactive material manufactured by another person, got sold, transferred or distributed under the name of person selling, transferring or distributing the device.
7:28-4.2	N	III	Transporting, receiving, possessing and/or using radioactive materials within this state that were specified in a specific license or equivalent licensing document issued by a Federal agency or any other state for a period exceeding 20 days in any period of 12 consecutive months without obtaining a specific license from this Department.
7:28-4.5(b)	N	III	Transferring, abandoning and/or disposing a device or equipment incorporating radioactive material to a person who was not authorized to receive such device or equipment by a specific State license issued by the Department
7:28-4.5(c)	N	III	Possession or use of radioactive material which exceeded the limit for generally licensed quantities without a specific license.

7:28-4.5(e)1	M	V	Possession and/or use of radioactive material contained in a device designed and manufactured for the purpose of detecting, measuring, gauging or controlling thickness, density, level, interface location, radiation, leakage, or qualitative or quantitative chemical composition or for producing light or an ionized atmosphere, which was not in compliance with the general license requirements because the device was not labeled in accordance with the provisions of the specific license which authorizes the distribution of the device.
7:28-4.5(e)2	M	V	Possession and/or use of radioactive material contained in a device designed and manufactured for the purpose of detecting, measuring, gauging, or controlling thickness, density, level, interface location, radiation, leakage, or qualitative or quantitative chemical composition or for producing light or an ionized atmosphere which was not in compliance with the general license requirements because the device did not bear a label containing the statement: "This device contains radioactive material and has been manufactured for distribution as a generally licensed device pursuant to (the appropriate section of the rules); and (the name of the licensing agency and state); and the License No. issued by (the name of the supplier). "This device shall not be transferred, abandoned or disposed of except by transfer to a person duly authorized to receive such device by a specific license issued by the Department, a Federal agency or any other state".
7:28-4.5(e)3	M	V	Possession and/or use of radioactive material contained in a device designed and manufactured for the purpose of detecting, measuring, gauging or controlling thickness, density, level, interface location, radiation leakage, or qualitative or quantitative chemical composition or for producing light or an ionized atmosphere which was not in compliance with the general license requirements because the device which requires special installation was not installed on the premises of the general licensee by a person authorized to install the
7:28-4.5(f)1	N	IV	Possession and/or use of items and quantities of radioactive materials set forth in N.J.A.C. 7:28-4.5(a) and (c) which were not in accordance with a general state license because an increase in the radioactivity of such scheduled items or quantities was effected by adding other radioactive material thereto, by combining radioactive material from two or more such items or quantities, or by altering them in any other manner so as to increase the rate of radiation emission.
7:28-4.5(f)2	N	III	Possession and/or use of items and quantities of radioactive materials set forth in N.J.A.C. 7:28-4.5(a) and (c) which were not in accordance with the general State license because the scheduled items or quantities or any part thereof was administered or the administration was directed to a human being, either externally or internally, for any purpose, including but not limited to, diagnostic, therapeutic and research purposes.
7:28-4.5(f)3	N	III	Possession and/or use of items and quantities of radioactive materials set forth in N.J.A.C. 7:28-4.5(a) and © which were not in accordance with the general State license because scheduled items or quantities or any part thereof were added or the addition was directed to any food, beverage, cosmetic, drug or other product designed for ingestion or inhalation by, or applicaiton to, a human being.

7:28-4.5(f)4	N	III	Possession and/or use of items and quantities of radioactive materials set forth in N.J.A.C. 7:28-4.5(a) and (c) which was not in accordance with the general State license because the scheduled items or quantities or any part thereof was not included in any device, instrument or apparatus, including component parts and accessories intended for use in diagnosis, treatment, or prevention of disease in human beings or animals or otherwise intended to affect the structure or any function of the body of human beings or animals.
7:28-4.5(g)1	N	III	Possession and/or use of a device which was not in accordance with the general license specified in N.J.A.C. 7:29-4.5(a) because the device was transferred, abandoned, or disposed of by a person who was unauthorized to receive such device.
7:28-4.5(g)2	N	IV	Possession and/or use of a device which was not in accordance with the general license specified in N.J.A.C. 7:28-4.5(a) because all labels affixed to the device at the time of receipt and bearing the statement, "Removal of this label is prohibited", were not maintained thereon and you did not comply with the instructions contained in such labels.
7:28-4.5(g)3	N	IV	Possession and/or use of a device which was not in accordance with the general license specified in N.J.A.C. 7:28-4.5(a) because the device was not tested for leakage of radioactive material and proper operation of the on-off mechanism and indicator, if any, at intervals not to exceed six months.
7:28-4.5(g)4	N	IV	Possession and/or use of a device which was not in accordance with the general license specified in N.J.A.C. &28-4.5(a) because the tests required by N.J.A.C. 7:28-4.5(g)3 and all other services involving the radioactive material, its shielding and containment, were not performed by the supplier or other person duly authorized by a specific license to install or service such devices.
7:28-4.5(g)5	M	V	Possession and/or use of a device which was not in accordance with the general license specified in N.J.A.C. 7:28-4.5(a) because records of all tests performed on the devices as required under N.J.A.C. 7:28-4.5(g)3, including the dates and results of the tests and the names and addresses of the person conducting the tests, were not maintained.
7:28-4.5(g)6	N	IV	Possession and/or use of a device which was not in accordance with the general license specified in N.J.A.C. 7:28-4.5(a) because: Upon the occurrence of a failure of or damage to, or any indication of a possible failure of or damage to, the shielding or containment of the radioactive material or the on-off mechanism or indicator, operation of the device was not immediately suspended until it had been either: i. repaired by a supplier, manufacturer, or other person authorized to install or service such devices. ii. disposed of by transfer to a person authorized to receive the radioactive material contained in the device.
7:28-4.9(b)	N	III	Transfer or assignment of your license to possess or utilize radioactive material.
7:28-4.9(c)	N	III	Failure to confine possession and use of radioactive material to the locations and purposes aurnished by such license.
7:28-4.9(c)	N	III	Permitting the use of radioactive materials contrary to the applicable requirements of this chapter.
7:28-4.9(c)	N	III	Transferring radioactive material within the State to persons who were not licensed to receive such material.

7:28-4.9(e)1	M	V	Failure to report to the Department within 30 days after the end of each calendar quarter in which you transferred certain devices to generally licensed persons, identifying each general licensee by name and address, the type and number of devices transferred, and the quantity and kind of radioactive material contained in each device.
7:28-4.9(e)2	N	IV	Failure to furnish each general licensee to whom you transferred certain devices, a copy of N.J.A.C. 7:28-4.5(a), (e) and (g), 8.2 and 8.4.
7:28-4.9(f)	N	IV	Failure to report to the Department within 30 days after the end of each calendar quarter in which you transferred certain devices to specifically licensed persons, identifying each specific licensee by name and address, the type and number of devices transferred, and the quantity and kind of radioactive material contained in each device.
4.12(c)	N	III	Engaging in the activities for which an amendment had been requested, prior to the approval granted by the Department
7:28-4.14(a)	N	II	Failure to permit the Department or its agents to inspect radioactive material and the facilities and premises where radioactive material is used or stored.
7:28-4.14(c)	M	V	Failing to make available for inspection upon request by the Department or its agents, records kept pursuant to this chapter.
7:28-4.14(b)	N	II	Preventing, prohibiting, obstructing, hindering, delaying or interfering with personnel of the Department or its agents in the performance of their duties.
7:28-4.15(a)1	M	V	Failure to perform tests on radioactive materials as the Department deemed appropriate or necessary for the administration of this subchapter.
7:28-4.15(a)1	N	II	Preventing the Department from performing tests on radioactive materials as the Department deemed appropriate or necessary for the administration of this Subchapter.
7:28-4.15(a)2	M	V	Failure to perform tests at facilities where radioactive material is utilized or stored as the Department deemed appropriate or necessary for the administration of this Subchapter.
7:28-4.15(a)2	N	II	Preventing the Department from performing tests at facilities where radioactive material is utilized or stored as the Department deemed appropriate or necessary for the administration of this Subchapter.
7:28-4.15(a)3	M	V	Failure to perform tests of radiation detection and monitoring instruments as the Department deemed appropriate or necessary for the administration of this Subchapter.
7:28-4.15(a)3	N	II	Preventing the Department from performing tests of radiation detection and monitoring instruments as the Department deemed appropriate or necessary for the administration of this Subchapter.
7:28-4.15(a)4	M	V	Failure to perform tests of equipment and devices used in connection with the utilization or storage of radioactive material as the Department deemed appropriate or necessary for the administration of this Subchapter.

7:28-5.15(a)4	N	II	Preventing the Department from performing tests of equipment and devices used in connection with the utilization or storage of radioactive material as the Department deemed appropriate or necessary for the administration of this subchapter.
7:28-5.1(a)	N	III	Failure to set apart as a controlled area, an area where there is a reasonable possibility of an occupant receiving an exposure dose from radiation more than the dose specified in N.J.A.C. 7:28-6.
7:28-5.2	N	III	Maintaining residential quarters within a controlled area.
7:28-5.2	N	I	Maintaining residential quarters within a controlled area, to the extent that physical injury or death occurs.
7:28-5.3(a)1	M	V	Failure to perform a radiation survey in a controlled area and adjacent areas to insure that exposure levels to individuals conform to N.J.A.C. 7:28-6.
7:28-5.3(a)2	M	V	Failure to perform wipe tests in accordance with N.J.A.C. 7:28-7, in areas where unsealed sources are routinely used, to insure compliance with the requirements for radioactive contamination control in N.J.A.C. 7:28-9.
7:28-5.3(a)3	M	V	Failure to perform personnel surveys to insure compliance with N.J.A.C. 7:28-9.
7:28-5.3(a)3	M	V	Failure to document personnel surveys to insure compliance with N.J.A.C. 7:28-9.
7:28-5.3(a)4	N	IV	Failure to require all individuals entering a controlled area to wear personnel monitoring equipment pursuant to the requirements for the use of personnel monitoring equipment in N.J.A.C. 7:28-7.
7:28-5.3(a)5	N	IV	Failure to provide proper and adequate instructions to all personnel working in controlled areas in the use of necessary safeguards and procedures.
7:28-5.3(a)5	N	IV	Failure to supply the required safety devices to all personnel working in controlled areas.
7:28-5.3(a)6	N	IV	Failure to provide adequate instructions to all personnel frequenting or visiting controlled areas as necessary to prevent unnecessary exposure to radiation.
7:28-5.3(a)6	N	IV	Failure to provide an escort to all personnel frequenting or visiting controlled areas as necessary to prevent unnecessary exposure to radiation.
7:28-5.3(a)7	M	V	Failure to post the controlled area in accordance with N.J.A.C. 7:28-10.
7:28-5.4	N	III	Failure to perform and document wipe tests in an area where radioactive material had been stored, utilized, or generated as an uncontrolled area when the radiation survey indicated that the radiation levels were in excess of those allowed outside of a controlled area as specified in N.J.A.C. 7:28-6.
7:28-5.4	N	III	Failure to perform and document wipe tests in an area where unsealed sources had been used or generated prior to reclassification of the area as an uncontrolled area.
7:28-5.4	N	III	Reclassification of a controlled area where radioactive material had been stored, utilized, or generated as an uncontrolled area when the radiation survey indicated that the radiation levels were in excess of those allowed outside of a controlled area as specified in N.J.A.C. 7:28-6.
7:28-6.1(a)1	N	IV	Permitting radiation levels in controlled areas to exceed levels which would result in an individual receiving, in any period of one calendar quarter, a dose to the whole body, head and trunk, active blood-forming organs, lens of eyes or gonads, in excess of 1.25 Rems.

7:28-6.1(a)1	N	I	Permitting radiation levels in controlled areas to exceed levels which would result in an individual receiving, in any period of one calendar quarter, a dose to the whole body, head and trunk, active blood-forming organs, lens of eyes or gonads, in excess of 1.25 Rems.
7:28-6.1(a)2	N	IV	Permitting radiation levels in controlled areas to exceed levels which would result in an individual receiving, in any period of one calendar quarter, a dose to the hands and forearms, or feet and ankles, in excess of 18.75 Rems
7:28-6.1(a)2	N	I	Permitting radiation levels in controlled areas to exceed levels which would result in an individual receiving, in any period of one calendar quarter, a dose to the hands and forearms, or feet and ankles, in excess of 18.75 Rems
7:28-6.1(a)3	N	IV	Permitting radiation levels in controlled areas to exceed levels which would result in an individual receiving, in any period of one calendar quarter, a dose to the skin of the whole body, in excess of 7.5 Rems.
7:28-6.1(a)3	N	I	Permitting radiation levels in controlled areas to exceed levels which would result in an individual receiving, in any period of one calendar quarter, a dose to the skin of the whole body, in excess of 7.5 Rems.
7:28-6.1(b)1	N	III	Permitting an individual(s) in a controlled area to receive a dose to the whole body in excess of three rems during a calendar quarter.
7:28-6.1(b)2	N	III	Permitting an individual(s) in a controlled area to receive a dose to the whole body that when added to the accumulated occupation dose to the whole body, exceeded five (N-18) rems where "N" equals the individual's age in years at his last birthday.
7:28-6.1(b)3	M	V	Failure to determine the individual's accumulated occupational dose to the whole body on a clear and legible record.
7:28-6.1(c)1i	N	III	Permitting an individual in a controlled area to receive exposure to radiation in excess of the limits specified in subsection (a) of this Section without first obtaining certification on form BRP-27, or on a clear and legible record, signed by the individual showing each period of time, after age 18 in which the individual received or may have received, an occupational dose of radiation.
7:28-6.1(c)1ii	N	IV	Permitting an individual in a controlled area to receive exposure to radiation in excess of the limits specified in subsection (a) of this Section without first calculating on form BRP-27, or on a clear and legible record, the previously accumulated occupational dose received by the individual and the additional dose allowed for that individual under subsection (b) of this Section.
7:28-6.1(c)2	N	IV	Permitting an individual in a controlled area to receive exposure to radiation in excess of the limits specified in subsection (a) of this Section without first making a reasonable effort to obtain reports of an individual's previously accumulated occupational dose before preparing Form BRP-27 or a clear and legible record containing all the information required on that form.
7:28-6.1(c)3	N	IV	Permitting an individual in a controlled area to receive exposure to radiation in excess of the limits specified in subsection (a) of this Section without retaining and preserving the records used in preparing Form BRP-27, or its equivalent.

7:28-6.1(d)	N	III	Permitting the concentration of radioactive material, averaged over any seven consecutive days, to exceed the concentrations listed in Section 6.5(a)(Average concentration) of this Chapter, Column B, or prorated values if more than one isotope is present.
7:28-6.1(f)	N	III	Permitting individual(s) under 18 years of age to receive a dose in excess of ten percent of the limits established in subsection (a) of this Section.
7:28-6.1(f)	N	III	Permitting an individual(s) under 18 years of age to be exposed to concentrations of radioactive material greater than those listed in N.J.A.C. 7:28-11 Appendix, Table 1, Column 1
7:28-6.2(a)1	N	III	Permitting radiation levels outside of controlled areas to exceed levels which would result in an individual receiving a dose in excess of 0.1 rem in any one year.
7:28-6.2(a)1	N	I	Permitting radiation levels outside of controlled areas to exceed levels which would result in an individual receiving a dose in excess of 0.1 rem in any one year.
7:28-6.2(a)2	N	III	Permitting radiation levels outside of controlled areas to exceed 0.002 rem in any one hour.
7:28-6.4	N	III	Failure to take appropriate measures to limit additional exposure of an individual to an extent and for a period, which shall be subject to approval by the Department, after the individual received a dose beyond the limits specified in Section 6.1(a) (Exposure of individuals in controlled areas) of this Chapter or in the event of emergency conditions.
7:28-6.6(a)	N	III	Failure to ensure that the dose equivalent to the embryo/fetus during the entire pregnancy of the declared pregnant woman does not exceed 0.5 rem.
7:28-6.6(a)	N	I	Failure to ensure that the dose equivalent to the embryo/fetus during the entire pregnancy of the declared pregnant woman does not exceed 0.5 rem
7:28-6.6(b)	N	III	Failure to make reasonable efforts to avoid substantial variation above a uniform monthly exposure rate to a declared pregnant woman so as to satisfy the limits of Section 6.6(a).
7:28-6.6(b)	N	I	Failure to make reasonable efforts to avoid substantial variation above a uniform monthly exposure rate to a declared pregnant woman so as to satisfy the limits of Section 6.6(a).
7:28-7.1(a)	N	IV	Permitting controlled areas to be surveyed by or under the direction of, an unqualified individual to determine if your installation is maintained and operations are conducted in compliance with this Chapter.
7:28-7.1(b)	N	IV	Failure to determine radiation levels in controlled areas with the use of suitable instruments and/or methods.
7:28-7.1(c)	N	IV	Failure to conduct surveys of the air for radioactive content when the average concentration may have exceeded 1/4 the amount specified in Section 6.5(a) (Average concentrations) of this Chapter, Column B, or prorated values when more than one isotope was present.
7:28-7.1(d)	N	IV	Failure to conduct surveys in controlled areas at sufficient intervals or in such a manner to ensure that surface contamination levels were below those which could lead to exposures amounting to ten percent of the limits specified in Section 6.1(a) and (d) (Exposures of Individuals in Controlled Areas) of this Chapter.
7:28-7.1(e)	M	V	Failure to maintain adequate records of surveys. These records were missing the following item(s) of information:

7:28-7.1(f)	M	V	Failure to conduct surveys in controlled areas at sufficient intervals to ensure compliance with this Chapter.
7:28-7.2	N	IV	Failure to conduct surveys outside controlled areas at sufficient intervals and locations to ensure compliance with Sections 6.2 (Radiation Levels Outside Controlled Areas) and 6.3 (Concentrations in Effluents from Controlled Areas) of this Chapter.
7:28-7.4(a)1	N	IV	Failure to require the use of personnel-monitoring equipment by persons entering controlled areas where the radiation levels might lead to an individual receiving a dose in excess of 25 millirems in any period of seven consecutive days.
7:28-7.4(a)2	N	IV	Failure to require the use of personnel-monitoring equipment to individual(s) under 18 years of age who entered controlled areas where he/they received or may have received a dose in excess of ten millirems in a period of seven consecutive days.
7:28-7.4(a)3	N	III	Failure to require the use of personnel-monitoring equipment for individuals entering a high radiation area.
7:28-7.4(a)4	N	IV	Failure to require the use of personnel-monitoring equipment to at least one visitor in a group of visitors entering a controlled area.
7:28-7.4(b)	N	IV	Failure to instruct individuals required to wear personnel-monitoring equipment in its purpose and proper use.
7:28-8.1(a)	M	V	Failure to maintain complete personnel-monitoring records for each individual required to wear personnel-monitoring equipment.
7:28-8.1(b)	M	V	Failure to supply an employee(s), upon request, with an annual statement of his radiation exposure and any bio-assays.
7:28-8.1(c)	M	V	Failure to supply a former employee(s), upon request, with a report of his exposure to radiation, including bio-assays.
7:28-8.1(d)	M	V	Failure to furnish to the employer of an individual, whose work on your premises required him to wear personnel-monitoring equipment, a statement of the individual's radiation record, within 90 days of his exposure.
7:28-8.1(f)	M	V	Failure to preserve the exposure records of each employee during the course of their employment.
7:28-8.1(f)	M	V	Failure to preserve the exposure records of each employee for at least ten years after the termination of employment.
7:28-8.1(f)	M	V	Failure to preserve the exposure records of persons other than employees as required by N.J.A.C. 7:28-7.4 for at least 10 years.
7:28-8.1(g)	M	V	Failure to provide the Department with personnel-monitoring records or a true copy of such records.
7:28-8.2(a)	M	V	Failure to maintain complete records of surveys of controlled areas and/or areas outside controlled areas.
7:28-8.2(b)	M	V	Failure to maintain survey records on controlled areas and/or areas outside controlled areas for at least ten years.
7:28-8.2(c)	M	V	Failure to make available to the Department on request, survey records of controlled areas and/or areas outside controlled areas, or true copies of same.
7:28-8.3(a)	M	V	Failure to maintain an accurate accounting for all radioactive materials.

7:28-8.3(b)	M	V	Failure to retain records of radioactive materials received, produced and disposed, the amounts and form of the radioactive materials received, and the amount on hand for at least two years after the final disposition of any radioactive material.
7:28-8.3(c)	M	V	Failure to make available to the Department on request, records of radioactive materials received, produced and disposed, the amounts and form of the radioactive material received, and the amount on hand.
7:28-8.4	M	V	Failure to maintain complete records of sealed source testing for a minimum of two years.
7:28-8.5	M	V	Failure to retain records required by this Subchapter after the discontinuance of your radiation installation.
7:28-9.1	N	IV	Failure to require that all work with radioactive materials was carried out under such conditions as to minimize contamination of the area(s) and of person(s) working therein.
7:28-9.2(a)	N	IV	Failure to suitably monitor individual(s) and their clothing for radioactive contamination.
7:28-9.2(b)	N	IV	Failure to prevent contaminated material, which may have lead to exposures greater than ten percent of limits specified in Section 6.1(a), or (d) (Exposure of Individuals in Controlled Areas) of this Chapter, from leaving controlled areas as non-radioactive material.
7:28-9.2(c)	N	IV	Permitting clothing, equipment or other material having contamination which might lead to exposures greater than those specified in subsection (b) of this Section to leave the area as non-radioactive.
7:28-9.3	N	IV	Failure to decontaminate the premises contaminated by radioactive materials which may have lead to exposures to individuals in excess of ten percent of the limits specified in Sections 6.1(a) or (d) (Exposure of Individuals in Controlled Areas) of this Chapter.
7:28-9.4(a)	N	IV	Failure to conduct leak tests of sealed sources at intervals not longer than six months.
7:28-10.1(a)	M	V	Failure to use the conventional radiation caution symbol on all signs and labels used for posting and labeling.
7:28-10.2	M	V	Failure to conspicuously post each radiation area with a sign or signs bearing the radiation caution symbol and the words: 1. CAUTION - RADIATION AREA; or 2. DANGER - RADIATION AREA
7:28-10.3(a)	N	IV	Failure to conspicuously post each high radiation area with a sign or signs bearing the radiation caution symbol and the words: 1. CAUTION - HIGH RADIATION AREA; or 2. DANGER - HIGH RADIATION
7:28-10.3(b)	N	III	Failure to insure against unauthorized or accidental entry into high radiation areas.
7:28-10.4(a)	N	IV	Failure to conspicuously post each airborne radioactivity area with a sign or signs bearing the radiation caution symbol and the words: 1. "CAUTION"- "AIRBORNE RADIOACTIVITY AREA"; or "DANGER"- "AIRBORNE RADIOACTIVITY AREA"
7:28-10.5(a)	M	V	Failure to conspicuously post a sign or signs bearing the radiation caution symbol and the words: 1. CAUTION - RADIOACTIVE MATERIAL(s); or DANGER - RADIOACTIVE MATERIAL(s) in each room in which radioactive material other than natural uranium or thorium is used or stored in amounts greater than 10 times that listed in Section 10.9 (Labeling, Posting, and Disposal Quantities of Radioactive Material) of

7:28-10.5(b)	M	V	Failure to conspicuously post a sign or signs bearing the radiation caution symbol and the words: 1. CAUTION - RADIOACTIVE MATERIAL(s); or 2. DANGER - RADIOACTIVE MATERIAL(s) in each room in which natural uranium or thorium is used or stored in amounts greater than 100 times that listed in Section 10.9 (Labeling, Posting, and Disposal Quantities of Radioactive Material) of this Chapter.
7:28-10.6(a)	M	V	Failure to properly label equipment and/or container(s) in which radioactive material other than natural uranium or thorium is transported, stored, or used in an amount greater than that specifically listed in Section 10.9 (Labeling, Posting and Disposal Quantities of Radioactive Material) of this Chapter.
7:28-10.6(b)	M	V	Failure to properly label each container in which natural uranium or thorium is transported, stored, or used in a quantity greater than 10 times the quantity listed in Section 10.9 (Labeling, Posting, and Disposal Quantities of Radioactive Material) of this Chapter.
7:28-10.6(c)	M	V	The investigation disclosed that the labels on containers used for the storage of radioactive materials did not state the quantities and kinds of radioactive materials in the containers and the date of measurement of the quantities.
7:28-10.7	M	V	Failure to remove radiation caution signs and labels from containers when the condition which required posting no longer existed.
7:28-11.1	N	III	Failure to restrict disposal of radioactive materials to the extent and under the conditions specified in Section 11.2 through 11.7 of this Chapter.
7:28-11.2	N	III	Releasing radioactive material into the sanitary sewerage system, in quantities which were in excess of those specified in Section 11.2 of this Chapter.
7:28-11.3(a)	N	III	Failure to limit the concentrations of radioactive material disposed through discharge into the air, to those specified in the Appendix of this subchapter, Table 1, Column 1.
7:28-11.3(b)	N	III	Failure to obtain written permission from the Department prior to the disposal of radioactive material into surface waters or ground waters.
7:28-11.4(a)	N	III	Failure to obtain written approval from the Department prior to the disposal of radioactive material by burial in the soil.
7:28-11.5(a)	N	III	Disposal of radioactive materials by transfer to a radioisotope disposal service which had not been approved by the Department to receive such materials.
7:28-11.5(b)	N	III	Disposal of radioactive material by transfer to persons who were not authorized by the Department, a Federal agency, or any agreement state to receive such material.
7:28-11.6	N	III	Failure to obtain written approval from the Department prior to the incineration of radioactive materials for the purpose of disposal.
7:28-11.8	N	III	Failure to secure sources of radiation against unauthorized removal from the place of storage.
7:28-13.1	N	III	Failure to immediately notify the Department of any theft or loss of radioactive materials in quantities and under such circumstances that a substantial radiation hazard and/or contamination hazard may have resulted.

7:28-13.2(a)1	M	V	Failure to immediately notify the Department by telephone and telegraph of a radiation incident which may have caused or threatened to cause an exposure of the whole body of an individual to 25 rems or more of
7:28-13.2(a)1	N	III	Failure to immediately notify the Department by telephone and telegraph of any radiation incident which may have caused or threatened to cause an exposure of the skin of the whole body of an individual to 150 rems or more of radiation.
7:28-13.2(a)1	N	III	Failure to immediately notify the Department by telephone and telegraph of any radiation incident which may have caused or threatened to cause an exposure of the feet, ankles, hands or forearms of an individual to 375 rems or more of radiation.
7:28-13.2(a)2	N	III	Failure to immediately notify the Department by telephone and telegraph of any radiation incident which may have caused or threatened to cause a release of radioactive material in concentrations which, if averaged over a period of 24 hours, would exceed 5,000 times the limits specified for such materials in N.J.A.C. 7:28-11 Appendix, Table 1, or prorated values if more than one isotope is released.
7:28-13.2(a)3	N	III	Failure to immediately notify the Department by telephone and telegraph of any radiation incident which may have caused or threatened to cause a loss of one working week or more of operation at your facility.
7:28-13.2(a)4	N	III	Failure to immediately notify the Department by telephone and telegraph of any radiation incident which may have caused or threatened to cause damage to property in excess of \$100,000.
7:28-13.2(c)1	N	III	Failure to notify the Department within 24 hours by telephone and telegraph of any radiation incident which may have caused or threatened to cause an exposure of the whole body of an individual to five rems or more of radiation.
7:28-13.2(c)1	N	IV	Failure to notify the Department within 24 hours by telephone and telegraph of any radiation incident which may have caused or threatened to cause an exposure of the skin of the whole body of an individual to 340 rems or more of radiation.
7:28-13.2(c)1	N	IV	Failure to notify the Department within 24 hours by telephone and telegraph of any radiation incident which may have caused or threatened to cause an exposure of the feet, ankles, hands, or forearms to 75 rems or more of radiation.
7:28-13.2(c)2	N	IV	Failure to notify the Department within 24 hours by telephone and telegraph of any radiation incident which may have caused or threatened to cause a release of radioactive material in concentrations which if averaged over a period of 24 hours, would exceed 500 times the limit specified for such materials in N.J.A.C. 7:28-11 Appendix, Table 1 are prorated values if more than one isotope is released.
7:28-13.2(c)3	N	IV	Failure to notify the Department within 24 hours by telephone and telegraph of any radiation incident which may have caused or threatened to cause a loss of one day or more of the operation of your facility.
7:28-13.(c)4	N	IV	Failure to notify the Department within 24 hours by telephone and telegraph of any radiation incident which may have caused or threatened to cause damage to property in excess of \$1,000.00

7:28-13.2(e)1	M	V	Failure to notify the Department in writing within 30 days of an exposure of an individual to radiation or concentrations of radioactive material in excess of any applicable limit of Subchapter 6 (Permissible Dose Rates, Radiation Levels and Concentrations) of this Chapter, or of your license.
7:28-13.2(e)2	M	V	Failure to notify the Department in writing within 30 days of an incident for which notification was required by subsections (a) and (c) of this Section.
7:28-13.2(e)3	M	V	Failure to notify the Department in writing within 30 days of levels of radiation or concentrations of radioactivity not involving exposure of any individual in excess of any applicable limit. Subchapter 6 (Permissible dose rates, radiation levels and concentration) of this Chapter, outside a controlled area in excess of ten times the limits of 6.2 (Radiation levels outside controlled areas) and Subchapter 11 (Disposal of radioactive materials) of this Chapter or of a licensee's license.
7:28-24.11(a)	M	V	Failure to record such information as may be required as a condition of your registration or license pursuant to this Chapter.
7:28-24.11(b)	M	V	Failure to record the radionuclide or radiopharmaceutical dose you administered.
7:28-24.11(b)	M	V	Failure to record your name after administering a radionuclide or radiopharmaceutical dose.
7:28-26:2D-10	N	III	Failure to shield, transport, handle, use or keep sources of radiation in such a manner as to prevent users and persons within effective range from being exposed to unnecessary radiation.
7:28-26:2D-23	N	II	Hindering, delaying or interfering with, by force or otherwise, the performance by the Department, its personnel or any of its authorized agents of any duty under the provisions of this Act or refused to permit the personnel or authorized agents to perform their duties by refusing them upon proper presentation of a written order of the Department, entrance to any premises at reasonable hours.

Radiation Protection Programs
P.O. Box 415
Trenton, NJ 08625-0415

CERTIFIED MAIL/RRR

####

IN THE MATTER OF

XXXXXXXXXXXXX

XXXXXXXXXXXXX

XXXXXXXXXXXXX

Attention: XXXXXXXX

: ADMINISTRATIVE ORDER

:

:

:

EA ID # PEA##### - #####

ALT PI ID # NJSL-#####/##

This Administrative Order (hereinafter ORDER) is issued pursuant to the authority vested in the Commissioner of the New Jersey Department of Environmental Protection (hereinafter NJDEP or the Department) by N.J.S.A. 13:1D-1 et seq., and the Radiation Protection Act, N.J.S.A. 26:2D-9m (the "Act"), and duly delegated to the Assistant Director of Radiation Protection and Release Prevention Programs, pursuant to N.J.S.A. 13:1B-4.

FINDINGS

1. XXXXXXXXXX owns and/or operates a facility located at XXXXXXXXXXXXXXXX XXXXXX XXXXXX (ID# #####).
2. As the result of an investigation(s) conducted on November 13, 2006, the Department has determined that XXXXXXXXXX failed to comply with applicable requirements as follows:

Requirement: Pursuant to N.J.A.C. 7:28-7.1(b), The State licensee or registrant shall ensure that radiation levels shall be determined with the use of suitable instruments and methods.

Description of Noncompliance: The investigation disclosed that you failed to determine radiation levels in controlled areas with the use of suitable instruments and/or methods. Specifically, from August 22, 2006 to September 20, 2006 you conducted surveys with Ludlum 14C Serial #219333 while it was not in calibration, contrary to condition 22D of your New Jersey Radioactive Materials License.

3. Based on the facts set forth in these FINDINGS, the Department has determined that XXXXXXXXXXXX has violated the Radiation Protection Act, N.J.S.A. 26:2D-1 et seq., and the regulations promulgated pursuant thereto, specifically N.J.A.C. 7:28-7.1(b).

ORDER

NOW, THEREFORE, IT IS HEREBY ORDERED THAT:

4. XXXXXXXXXXXX shall comply with the following:
IMMEDIATELY, cease operation or comply with N.J.A.C. 7:28-7.1(b).
5. This Order shall be effective upon receipt.
6. IN ADDITION, you are required to provide written notification to the Bureau of Environmental Radiation, P.O. Box 415, Trenton, NJ 08625-0415, within 30 days, identifying the steps taken to cease the above violation(s) of the code.

NOTICE OF RIGHT TO A HEARING

7. Pursuant to N.J.S.A. 52:14B-1 et seq., XXXXXXXXXXXX is entitled to request a hearing. XXXXXXXXXXXX shall, in its request for a hearing, complete and submit the enclosed ADMINISTRATIVE HEARING REQUEST AND CHECKLIST TRACKING FORM along with all required information, within twenty (20) calendar days from receipt of this Administrative Order. If no request for a hearing is received within twenty (20) calendar days, this Administrative Order shall become final on the twenty-first (21st) day. Submittal or granting of a hearing request does not stay the terms or effect of this ORDER.

GENERAL PROVISIONS

8. This ORDER is binding on XXXXXXXXXXXX their principals, directors, officers, agents, successors, assigns, employees, tenants, any trustee in bankruptcy or other trustee, and any receiver appointed pursuant to a proceeding in law or equity.
9. No obligations imposed by this ORDER are intended to constitute a debt which should be limited or discharged in a bankruptcy proceeding. All obligations are imposed pursuant to the police powers of the State of New Jersey, intended to protect the public health, safety, welfare and the environment.
10. This ORDER is issued only for the violation(s) identified in the FINDINGS hereinabove and that violations of any statutes or rules other than those herein cited may be cause for additional enforcement actions, either administrative or judicial, being instituted. By issuing

this ORDER, NJDEP does not waive its rights to initiate additional enforcement actions.

11. Neither the issuance of this ORDER nor anything contained herein shall relieve xxxxxx of the obligation to comply with all applicable laws, including but not limited to the statutes and regulations cited herein.
12. Pursuant to N.J.S.A. 26:2D-13, any person who violates the provisions of the Act, or any rule, regulation or order promulgated or issued pursuant thereto shall be liable to a penalty of up to \$2,500. If the violation is of a continuing nature, each day during which it continues shall constitute an additional, separate and distinct offense.
13. Pursuant to N.J.S.A. 26:2D-22, any person who purposely or knowingly violates the provisions of the Act, or any code, rule, regulation, administrative order or court order, promulgated or issued pursuant thereto, is guilty of a crime of the fourth degree.

DATE:

Paul Baldauf, P.E.
Assistant Director
Radiation Protection and
Release Prevention Programs

Administrative Hearing Request Checklist
and Tracking Form

I. Document Being Appealed: EA ID # PEA##### - #####

II. Person Requesting Hearing:

Date Document Issued

Name/Company

Name of Attorney (if applicable)

Address

Address

Telephone #

Telephone #

III. Please Include the Following Information As Part of Your Request:

- A. The date the alleged violator received the Enforcement Document.
- B. A **copy of the Enforcement Document** and a list of all issues being appealed.
- C. An admission or denial of each of the findings of fact, or a statement of insufficient knowledge;
- D. The defenses to each of the findings of fact in the enforcement document;
- E. Information supporting the request;
- F. An estimate of the time required for the hearing;
- G. A request, if necessary, for a barrier-free hearing location for physically disabled persons;
- H. A clear indication of any willingness to negotiate a settlement with the Department prior to the Department's processing of your hearing request to the Office of Administrative Law; and
- I. This form, completed, signed and dated with all of the information listed above, including attachment, to:

1. New Jersey Department of Environmental Protection
Office of Legal Affairs
Attention: Adjudicatory Hearing Requests
401 E. State Street, P.O. Box 402
Trenton, New Jersey 08625
2. Gail A. Palatine, Supervisor
Radiation Protection Programs
PO Box 415
Trenton, NJ 08625
Phone (609) 984-5634
3. All co-permittees (w/attachments)

IV. Signature: _____

Date: _____

Radiation Protection Programs
P.O. Box 415
Trenton, NJ 08625-0415

CERTIFIED MAIL/RR

#####

IN THE MATTER OF
XXXXXXXXXXXXX
XXX XXXXXX XX
XXXXXXXXXX, XX XXXXX

**NOTICE OF
PROSECUTION**

EA ID # PEA##### - #####
ALT PI ID #NJSL-#####/##

This NOTICE OF PROSECUTION is issued pursuant to the authority vested in the Commissioner of the New Jersey Department of Environmental Protection (The "Department") by N.J.S.A. 13:1D-1 et seq. and the Radiation Protection Act, N.J.S.A. 26:2D-13 (the "Act") and duly delegated to the Assistant Director of Radiation Protection and Release Prevention Programs, pursuant to N.J.S.A. 13:1B-4.

FINDINGS

1. As a result of an investigation conducted on XXXXXX XX XXXX, the Department has determined that at a facility owned and/or operated by you, located at XXXX XX XXXX XXXXXX XX XXXXX (ID# 301551), you violated the New Jersey Administrative Code, Title 7, Chapter 28, Subchapter(s) and Section(s) as follows:

Requirement: Pursuant to N.J.A.C. 7:28-7.1(b), The State licensee or registrant shall ensure that radiation levels shall be determined with the use of suitable instruments and methods.

Description of Noncompliance: The investigation disclosed that you failed to determine radiation levels in controlled areas with the use of suitable instruments and/or methods. Specifically, from August 22, 2006 to September 20, 2006 you conducted surveys with Ludlum 14C Serial #219333 while it was not in calibration, contrary to condition 22D of your New Jersey Radioactive Materials License.

OFFER OF SETTLEMENT

2. Pursuant to N.J.S.A. 26:2D-13 et seq., the Department's offer of settlement for the violation(s) listed above is \$ 300.00. This offer of settlement must be paid on or before 30 days from your receipt of this document, by check or money order payable to the Treasurer, State of New Jersey. Payment shall be remitted along with the enclosed "Enforcement Invoice" to:

N.J. Department of Treasury
Division of Revenue
P.O. Box 417
Trenton, NJ 08646-0417

3. If you fail to accept the Department's offer of settlement and/or fail to comply with the requirements of N.J.S.A. 26:2D-13 et seq., this matter will be referred to the Office of the Attorney General with the recommendation to seek injunctive relief and maximum penalties for each violation as provided by law.

GENERAL PROVISION

4. Pursuant to N.J.S.A. 26:2D-13 et seq., any person who violates the Act, or any rule, regulation or order promulgated or issued pursuant thereto shall be liable to a penalty of up to \$2,500.00. If the violation is of continuing nature, each day during which it continues shall constitute an additional, separate and distinct offense.

Dated:

Paul Baldauf, P.E.
Assistant Director
Radiation Protection and
Release Prevention Programs

DEP Administrative Hearing Process

When the department issues a permit or takes an enforcement action, it does so under one or more of the statutes that charge the department with specific environmental protection duties and responsibilities, such as the Air Pollution Control Act or the Water Pollution Control Act. When an individual or company decides to appeal the permit decision or enforcement action, the Administrative Procedure Act, or APA (N.J.S.A. 52:14B-1 et seq.), comes into play and provides the framework under which both the appellant and the department will pursue the appeal. It is important to note that the APA does not provide the right to a hearing. That right must be established by the specific statute or as a matter of constitutional due process.

To illustrate the process, assume a company has decided to appeal a permit decision or an enforcement action issued to it by the department. The first step is to file a request for an administrative hearing. The permit decision or enforcement document will explain the right to request a hearing, with a citation of the applicable environmental statute and corresponding DEP rule that provide for the right to a hearing and set the deadline by which the hearing request must be submitted. The permit or enforcement document may incorporate a hearing request form to fill out and submit to the department. If so, the form should be completed according to the instructions. All hearing requests must be submitted to the Office of Legal Affairs, which manages the hearing request process, and to the department program that issued the permit decision or enforcement document by the applicable deadline.

Since the deadlines for submitting the hearing request vary among the DEP programs, varying from as short as 10 days to as much as 30 days, it is very important to check the applicable DEP rule for the deadline. Lateness is grounds for denying a hearing request.

If the hearing request is incomplete, the department will send a letter asking for the missing information. When the request is complete, the department will determine if the matter is a "contested case" under the applicable statute and rules and, if so, send a letter granting the hearing request. The department will then transmit the case to the Office of Administrative Law (OAL) which conducts "contested case" hearings for agencies under the APA. OAL will docket the case and assign it to an Administrative Law Judge (ALJ) for hearing.

The department will arrange for a deputy attorney general to represent its interest at the hearing. The OAL's rules require that corporations be represented by an attorney, although a close corporation may be represented by a principal of the corporation.

Once the department transmits a case to the OAL, the OAL acquires jurisdiction over the matter and assigns an ALJ to manage the hearing process. The hearing is conducted in accordance with the OAL's rules, and generally proceeds like a civil trial in the courts with both sides presenting witnesses and evidence to the ALJ as fact-finder. The ALJ must issue a recommended "initial decision" within 45 days after the hearing ends and submit it to the DEP Commissioner for consideration. The parties have 13 days to submit to the department any objections, termed "exceptions" under the OAL rules, to the ALJ's initial decision.

Within 45 days from the issuance of the initial decision, unless the Commissioner seeks and is granted an extension of time by the OAL, the Commissioner must issue

a "final decision" in the matter. The final decision will accept, reject, or modify the initial decision. The Commissioner's final decision is appealable only to the Appellate Division of the Superior Court, which will review the decision based on the record created during the OAL hearing.

There are several opportunities along the way for the company appealing the permit decision or enforcement action to try to settle the matter with the department and avoid going to hearing. Settlements are generally favored in the administrative hearing process, as they are in the courts, because they save time and expense and because reaching a compromise helps preserve what, in many situations, will be an on-going working relationship with the department.

The department's hearing request forms ask if the person or company submitting the hearing request is willing to try to negotiate a settlement. The OAL's rules provide a 30-day period from when an agency receives a request for hearing till transmittal of the case to OAL for the agency to attempt settlement. This 30-day period can be extended if both sides consent.

Many pre-transmittal settlements reflect agreements reached through direct negotiations between regulating programs and permittees. An alternative settlement forum is offered by the department's Office of Dispute Resolution. Here the department's dispute resolution officer mediates the settlement effort between the program and the permittee. More information about the Office of Dispute Resolution is available on the department's website at www.state.nj.us/dep/adr.

Even after a case is transmitted to the OAL, the parties may agree to a settlement. In that event, the matter is either withdrawn by the party that requested the hearing or else the settlement is memorialized on the record, approved by the ALJ in an initial decision and then filed with the Commissioner for final decision.

A settlement, whether reached with a department program, under the auspices of the Office of Dispute Resolution or at the OAL, is the final determination of the permit or enforcement appeal and is fully enforceable.

CASE MANAGEMENT SOP

This Standard Operating Procedure (SOP) describes the steps Enforcement personnel must follow when involved in case management resulting from an Enforcement Action (EA) being issued. This SOP will cover the following case management scenarios:

- A) AN EA HAS BEEN ISSUED AND THE FACILITY SUBMITS CORRESPONDENCE OR CONTACTS THE CASE MANAGER BY PHONE TO ATTEMPT TO RESOLVE THE ISSUE WITHOUT SUBMITTING A HEARING REQUEST.
- B) AN EA HAS BEEN ISSUED AND THE FACILITY HAS SUBMITTED A HEARING REQUEST.
- C) EXECUTING A SETTLEMENT AGREEMENT WITHOUT A PREVIOUS EA.
- D) EXECUTING AN ADMINISTRATIVE CONSENT ORDER WITHOUT A PREVIOUS EA.
- E) SETTling MULTIPLE EAS IN ONE SETTLEMENT AGREEMENT.
- F) RESCINDING ALL OR SOME OF THE VIOLATIONS CONTAINED IN THE EA.
- G) THE STEPS NECESSARY IF THE FACILITY REQUESTS AN EXTENSION TO THE COMPLIANCE DEADLINE.
- H) THE CASE IS SCHEDULED FOR ALTERNATIVE DISPUTE RESOLUTION (ADR).

- A) AN EA HAS BEEN ISSUED AND THE FACILITY SUBMITS CORRESPONDENCE OR TELEPHONES REQUESTING THAT AN ATTEMPT BE MADE TO SETTLE THIS CASE WITHOUT SUBMITTING A HEARING REQUEST.

1. When receiving the correspondence (written or verbal) the inspector/supervisor will enter the task "receive correspondence" in the Activity Tracking of the EA activity (gray bar) and put in a Completed Date. The completed date will be the date stamped on the letter when received in your office, or the date that either the inspector or the supervisor received a phone call from the facility requesting an attempt to settle the case. For phone call requests, a comment must be added in the Comment field of the task "receive correspondence" that this correspondence was received by telephone and who made the request for settlement. You are not required to fill in Hours To Complete for this task.
2. The supervisor or program designated representative ("Supervisor") needs to open the Assessments screen for this activity, by having the EA highlighted, right clicking on the mouse and dropping down to Assessments. The Bill record must be changed to Open (Suspended) in order to stop the issuance of 2nd and 3rd Notices by Treasury while negotiations occur. This must follow the procedures outlined in the training manual for Assessments.

3. Once settlement activities begin, the inspector must open the **Activity Tracking** for the EA and add the task "**case management.**" The case management task will include all negotiation activities, such as phone conversations, letters, and internal meetings to discuss settlement. The **Hours To Complete** will be a cumulative total of all the above activities. During case management activities, there must be interaction between the inspector and their supervisor as well as upper management with whom the authority for settlement rests. **No Completed Date shall be entered until settlement has been reached and satisfied.**
4. If a formal settlement meeting is held, the inspector must open the **Activity Tracking** for the EA and add the task "**settlement conference.**" The **Completed Date** is the date of the meeting and **Hours To Complete** must be completed to account for the inspectors time spent at the meeting, including any pre-meeting activities. If other DEP personnel attend the meeting, each person must also add the task "**settlement conference**" with their name as **Assigned To** and the hours they spent at this meeting in the **Hours To Complete** column. If more than one meeting is conducted prior to settlement, a separate task "**settlement conference**" must be added for each meeting date.
5. After each meeting held, the inspector must create and complete a **Settlement Conference Summary** document. The inspector creates this document by clicking on the **Create New Document** button with an activity highlighted under the EA activity gray bar. Leaving the left side of the document creation screen as it defaulted in (so this document appears under this same gray bar) and changing the **Document Type** to **Word Processing** and choosing the **Settlement Conference Summary** boilerplate document from the list of available documents. Change the **Title** to reflect the date of the settlement conference. Include all items discussed, and conclusions/recommendations reached.
6. At this point, all preliminary negotiations should be concluded so the inspector needs supervisory approval to proceed with a settlement or not. The inspector will open **Activity Tracking** under the EA gray bar and add the task "**review & approval**" and change the **Assigned To** column to their supervisor's name.
7. The supervisor will review the recommendations that have resulted from the settlement negotiations and approve these recommendations by entering a **Completed Date** in the "**review & approval**" task as well as adding **Hours To Complete** this task and any **Comments**.

IF SETTLEMENT IS REACHED:

- 8a. The inspector will create a new activity by clicking on the **Create New Document** button and choosing the **Category – Enforcement; Class – Negotiated Enforcement Action; ID – New; Type – Settlement Agreement; Type – Form and Template – Enforcement Action**. The **Title** must be changed to clearly describe which action(s) this document settles. Click **OK** to create. You will then **bring forward** the information from the original EA that you are settling. Open the EA screen and make any necessary changes that were agreed to during the negotiation process as well as change the **Penalty Assessed** amounts per violation and/or the total **Administrative Penalty Assessment** to match the totals agreed to in the settlement.
- 9a. With all the negotiated changes being made on the EA screen, the inspector will then create and prepare the **Settlement Agreement** word document. The word document needs to state which document this is settling, whether it be in a cover letter or adding text to the word document or both. The default tasks for preparation through issuance are in the **Activity Tracking** log under this activity's gray bar. The completion of these default tasks and the hours to complete are outlined in the **Hours To Complete SOP**. The word document shall be mailed to the facility unsigned by the Department.
- 10a. During this **Settlement Agreement** preparation period, the supervisor/inspector must open the **Activity Tracking** log for the original EA that is being settled and change any **Corrective Action** tasks **Status to Transferred**.
- 11a. The **Document Status** for the original EA will be changed to **Settlement Pending** until all the conditions of **Negotiated Settlement** have been met. The original EA is still **Effective** even though the status has been changed to **Settlement Pending**, since a condition of the **Negotiated Settlement** states that should the violator fail to pay the penalty in accordance with the terms and conditions of the **Negotiated Settlement**, the original EA becomes a final order and the full penalty amount is then due. The **Bill** for the original EA will remain **Open (Suspended)**, until payment has been received (in full where there are installments).
- 12a. When the document is returned to the Department signed by the facility, the appropriate Department representative will sign and date the document. The supervisor will then lock the EA and the word document and change the document status to **Effective** with the **Effective Start Date** being the date that the Department representative signed and dated the **Settlement Agreement**.
- 13a. The supervisor will need to go in and create a new **Assessment** and **Bill** to be issued to the facility with a copy of the signed and effective **Settlement Agreement**. This can be done one of two ways (automatically or manually). **Automatically:** The supervisor enters the completed date for the **Create Bill** task. When the completed date has been entered for the **Create Bill** task, an **Assessment** and **Bill** will

automatically be created, with a status of **Open (Included)**. **Manually:** The supervisor can create a new Assessment and Bill by using the wizard functions. If creating the Assessment and Bill manually, do not enter a completed date for the **Create Bill** task in Activity Tracking. This will create a duplicate Assessment and Bill. The original Bill for the EA will remain **Open (Suspended)**, until payment has been received (in full where there are installments).

- 14a. The inspector must follow-up to make sure that the facility complies with the **Settlement Agreement**.
- 15a. Once the full settlement amount has been received, the supervisor will **Reactivate** the original **EA Bill** through the **Wizard** function, and mark the **Bill Closed (Cancelled)** with a comment added stating that **this Bill has been superceded by NEA # which is included in NJEMS Bill ID #**. [Note: In order to Cancel the Bill, the **Bill Status** must be **Open (Pending Payment)**, therefore, you must reactivate the **Bill** prior to canceling the **Bill**.] The creation of this new assessment and closing out the old assessment must follow the procedures outlined in the training manual for **Assessments**.
- 16a. If the violator complies with the **Settlement Agreement**, the supervisor must then highlight the **Settlement Agreement** and change the **Document Status** to **Closed** and then highlight the original **EA** and change the **Document Status** to **Superceded**. The supervisor must also cancel the original **Bill**. In order to do this, the **Bill** must be **Reactivated** through the wizard function. Only **Bills** with a status of **Open (Suspended)** can be reactivated. Once the **Bill** has been **Reactivated**, the supervisor must change the **Bill** status to **Closed (Cancelled)**.
- 17a. If the violator fails to comply with the conditions of the **Settlement Agreement**, the supervisor must then highlight the **Settlement Agreement** and change the **Document Status** to **Void**. The **Bill** must be changed from **Open (Pending Payment)** to **Closed (Cancelled)**. The original **EA's Document Status** must be changed from **Settlement Pending** to **Effective**. The supervisor will need to change the **Bill** status from **Suspended** to **Open (Pending Payment)**. In order to do this, the supervisor must **Reactivate** the **Bill** through the wizard function. Only **Bills** with a status of **Suspended** can be reactivated. Once the **Bill** has been reactivated, the clock will start ticking, and depending on the time lapsed prior to suspension, the **Bill Type** could change to either **2nd** or **3rd** **Notice**. If the **Bill Type** changes to either of these **Notices**, the **Bill** will be printed at and issued from **Treasury**, since **2nd** and **3rd** **Notices** no longer print locally.
- 18a. If the violator fails to return the **Settlement Agreement** within a reasonable time, the supervisor must then highlight the **Settlement Agreement** and change the **Document Status** to **Withdrawn**. In addition, the supervisor must return the **Document Status** of the original document back to **Effective**. The supervisor will need to change the original **EA Bill** status from **Suspended** to **Open (Pending Payment)**, with a comment added stating why the document is **Withdrawn**. In

order to do this, the supervisor must **Reactivate** the **Bill** through the wizard function. Only **Bills** with a status of **Suspended** can be reactivated. Once the **Bill** has been reactivated, the clock will start ticking, and depending on the time lapsed prior to suspension, the **Bill Type** could change to a either **2nd** or **3rd** **Notice**. If the **Bill Type** changes to either of these **Notices**, the **Bill** will be printed at and issued from **Treasury**, since **2nd** and **3rd** **Notices** no longer print locally.

IF NO SETTLEMENT IS REACHED:

- 8b. If no settlement can be reached, the matter can be handled one of two ways. For programs other than **Air and Right to Know**, the supervisor can authorize a **BECS** staff member to forward the penalty portion to the State's collection agency (**OSI**), and forward the compliance portion to the **AG's** office, or the program can choose to forward the entire case to the **AG's** Office for judicial action to enforce compliance and collection of penalties.
- 9b. The inspector must create and complete a **Referral to DAG** document. This document is created by clicking on the **Create New Document** button with the **EA** activity highlighted under the **EA** activity gray bar. Leaving the left side of the document creation screen as it defaulted in (so this document appears under this same gray bar) and changing the **Document Type** to **Word Processing** and choosing the **Referral to DAG** boilerplate document from the list of available documents. Change the **Title** to reflect the matter being referred.
- 10b. The inspector must then open the **Activity Tracking** log for the **EA** being referred and add the tasks "**referred to DAG**" and "**review & approval**." For the "**referred to DAG**" task, the inspector will enter the time it took to prepare the **Referral to DAG** document in the **Hours To Complete** column. For the **review & approval** task the inspector needs to change the **Assigned To** column to their supervisor's name.
- 11b. The supervisor reviews the **Referral to DAG** document and locks this word document. The supervisor will then open **Activity Tracking**, enter a **Completed Date** for the "**review & approval**" task and also enter a **Completed Date** for the "**referred to DAG**" task when the **Referral to DAG** document has been sent.
- 12b. When a **BECS** staff member receives information assigning a **DAG** to the case, the **BECS** staff member shall open the **EA** screen and add the information into the data field for **DAG Assigned**. (The **DAG Assigned** field is always editable.)
- 13b. If settlement or court action results with **DAG** involvement, the **DAG** will prepare the required **Stipulation of Settlement**. At this time, the **DAGs** will be preparing these documents outside of **NJEMS**. To capture the results of the **Stipulation of Settlement** in **NJEMS**, the inspector will create a new activity by clicking on the **Create New Document** button and choosing the **Category – Enforcement; Class – Negotiated Enforcement Action; ID –New; Type – Stipulation of Settlement;**

Type – Form and Template – Enforcement Action. The Title shall be changed to clearly describe which action(s) this document settles. Click **OK** to create. You will then **bring forward** the information from the original EA that you are settling. Open the EA screen and make any necessary changes that were agreed to during the settlement/hearing process as well as change the **Penalty Assessed** amounts per violation and/or the **Total Administrative Penalty Assessment** to match the totals agreed to in the **Stipulation of Settlement**. If payments are requested over time and interest is to be added, a new row must be added under Total Administrative Penalty to capture the Interest.

- 14b. With all the negotiated/court ordered changes being made on the EA screen, the inspector will then create a blank word document and then copy and paste a copy of the **Stipulation of Settlement**. To have the ability to copy and paste the **Stipulation of Settlement** into a blank word document, the inspector needs to request an electronic copy of the document from the DAG. The default tasks for preparation through issuance are in the **Activity Tracking** log under this activities gray bar. The completion of these default tasks and the hours to complete are outlined in the **Hours to Complete SOP**. The DAG will generally mail the document to the facility unsigned by the Department. When the document is returned to the Department signed by the facility, the appropriate Department representative will sign and date the document. The supervisor will then **Lock** the EA and the word document and change the **Document Status** to **Effective** with the **Effective Start Date** being the date that the Department representative signed and dated the **Stipulation of Settlement**.
- 15b. The supervisor will need to go in and create a new **Assessment and Bill**, either manually or automatically (see “**If Settlement is Reached,**” paragraph 13a.), to be issued to the facility with a copy of the signed and effective **Stipulation of Settlement**. The original **Bill**, should remain **Open (Suspended)** until payment has been received (in full where there are installments).
- 16b. The **Document Status** for the original EA will be changed to **Settlement Pending** until all the conditions of the **Stipulation of Settlement** have been met. The original EA is still **Effective** even though the status has been changed to **Settlement Pending**, since a condition of the **Stipulation of Settlement** states that should the violator fail to pay the penalty in accordance with the terms and conditions of the **Stipulation of Settlement**, the original EA becomes a final order and the full penalty amount is then due. The **Bill** for the original EA must remain **Open (Suspended)**, until payment has been received (in full where there are installments).
- 17b. During this **Stipulation of Settlement** preparation period, the inspector must open the **Activity Tracking** log for the original EA that is being settled and change any **Corrective Action** tasks status to **Transferred**.

- 18b. The inspector must follow-up to make sure that the facility complies with the **Stipulation of Settlement**.
- 19a. If the violator complies with the **Stipulation of Settlement** (i.e., both physical compliance with any corrective actions has occurred, as well as payment in full of any penalty), the supervisor must then highlight the **Stipulation of Settlement** and change the **Document Status** to **Closed** and then highlight the original EA and change the **Document Status** to **Superseded**. The **Actual End Date** of this document should be set to the **Effective Start Date** of the **Stipulation of Settlement**. The supervisor must also cancel the original **Bill**. In order to do this, the **Bill** must be **Reactivated** through the wizard function. Only **Bills** with a status of **Open** (**Suspended**) can be reactivated. Once the **Bill** has been **Reactivated**, the supervisor must change the **Bill** status to **Closed** (**Cancelled**).
- 20a. If the violator fails to comply with the conditions of the **Stipulation of Settlement**, the supervisor must then highlight the **Stipulation of Settlement** and change the **Document Status** to **Void**. The **Bill** must be changed from **Open** (**Pending Payment**) to **Closed** (**Cancelled**), with a comment added stating why the document is now **Void**. The original EA's **Document Status** must be changed from **Settlement Pending** to **Effective**. The supervisor will need to change the **Bill** status from **Suspended** to **Open** (**Pending Payment**). In order to do this, the supervisor must **Reactivate** the **Bill** through the wizard function. Only **Bills** with a status of **Suspended** can be reactivated. Once the original **Bill** has been reactivated, the clock will start ticking, and depending on the time lapsed prior to suspension, the **Bill Type** could change to either **2nd** or **3rd** **Notice**. If the **Bill Type** changes to either of these **Notices**, the **Bill** will be printed at and issued from **Treasury**, since **2nd** and **3rd** **Notices** no longer print locally.

NOTE FOR PROGRAMS THAT ISSUE PENALTY DEMAND LETTERS: Prior to the Referral to DAG, if the EA involves the issuance of a penalty and payment has not been received, the program has the discretion to send the violator a **Penalty Demand Letter** requesting payment of the penalty within 15 days of receipt of the letter. This document is created by clicking on the **Create New Document** button with the EA activity highlighted under the EA activity gray bar. Leaving the left side of the document creation screen as it defaulted in (so this document appears under this same gray bar) and changing the document type to **Word Processing** and choosing the **Penalty Demand Letter** boilerplate document from the list of available documents. Change the Title to reflect the matter being referred.

NOTE FOR AIR & RTK PROGRAMS: If the EA contains any outstanding compliance issues and the document becomes a final order and no settlement can be reached, a referral to the DAG for outstanding compliance issues must be prepared as outlined in steps 8b through 12b above. In the DAG referral, it must be stated that the penalty portion of the order is outstanding and procedures are in place to refer the collection of penalties to a collection agency.

B) AN EA HAS BEEN ISSUED AND THE FACILITY HAS SUBMITTED A HEARING REQUEST.

1. When a **Hearing Request** is received by OLA, a BECS staff member will change the document status to **Hearing Requested** and the date the Hearing Request was received. The document status change will automatically update Activity Tracking with the task Hearing Request Received and the completed date.
2. There is a need for someone (OLA or programs) to review and either approve or deny the hearing request. If this decision is made, then a BECS staff member will add the appropriate task "**hearing request approved**" or "**hearing request denied**" in Activity Tracking to document this approval or denial.
3. The BECS staff member will go into **Assessments** and change the **Bill Record** for the EA to a status of **Open (Suspended)**. This will halt the creation of 2nd and 3rd Notices by Treasury.
4. If the facility requests to attempt to settle the issue prior to the hearing, the inspector must open the **Activity Tracking** for the EA and add the task "**case management.**" The case management task will include all negotiation activities, such as phone conversations, letters, and internal meetings to discuss settlement. The **Hours To Complete** will be a cumulative total of all the above activities. During all case management activities, there must be interaction between the inspector and their supervisor as well as upper management with whom the authority for settlement rests. If Program applicable, case management details will be memorialized in a blank word document entitled **Case Management** under the appropriate EA gray bar.
5. If a formal settlement meeting is held, the inspector must open the **Activity Tracking** for the EA and add the task "**settlement conference.**" The **Completed Date** is the date of the meeting and **Hours To Complete** must be completed to account for the inspectors time spent at the meeting, including any pre-meeting activities as well the time spent to prepare the **Settlement Conference Summary** document detailed in paragraph 6 below. If other DEP personnel attend the meeting, each person must also add the task "**settlement conference**" with their name as the staff assigned and the hours they spent at this meeting in the **Hours To Complete** column. If more than one meeting is conducted prior to settlement, a separate task "**settlement conference**" must be added for each meeting date.
6. After the meeting is held, the inspector must create and complete a **Settlement Conference Summary** document. The inspector creates this document by clicking on the **Create New Document** button with an activity highlighted under the EA activity gray bar. Leaving the left side of the document creation screen as it defaulted in (so this document appears under this same gray bar) and changing the **Document Type** to **Word Processing** and choosing the **Settlement Conference**

Summary boilerplate document from the list of available documents. Change the Title to reflect the date of the settlement conference.

7. At this point, all preliminary negotiations should be concluded so the inspector needs supervisory approval to proceed with a settlement or no settlement. The inspector will open **Activity Tracking** under the EA gray bar and add the task "review & approval" and change the **Assigned To** column to their supervisor's name.
8. The supervisor will review the recommendations that have resulted from the settlement negotiations and approve these recommendations by entering a **Completed Date** in the "review & approval" task as well as adding **Hours To Complete** this task and any **Comments**.

IF SETTLEMENT IS REACHED PRIOR TO AN ADMINISTRATIVE HEARING

- 9a. The inspector will create a new activity by clicking on the **Create New Document** button and choosing the **Category – Enforcement**; **Class – Negotiated Enforcement Action**; **ID – New**; **Type – Settlement Agreement**; **Type – Form and Template – Enforcement Action**. The Title shall be changed to clearly describe which action(s) this document settles. Click **OK** to create. You will then bring forward the information from the original EA that you are settling. Open the EA screen and make any necessary changes that were agreed to during the negotiation process as well as change the **penalty assessed** amounts per violation and/or the **Total Administrative Penalty Assessment** to match the totals agreed to in the settlement. If installments are requested then Interest must be calculated and added to the Enforcement Action screen, **Corrective Actions** tab under the Total Penalty row.
- 10a. With all the negotiated changes being made on the EA screen, the inspector will then create and prepare the **Settlement Agreement** word document. The word document needs to state which document this is settling, whether it be in a cover letter or adding text to the word document or both. The default tasks for preparation through issuance are in the **Activity Tracking** log under this activities gray bar. The completion to these default tasks and the hours to complete are outlined in the **Hours To Complete SOP**. The created document shall be mailed to the facility unsigned by the Department. ~~When the document is returned to the~~ Department signed by the facility, the appropriate Department representative will sign and date the document. The supervisor will then lock the EA and the word document and change the **Document Status** to **Effective** with the **Effective Start Date** being the date that the Department representative signed and dated the **Settlement Agreement**.
- 11a. The supervisor will need to create a new **Assessment and Bill**, either manually or automatically (see "If Settlement is Reached," paragraph 13a.), to be issued to the facility with a copy of the signed and effective **Stipulation of Settlement**. The

original Bill, should remain **Open (Suspended)** until payment has been received (in full where there are installments).

- 12a. The **Document Status** for the original EA will be changed to **Settlement Pending** until all the conditions of the **Settlement Agreement** have been met. The original EA is still **Effective** even though the status has been changed to **Settlement Pending**, since a condition of the **Settlement Agreement** states that should the violator fail to pay the penalty in accordance with the terms and conditions of the **Settlement Agreement**, the original EA becomes a final order and the full penalty amount is then due. The Bill for the original EA must remain **Open (Suspended)**, until payment has been received (in full where there are installments).
- 13a. During this **Settlement Agreement** preparation period, the inspector must open the **Activity Tracking** log for the original EA that is being settled and change any **Corrective Action** tasks **Status** to **Transferred**.
- 14a. The inspector must follow-up to make sure that the facility complies with the **Settlement Agreement**.
- 15a. If the violator complies with the **Settlement Agreement** (i.e., meaning that both physical compliance with any corrective actions has occurred, as well as payment of the penalty in full), the supervisor must then highlight the **Settlement Agreement** and change the **Document Status** to **Closed** and then highlight the original EA and change the **Document Status** to **Superseded**. The Actual End Date of this Document should be the Effective Start Date of the Settlement Agreement. The supervisor must also cancel the original Bill. In order to do this, the Bill must be **Reactivated** through the wizard function. Only Bills with a status of **Open (Suspended)** can be reactivated. Once the Bill has been **Reactivated**, the supervisor must change the Bill status to **Closed (Cancelled)**.
- 16a. If the violator fails to comply with the conditions of the **Settlement Agreement**, the supervisor must then highlight the **Settlement Agreement** and change the Document Status to **Void**. The Bill must be changed from **Open (Pending Payment)** to **Closed (Cancelled)**, with a comment added stating why the document is now **Void**. The original EA's Document Status must be changed from **Settlement Pending** to **Effective**. The supervisor will need to change the Bill status from **Suspended** to **Open (Pending Payment)**. In order to do this, the supervisor must **Reactivate** the Bill through the wizard function. Only Bills with a status of **Suspended** can be reactivated. Once the Bill has been **Reactivated**, the clock will start ticking, and depending on the time lapsed prior to suspension, the Bill Type could change to either 2nd or 3rd Notice. If the Bill Type changes to either of these Notices, the Bill will be printed at and issued from Treasury, since 2nd and 3rd Notices no longer print locally.

NO SETTLEMENT REACHED - PROCEED TO THE ADMINISTRATIVE HEARING PROCESS.

- 9b. When settlement is not reached, within 30 days of the date that the hearing request was received, the matter will proceed to an Administrative Hearing, unless an extension request is received by Legal Affairs, from the Program currently negotiating settlement.
- 10b. A BECS staff member will update NJEMS with the assignment of a DAG and OAL docket number.
- 11b. If a formal settlement meeting is held, prior to the hearing, the inspector must open the **Activity Tracking** for the EA and add the task **"mandatory settlement conference"**. The **Completed Date** is the date of the meeting and **Hours To Complete** must be completed to account for the inspectors time spent at the meeting, including any pre-meeting activities. If other DEP personnel attend the meeting, each person must also add the task **"mandatory settlement conference"** with their name as **Assigned To** and the hours they spent at this meeting in the **Hours To Complete** column. If more than one meeting is conducted prior to settlement, a separate task **"mandatory settlement conference"** must be added for each meeting date.
- 12b. If this process does not result in a settlement of the case and a hearing is scheduled, the inspector must open the **Activity Tracking** for the EA and add the task **"attend hearing"**, if applicable. The **Completed Date** is the date of the Administrative Hearing and the **Hours To Complete** must be completed to account for the inspectors time spent at the hearing, including any pre-hearing activities. If other DEP personnel attend the hearing, each person must also add the task **"attend hearing"** with their name as **Assigned To** and the hours they spent at this hearing in the **Hours To Complete** column. If the hearing lasts over multiple days, a separate **"attend hearing"** task must be added for each hearing date.
- 13b. If the Mandatory Settlement Conference or the Administrative Hearing results in a settlement or a final decision of the case, the DAG will prepare the required **Stipulation of Settlement**. At this time, the DAGs will be preparing these documents outside of NJEMS. To capture the results of the **Stipulation of Settlement** in NJEMS, the inspector will create a new activity by clicking on the **Create New Document** button and choosing the **Category – Enforcement; Class – Negotiated Enforcement Action; ID –New; Type – Stipulation of Settlement; Type – Form and Template – Enforcement Action**. The Title shall be changed to clearly describe which action(s) this document settles. Click **OK** to create. You will then **bring forward** the information from the original EA that you are settling. Open the EA screen and make any necessary changes that were agreed to during the settlement/hearing process as well as change the **Penalty Assessed** amounts per violation and/or the **Total Administrative Penalty Assessment** to match the totals agreed to in the settlement. If installment payments are requested and interest is to be added, a row needs to be added to the Enforcement Action screen, **Corrective Actions** tab under the **Total Administrative Penalty Assessment**, for Interest.

- 14b. With all the negotiated/court ordered changes being made on the EA screen, the inspector will then create a blank word document and then copy and paste a copy of the **Stipulation of Settlement**. To have the ability to copy and paste the **Stipulation of Settlement** into a blank word document, the inspector needs to request an electronic copy of the document from the DAG. The default tasks for preparation through issuance are in the **Activity Tracking** log under this activities gray bar. The completion to these default tasks and the hours to complete are outlined in the **Hours to Complete SOP**. The DAG will generally mail the document to the facility unsigned by the Department. When the document is returned to the Department signed by the facility, the appropriate Department representative will sign and date the document. The supervisor will then lock the EA and the word document and change the **Document Status** to **Effective** with the **Effective Start Date** being the date that the Department representative signed and dated the **Stipulation of Settlement**.
- 15b. The supervisor will need to create a new **Assessment and Bill**, either **Automatically or Manually** (see "**If Settlement is Reached**," paragraph 13a.), to be issued to the facility with a copy of the signed and effective **Settlement Agreement**. The original **Bill** for the EA will remain **Open (Suspended)**, until payment has been received (in full where there are installments).
- 16b. The **Document Status** for the original EA will be changed to **Settlement Pending** until all the conditions of the **Stipulation of Settlement** have been met. The original EA is still **Effective** even though the status has been changed to **Settlement Pending**, since a condition of the **Stipulation of Settlement** states that should the violator fail to pay the penalty in accordance with the terms and conditions of the **Stipulation of Settlement**, the original EA becomes a final order and the full penalty amount is then due. The **Bill** for the original EA will remain **Open (Suspended)**, until payment has been received (in full where there are installments).
- 17b. During this **Stipulation of Settlement** preparation period, the inspector must open the **Activity Tracking** log for the original EA that is being settled and change any **Corrective Action** tasks **Status** to **Transferred**.
- 18b. The inspector must follow-up to make sure that the facility complies with the **Stipulation of Settlement**.
- 19b. If the violator complies with the **Stipulation of Settlement** (i.e., meaning that both physical compliance with any corrective actions has occurred, as well as payment of the penalty in full), the supervisor must then highlight the **Stipulation of Settlement** and change the **Document Status** to **Closed** and then highlight the original EA and change the **Document Status** to **Superseded**. The Actual End Date of this Document should be the same as the Effective Start Date for the **Stipulation of Settlement**. The supervisor must also cancel the original **Bill**. In

order to do this, the **Bill** must be reactivated through the wizard function. Once the **Bill** has been **Reactivated**, the supervisor must change the **Bill** status to **Closed (Cancelled)**.

- 20b. If the violator fails to comply with the conditions of the **Stipulation of Settlement**, the supervisor must then highlight the **Stipulation of Settlement** and change the **Document Status** to **Void**. The **Bill** must be changed from **Open (Pending Payment)** to **Closed (Cancelled)**, with a comment added stating why document is now **Void**. The original **EA's Document Status** must be changed from **Settlement Pending** to **Effective**. The supervisor will need to change the **Bill** status from **Suspended** to **Open (Pending Payment)**. In order to do this, the supervisor must **Reactivate** the **Bill** through the wizard function. Only **Bills** with a status of **Suspended** can be reactivated. Once the **Bill** has been reactivated, the clock will start ticking, and depending on the time lapsed prior to suspension, the **Bill Type** could change to either **2nd** or **3rd** **Notice**. If the **Bill Type** changes to either of these **Notices**, the **Bill** will be printed at and issued from **Treasury**, since **2nd** and **3rd** **Notices** no longer print locally.

C) EXECUTING A SETTLEMENT AGREEMENT WITHOUT A PREVIOUS EA

1. The inspector identifies one or more violations that require the Department take an enforcement action. An example would be omissions or Serious or SNC violations in the NJPDES program, or failure to sample in the Safe Drinking Water Program.
2. The inspector communicates the Department's desire to settle the violations without the need to issue an Administrative Order and Penalty, or the inspector receives a request from the facility to settle the violations without the need to issue an Administrative Order and Penalty.
3. The inspector will create a new activity by clicking on the **Create New Document** button and choosing the **Category – Enforcement**; **Class – Negotiated Enforcement Action**; **ID –New**; **Type – Settlement Agreement**; **Type – Form and Template – Enforcement Action**. The **Title** shall be changed to clearly describe the document. Click **OK** to create.
4. After having received the correspondence requesting settlement (written or verbal) the Inspector will add the task "**receive correspondence**" in the **Activity Tracking** of the **EA** activity (gray bar) and put in a **Completed Date**. The completed date will be the date stamped on the letter when received in your office, or the date that either the Inspector or the Supervisor received a phone call from the facility requesting an attempt to settle the case. For phone call requests, a comment must be added in the **Comment** field of the task "**receive correspondence**" that this correspondence was received by telephone and who made the request for settlement. You are not required to fill in **Hours To Complete** for this task.

5. Once settlement activities begin, the inspector must open the **Activity Tracking** for the EA and add the task "**case management**." The case management task will include all negotiation activities, such as phone conversations, letters, and internal meetings to discuss settlement. The **Hours To Complete** will be a cumulative total of all the above activities. During all case management activities, there must be interaction between the inspector and their supervisor as well as upper management with whom the authority for settlement rests.
6. If a formal settlement meeting is held, the inspector must open the **Activity Tracking** for the EA and add the task "**settlement conference**." The **Completed Date** is the date of the meeting and **Hours To Complete** must be completed to account for the inspectors time spent at the meeting, including any pre-meeting activities. If other DEP personnel attend the meeting, each person must also add the task "**settlement conference**" with their name as **Assigned To** and the hours they spent at this meeting in the **Hours To Complete** column. If more than one meeting is conducted prior to settlement, a separate task "**settlement conference**" must be added for each meeting date.
7. After each meeting held, the inspector must create and complete a **Settlement Conference Summary** document. The Inspector creates this document by clicking on the **Create New Document** button with an activity highlighted under the EA activity gray bar. Leaving the left side of the document creation screen as it defaulted in (so this document appears under this same gray bar) and changing the **Document Type** to **Word Processing** and choosing the **Settlement Conference Summary** boilerplate document from the list of available documents. Change the **Title** to reflect the date of the Settlement Conference.
8. At this point, all preliminary negotiations should be concluded so the inspector needs supervisory approval to proceed with a settlement or not. The inspector will open **Activity Tracking** under the EA gray bar and add the task "**review & approval**" and change the **Assigned To** column to their supervisor's name.
9. The supervisor will review the recommendations that have resulted from the settlement negotiations and approve these recommendations by entering a **Completed Date** in the "**review & approval**" task as well as adding **Hours To Complete this task and any Comments**.

WHEN SETTLEMENT IS REACHED:

10. The inspector will open the EA screen and make any necessary changes that were agreed to during the negotiation process as well as change the **Penalty Assessed** amounts per violation and/or the **Total Administrative Penalty Assessment** to match the totals agreed to in the settlement.

11. With all the negotiated changes being made on the EA screen, the inspector will then create and prepare the **Settlement Agreement** word document. The default tasks for preparation through issuance are in the **Activity Tracking** log under this activities gray bar. The completion to these default tasks and the hours to complete are outlined in the **Hours to Complete SOP**. The created document shall be mailed to the facility unsigned by the Department. When the document is returned to the Department signed by the facility, the appropriate Department representative will sign and date the document. The supervisor will then lock the EA and the word document and change the **Document Status** to **Effective** with the **Effective Start Date** being the date that the Department representative signed and dated the **Settlement Agreement**.
12. The supervisor or program-designated representative will need to go in and create an **Assessment** and **Bill** to be issued to the facility with a copy of the signed and effective **Settlement Agreement**. The creation of this new assessment must follow the procedures outlined in the training manual for **Assessments**.
13. The inspector must follow-up to make sure that the facility complies with the **Settlement Agreement**.

D) EXECUTING AN ADMINISTRATIVE CONSENT ORDER WITHOUT A PREVIOUS EA

1. The inspector will create a new activity by clicking on the **Create New Document** button and choosing the **Category – Enforcement; Class – Negotiated Enforcement Action; ID –New; Type – Administrative Consent Order; Type – Form and Template – Enforcement Action**. The Title shall be changed to clearly describe the document. Click **OK** to create. If the **Administrative Consent Order** is a **Water ACO with Limits**, the inspector must choose that as the document type as it will require that a Water Permit document be carried forward. In that case, the Title should remain **Water ACO with Limits**.
2. The inspector will then create and prepare the draft **Administrative Consent Order** word document. The default tasks for preparation through issuance are in the **Activity Tracking** log under this activity's gray bar. The completion of these default tasks and the hours to complete are outlined in the **Hours to Complete SOP**. The draft document shall be mailed by the Department to the facility for their comment. The inspector should update the **Completed Date** for the task "send draft document to violator" in **Activity Tracking**.
3. If the inspector receives written correspondence, such as comments to the draft **Administrative Consent Order**, the inspector will add the task "receive correspondence" in the **Activity Tracking** of the EA activity (gray bar) and put in a **Completed Date**. The completed date will be the date stamped on the letter when received in your office.

4. Once settlement activities begin, the inspector must open the **Activity Tracking** for the EA and add the task "**case management.**" The case management task will include all negotiation activities, such as phone conversations, letters, and internal meetings to discuss settlement. The **Hours To Complete** will be a cumulative total of all the above activities. During all case management activities, there must be interaction between the inspector and their supervisor as well as upper management with whom the authority for settlement rests.
5. If a formal settlement meeting is held, the inspector must open the **Activity Tracking** for the EA and add the task "**settlement conference.**" The **Completed Date** is the date of the meeting and **Hours To Complete** must be completed to account for the inspector's time spent at the meeting, including any pre-meeting activities. If other DEP personnel attend the meeting, each person must also add the task "**settlement conference**" with their name as the **Staff Assigned** and the hours they spent at this meeting in the **Hours To Complete** column. If more than one meeting is conducted prior to settlement, a separate task "**settlement conference**" must be added for each meeting date.
6. After each meeting held, the inspector must create and complete a **Settlement Conference Summary** document. The inspector creates this document by clicking on the **Create New Document** button with an activity highlighted under the EA activity gray bar. Leaving the left side of the document creation screen as it defaulted in (so this document appears under this same gray bar) and changing the document type to **Word Processing** and choosing the **Settlement Conference Summary** boilerplate document from the list of available documents. Change the **Title** to reflect the date of the Settlement Conference.
7. At this point, all preliminary negotiations should be concluded so the inspector needs supervisory approval to proceed with the **Administrative Consent Order**. The inspector will open **Activity Tracking** under the EA gray bar and add the task "**review & approval**" and change the **Staff Assigned** to their supervisor's name.
8. The supervisor will review the recommendations that have resulted from the settlement negotiations and approve these recommendations by entering a **Completed Date** in the "**review & approval**" task as well as adding **Hours To Complete** this task and any Comments.

WHEN SETTLEMENT IS REACHED:

9. The inspector will open the EA screen and make any necessary changes that were agreed to during the negotiation process as well as change the **Penalty Assessed** amounts per violation and/or the **Total Administrative Penalty Assessment** to match the totals agreed to in the **Administrative Consent Order**.

10. With all the negotiated changes being made on the EA screen, the inspector will then finalize the **Administrative Consent Order** word document. The default tasks for preparation through issuance are in the **Activity Tracking** log under this activity's gray bar. The completion to these default tasks and the hours to complete are outlined in the **Hours to Complete SOP**. The final document shall be mailed to the facility unsigned by the Department. When the document is returned to the Department signed by the facility, the appropriate Department representative will sign and date the document. The supervisor will then lock the EA and the **Word document**. The supervisor will set the **Status** of the document to **Effective** using the **Document Status** screen. The **Effective Start Date** will be the date associated with the last of the two signatures on the **Administrative Consent Order**. A **Water Administrative Consent Order with Limits** must consider the need to have the facility public notice the relaxed limits when setting the document status and will use the extended version of the document status screen to properly set the phases for discharge monitoring purposes.
11. If necessary, the supervisor may need to create an **Assessment and Bill** to be issued to the facility with a copy of the signed and effective **Administrative Consent Order**. The creation of this **Assessment** must follow the procedures outlined in the training manual for **Assessments**.

The inspector must follow-up to make sure that the facility complies with the Administrative Consent Order. Upon updating the completed dates for all corrective actions and the payment of the full penalty, the inspector and supervisor may update the "action close out" task in Activity Tracking, as well as update the Document Status of the Administrative Consent Order to Closed.

E) SETTLING MULTIPLE EAs IN ONE SETTLEMENT AGREEMENT.

IF SETTLEMENT IS REACHED W/O DAG INVOLVEMENT:

1. The inspector will create a new activity by clicking on the **Create New Document** button and choosing the **Category – Enforcement; Class – Negotiated Enforcement Action; ID –New; Type – Settlement Agreement; Type – Form and Template – Enforcement Action**. The Title shall be changed to clearly describe which actions this document settles. Click **OK** to create. You will then **Bring Forward** the information from the original EAs that you are settling.
2. Open the EA screen and make any necessary changes that were agreed to during the negotiation process as well as change the **Penalty Assessed** amounts per violation and/or the **Total Administrative Penalty Assessment** to match the totals agreed to in the settlement. If installments are requested and interest is to be added, a new

row must be added to the Enforcement Action screen, Corrective Action tab under the Total Administrative Penalty Assessment to capture the Interest.

3. With all the negotiated changes being made on the EA screen, the inspector will then create and prepare the **Settlement Agreement** word document under the same activity gray bar. The word document needs to state which documents this is settling, whether it be in a cover letter or adding text to the word document or both. The default tasks for preparation through issuance are in the **Activity Tracking** log under this activities gray bar. The completion to these default tasks and the hours to complete are outlined in the **Hours to Complete SOP**. The created document shall be mailed to the facility unsigned by the Department.
4. During this **Settlement Agreement** preparation period, the inspector must open the **Activity Tracking** logs for all of the original EAs that are being settled and change all **Corrective Action** tasks **Status** to **Transferred**.
5. When the document is returned to the Department signed by the facility, the appropriate Department representative will sign and date the document. The supervisor will then lock the **EA** and the **Word document** and change the **Document Status** to **Effective** with the **Effective Start Date** being the date that the Department representative signed and dated the **Settlement Agreement**.
6. The **Document Status** for each of the original EAs will be changed to **Settlement Pending** until all the conditions of the **Settlement Agreement** have been met. The original EAs are still **Effective** even though the statuses have been changed to **Settlement Pending**, since a condition of the **Settlement Agreement** states that should the violator fail to pay the penalty in accordance with the terms and conditions of the **Settlement Agreement**, the original EAs become final orders and the full penalty amount of each **EA** is then due. The **Bills** for the original EAs must remain **Open (Suspended)**, until payment has been received (in full where there are installments).
7. The supervisor will need to create a new **Assessment** and **Bill**, either automatically or manually (see "**If Settlement is Reached, paragraph 13a.**"), to be issued to the facility with a copy of the signed and effective **Settlement Agreement**. The status of each **Bill**, for all of the previous **Enforcement Actions** being settled, must remain **Open (Suspended)**, until payment has been received (in full where there are installments).
8. The inspector must follow-up to make sure that the facility complies with the **Settlement Agreement**.
9. If the violator complies with the **Settlement Agreement** (i.e., meaning that physical compliance with any corrective actions has occurred, as well as payment of the penalty in full), the supervisor must then highlight the **Settlement Agreement** and change the **Document Status** to **Closed** and then highlight each of the original EAs

and change the **Document Status's to Superseded**. The Actual End Date of each Document should be the same as the Effective Start Date of the Settlement Agreement. The supervisor must also cancel all of the **Bills** for the original EAs. In order to do this, the **Bills** must be **Reactivated** through the wizard function. Once the **Bills** have been **Reactivated**, the supervisor must change the **Bills'** statuses to **Closed (Cancelled)**.

10. If the violator fails to comply with the conditions of the **Settlement Agreement**, the supervisor must then highlight the **Settlement Agreement** and change the **Document Status** to **Void**. The **Bill** must be changed from **Open (Pending Payment)** to **Closed (Cancelled)**, with a comment added stating why the document is now **Void**. The **Document Status** for the original EAs must be changed from **Settlement Pending** to **Effective**. The supervisor will need to change the **Bill** status for each original EA from **Suspended** to **Open (Pending Payment)**. In order to do this, the supervisor must **Reactivate** the **Bills** through the wizard function. Only **Bills** with a status of **Suspended** can be reactivated. Once the **Bills** have been reactivated, the clock will start ticking, and depending on the time lapsed prior to suspension, the **Bill Type** could change to either **2nd** or **3rd** Notice. If the **Bill Type** changes to either of these Notices, the **Bill** will be printed at and issued from Treasury, since **2nd** and **3rd** Notices no longer print locally.

IF SETTLEMENT IS REACHED WITH DAG INVOLVEMENT AND/OR AS A RESULT OF AN ADMINISTRATIVE HEARING

1. If a Settlement Conference or the Administrative Hearing results in a settlement or a final decision of the case, the DAG will prepare the required **Stipulation of Settlement**. At this time, the DAG's will be preparing these documents outside of NJEMS. To capture the results of the **Stipulation of Settlement** in NJEMS, the inspector will create a new activity by clicking on the **Create New Document** button and choosing the **Category – Enforcement**; **Class – Negotiated Enforcement Action**; **ID –New**; **Type – Stipulation of Settlement**; **Type – Form and Template – Enforcement Action**. The Title shall be changed to clearly describe which actions this document settles. Click **OK** to create. You will then bring forward the information from the original EAs that you are settling.
2. Open the EA screen and make any necessary changes that were agreed to during the settlement/hearing process as well as change the ~~Penalty Assessed~~ amounts per violation and/or the Total Administrative Penalty Assessment to match the totals agreed to in the **Stipulation of Settlement**. If installments are requested and interest is to be added, a row must be added on the Enforcement Action screen, Corrective Actions tab under the Total Administrative Penalty Assessment to capture the Interest.
3. With all the negotiated/court ordered changes being made on the EA screen, the inspector will then create a Blank Word document under the same EA gray bar and then copy and paste a copy of the **Stipulation of Settlement**. The default tasks for

preparation through issuance are in the **Activity Tracking** log under this activity's gray bar. The completion of these default tasks and the hours to complete are outlined in the Hours to Complete SOP. The DAG will generally mail the word document to the facility unsigned by the Department.

4. During this **Stipulation of Settlement** preparation period, the inspector must open the **Activity Tracking** log for each of the original EAs that are being settled and change any Corrective Action tasks **Status** to **Transferred**.
5. When the document is returned to the Department signed by the facility, the appropriate Department representative will sign and date the document. The supervisor will then lock the EA and the Word document and change the **Document Status** to **Effective** with the **Effective Start Date** being the date that the Department representative signed and dated the **Stipulation of Settlement**.
6. The **Document Status** for each original EA may be changed to **Settlement Pending**, until all the conditions of the **Stipulation of Settlement** have been met, if the **Stipulation of Settlement** states that failure to comply will result in the original EAs becoming Final Orders. In that case, the original EAs are still **Effective** even though the status has been changed to **Settlement Pending**, since a condition of the **Stipulation of Settlement** states that should the violator fail to pay the penalty in accordance with the terms and conditions of the **Stipulation of Settlement**, the original EAs become final orders and the full penalty amount is then due. The **Bills** for the original EAs will remain **Open (Suspended)**, until payment has been received (in full where there are installments). If however there is no such statement in the **Stipulation of Settlement**, then the **Document Status** of each original EA should be changed to **Superseded** and the **Bills** should be changed to a status of **Closed (Cancelled)**.
7. The supervisor will need to create a new **Assessment and Bill**, either manually or automatically (see "**If Settlement is Reached**," paragraph 13a.), to be issued to the facility with a copy of the signed and effective **Stipulation of Settlement**. The **Bills** for the original EAs must be **Open (Suspended)**, until payment has been received (in full where there are installments).
8. The inspector must follow-up to make sure that the facility complies with the **Stipulation of Settlement**.
9. If the violator complies with the **Stipulation of Settlement** (i.e., meaning that both physical compliance with any corrective actions has occurred, as well as payment of the penalty in full), the supervisor must then highlight the **Stipulation of Settlement** and change the **Document Status** to **Closed** and then highlight each of the original EAs and change the **Document Status** to **Superseded**. The Actual End Date of each of the Documents should be set to the same date as the Effective Start Date of the **Stipulation of Settlement**. The supervisor must also cancel the **Bills** for the original EAs. In order to do this, the **Bills** must be **Reactivated** through the wizard function.

Only Bills with a status of **Open (Suspended)** can be reactivated. Once the Bills have been **Reactivated**, the supervisor must change the Bills' statuses to **Closed (Cancelled)**.

10. If the violator fails to comply with the conditions of the **Stipulation of Settlement**, the supervisor must then highlight the **Stipulation of Settlement** and change the **Document Status** to **Void**. The Bill must be changed from **Open (Pending Payment)** to **Closed (Cancelled)**, with a comment added stating why the document is now **Void**. The **Document Status** for the original EAs must be changed from **Settlement Pending** to **Effective**. The supervisor will need to change the original Bills' statuses from **Suspended** to **Open (Pending Payment)**. In order to do this, the supervisor must **Reactivate** the Bills through the wizard function. Only Bills with a status of **Suspended** can be reactivated. Once the Bills have been reactivated, the clock will start ticking, and depending on the time lapsed prior to suspension, the Bills' Type could change to either 2nd or 3rd Notice. If the Bills' Type changes to either of these Notices, the Bills will be printed at and issued from **Treasury**, since 2nd and 3rd Notices no longer print locally.

NOTE: If the DAG does not include the language that should the violator fail to pay the penalty in accordance with the terms and conditions of the **Negotiated Settlement**, the original EA becomes a final order and the full penalty amount is then due, the **Stipulation of Settlement** shall then be referred to the DAG for injunctive relief and penalty collection.

F) RESCINDING SOME OR ALL OF THE VIOLATIONS CONTAINED IN THE EA

I. PROCEDURES TO RESCIND ONE OR MULTIPLE VIOLATIONS CONTAINED WITHIN THE EA. (Not to be used when rescinding an entire document – see F II. below)

1. In this case, the inspector must create an **Amended EA**. The inspector will create a new activity by clicking on the **Create New Document** button and choosing the **Category – Enforcement; Class – Prescribed Enforcement Action (or appropriate Class); ID –New; Type – The Type of Document being Amended; Type – Form and Template – Enforcement Action. The Title shall be changed** to clearly describe that this an **Amended EA**. Click **OK** to create. You will then bring forward the information from the original EA and choose the **Bring Forward Type as Amended**. Open the **Amended EA** and delete any of the violations that are being rescinded.
2. With all the changes being made on the **EA** screen, the inspector will then create and prepare the **Amended EA Word** document. The header of the word document needs to state which document it is amending, and a paragraph explaining the reason for the amendment must be included in the cover letter. The default tasks

for preparation through issuance are in the **Activity Tracking** log under this activities gray bar. The completion of these default tasks and the hours to complete are outlined in the **Hours to Complete SOP**.

3. The inspector will now open the **Activity Tracking** log for the **Amended EA** and put in the **Completed Date** for the "prepare document" task and **Hours To Complete**. The inspector also needs to make sure that the **Assigned To** for the "review & approval" task is set to their supervisors' name.
4. The supervisor will review and approve the **Amended EA** and issue the document. The **Activity Tracking** log will be opened to document the **Completed Date** and **Hours To Complete** for the tasks "review & approval" and "issuance of document".
5. When receipt of the **Amended EA**, by the violator, has been confirmed, either by hand delivery or receiving the certified return receipt, the supervisor will highlight the **Amended EA** and change the **Document Status** of the **Amended EA** to **Effective**. The **Effective Start Date** is set to reflect the date the violator received and/or signed for the **Amended EA**.
6. The supervisor then must highlight the original **EA** and change the **Document Status** to **Amended** and put in an **Actual End Date** which will be the date that the **Amended EA** became **Effective**.
7. The supervisor then needs to open the **Activity Tracking** log for the original **EA** and enter a **Completed Date** for the "action close out" task and add the **Comment** that this document is amended by the **Amended EA**.
8. Once the **Document Status's** have been changed, the supervisor needs to relay this information to the inspector so the following steps can be completed:
9. The inspector will open the **Activity Tracking** log of the original **EA** and set the **Subject Item** drop-down to **All**. For the corrective action(s) related to the violations that have been rescinded, the inspector will change the **Status** to **OK** and type in **Comments** that **violation has been rescinded**. For the corrective action(s) that have been brought forward into the **Amended EA**, change the **Status** to **Transferred** and type in **Comments** to see the **Amended EA**.
10. The final step is that the inspector needs to open the **Violation List** and find the violations that are being rescinded and change the **Violation Status** to **Rescinded**.
11. The supervisor must also enter the **Assessments** screen and mark the previous **Bill** record as **Closed (Cancelled)** and create a new **Assessment** and **Bill** record for the new Activity for the **Amended EA**. A note should be placed in the **Comments** field of the **Closed Bill** that this record was amended by **PEA (or NEA)** # included in **NJEMS Bill ID #**.

II. PROCEDURES TO RESCIND AN ENTIRE DOCUMENT. This procedure is not to be used when you are intending to Amend or Supersede the Original EA.

1. Once it is decided that the document issued should be rescinded in its entirety, the inspector needs to create a **Rescind Letter** to be mailed to the facility. This document is created by clicking on the **Create New Document** button with the EA activity highlighted under the EA activity gray bar. Leaving the left side of the document creation screen as it defaulted in (so this document appears under this same gray bar) and changing the **Document Type** to **Word Processing** and choosing the **Rescind Letter** document from the list of available documents. Change the **Title** to reflect the matter being rescinded.
2. The inspector will open **Activity Tracking** under the EA gray bar and add the tasks "prepare letter" and "review & approval" and change the **Assigned To** for the "review & approval" task to their supervisor's name. The inspector will put in a **Completed Date** and **Hours To Complete** for the "prepare letter" task.
3. The supervisor will now review and approve the **Rescind Letter** and enter a **Completed Date** and **Hours To Complete** in **Activity Tracking**.
4. With the EA highlighted, open the **Document Status** screen and change the **Document Status** to **Rescinded** and enter the **Actual End Date** as the date the supervisor has approved the **Rescind Letter**. By changing the **Document Status** to **Rescinded**, this will automatically update the **Violations** on the **Violation List** so that they have a **Violation Status** of **Rescinded**.
5. The last step is to open the **Activity Tracking** log for the EA and set the **Subject Item** drop-down to **All**. For all of the **Corrective Action** task(s), set the **Status** to **OK** and type in **Comments** that violation has been rescinded. Also, enter a **Completed Date** for the "action close out" task, which will be the same date as the date you entered as the **Actual End Date** for the **Document Status**.
6. The supervisor should then go to the **Assessments** screen and mark the associated **Bill** record as **Closed (Cancelled)**, noting in **Comments** that this document was rescinded, with the date it was rescinded.

G) THE STEPS NECESSARY IF THE FACILITY REQUESTS AN EXTENSION TO THE COMPLIANCE DEADLINE

1. The inspector will open **Activity Tracking** under the EA gray bar and add the task "extension requested" and put in **Comments** the method that the extension was requested, letter, phone etc. and the amount of time that was requested by the facility.

2. When a decision is made to grant or deny the extension, the supervisor will open **Activity Tracking** under the EA gray bar and add the appropriate task "extension granted" or "extension denied". The supervisor, or inspector as applicable, will put their name as **Assigned To** and put in a **Completed Date** and **Hours To Complete** the review of the extension request.
3. While in **Activity Tracking**, if the extension is granted, the supervisor will enter **Revised Due Dates** for the **Corrective Action** tasks related to the request for extension.
4. If the extension granted or denied warrants a letter to be sent to the facility, the inspector will create a **Blank Word Document** under the EA gray bar, **Titled Extension Letter** with date of extension. If this is a Force Majeure issue, a letter must be sent and added under the EA gray bar.

H) THE CASE IS SCHEDULED FOR ALTERNATIVE DISPUTE RESOLUTION (ADR)

1. If a case has entered ADR, the inspector will open **Activity Tracking** under the EA gray bar and add the task "entered into ADR" and put in a **Completed Date** as the date the matter was assigned for ADR.
2. When an ADR pre-meeting is held, the inspector must open the **Activity Tracking** for the EA and add the task "Attend ADR pre-meeting". The **Completed Date** is the date of the meeting and **Hours To Complete** must be completed to account for the inspector's time spent at the meeting, including any pre-meeting activities. If other DEP personnel attend the meeting, each person must also add the task "Attend ADR pre-meeting" with their name as **Assigned To** and the hours they spent at this meeting in the **Hours To Complete** column. If more than one meeting is conducted prior to the ADR session, a separate task "Attend ADR pre-meeting" must be added for each meeting date.
3. After the actual ADR session takes place, the inspector must open the **Activity Tracking** for the EA and add the task "Attend ADR session". The **Completed Date** is the date of the ADR session and **Hours To Complete** must be completed to account for the inspector's time spent at the session, including any pre-session activities. If other DEP personnel attend the session, each person must also add the task "Attend ADR session" with their name as **Assigned To** and the hours they spent at this session in the **Hours To Complete** column. If more than one session is conducted, a separate task "Attend ADR session" must be added for each session date.

4. The supervisor must go to the **Assessments** screen and mark the **Bill** record for this EA as **Open (Suspended)** in order to halt the creation of 2nd and 3rd Notices by Treasury during the ADR process.

SOP FOR DOCUMENTING HOURS TO COMPLETE FOR WORKFLOW TASKS WITHIN NJEMS ACTIVITY TRACKING

All programs within Compliance & Enforcement will document their **Hours To Complete** for **Workflow Tasks** within **NJEMS Activity Tracking**. This SOP defines which tasks must have **Hours To Complete** information documented for in **Activity Tracking** and also defines the meaning of each task so that each program will be looking at these tasks in the same way.

Below are the default tasks for each activity as well as some critical follow-up tasks that we need to document the **Hours To Complete** each task. This list is the standard list of **Workflow Tasks** that all C&E staff will properly and accurately enter the **Hours To Complete** (except for those that state that no hours to complete are required). This SOP covers the following activities:

- A) GENERAL LEVEL ACTIVITY TRACKING
- B) COMPLIANCE EVALUATIONS – Standard Compliance Inspection (SCI); Brief Compliance Inspection (BCI); Investigation (INV) and Compliance Assistance (CPL)
- C) ENFORCEMENT ACTIONS – Prescribed Enforcement Action (PEA) and Negotiated Enforcement Action (NEA)
- D) SUBMITTAL REVIEWS (SUB)
- E) NJPDES SAMPLING (NJS)
- F) INCIDENTS

NJEMS can capture periods as short as 6 minutes (0.1 hrs). For tasks requiring time entries which take under 6 minutes, this value should be used.

Each program may decide on a program by program basis to expand the tasks for which they wish to track **Hours To Complete**, however, at a minimum the following tasks must have **Hours To Complete** data entered into NJEMS. **Additionally, no new program specific time tracking should be devised which splits time for these tasks into separate sub-tasks. If any such need arises, it should be addressed to the program's NJEMS representative so it can be accounted for system wide.**

A) GENERAL LEVEL ACTIVITY TRACKING

Task to add for FOIA/OPRA request

1. **Respond to Freedom of Information Act (FOIA) and Open Public Records Act (OPRA) requests** – This task includes the time used to review the files, correspond with the person making the request, set up and conduct any file review visit and make copies of requested information.

B) COMPLIANCE EVALUATIONS

Standard Compliance Inspection (SCI)

1. **Prepare Checklist** – This task includes the time spent to review the files, permits, manifests, past enforcement history and prepare the checklist in NJEMS.
2. **Site visit** – This task includes the time spent at the facility for the inspection as well as travel to and from the facility. If other DEP personnel are involved in the inspection and participate in the site visit, each person must also add the task “**site visit**” with their name as **Assigned To** and include the time spent at the facility as well as travel to and from the facility. If the inspection is conducted over multiple days, you will create a separate “**site visit**” task for each day of inspection. Each “**site visit**” task will include the time spent at the facility for that particular day as well as travel to and from the facility.
3. **Submit report** – This task includes the time spent to enter the inspection results in the NJEMS checklist, prepare any inspection reports and any other activities related to the preparation and submittal of the inspection results to your supervisor.
4. **Review & approval** – This is a supervisor task and includes the time to review and approve the submitted inspection results. If there are multiple reviews for corrections being made or if there are discussions with the inspector regarding the inspection, the time recorded should be a cumulative value of all the activities to review and approve the inspection submitted.

Brief Compliance Inspection (BCI)

1. **Site-visit** - This task includes the time spent to review the files, permits, manifests, past enforcement history, prepare the checklist in NJEMS, and time spent at the facility for the inspection as well as travel to and from the facility. Also included is the time spent to enter the inspection results in the NJEMS checklist, prepare any inspection reports and any other activities related to the preparation and submittal of the completed inspection to your supervisor. If other DEP personnel are involved in the inspection and participate in the site visit, each person must also add the task “**site visit**” with their name as **Assigned To** and include the time spent at the facility as well as travel to and from the facility. If the inspection is conducted over multiple days, you will create a separate “**site visit**” task for each day of inspection. Each additional “**site visit**” task created will only include the time spent at the facility for that particular day as well as travel to and from the facility.
2. **Review & approval** - This is a supervisor task and includes the time to review and approve the submitted inspection results. If there are multiple reviews for corrections being made, or if there are discussions with the inspector regarding the inspection, the

time recorded should be a cumulative value of all the activities to review and approve the inspection submitted.

Investigation (INV)

1. **Site visit** - This task includes the time spent to review the files, permits, manifests, past enforcement history and time spent at the site for the investigation as well as travel to and from the site. If other DEP personnel are involved in the investigation and participate in the site visit, each person must also add the task "**site visit**" with their name as Assigned To and include the time spent at the site as well as travel to and from the site. If the investigation is conducted over multiple days, you will create a separate "**site visit**" task for each day of investigation. Each additional "**site visit**" task created will only include the time spent at the facility for that particular day as well as travel to and from the facility.
2. **Submit report** - This task includes the time spent to enter the inspection results in the CE screen in NJEMS, prepare any investigation reports and any other activities related to the preparation and submittal of the completed investigation to your supervisor.
3. **Review & approval** - This is a supervisor task and includes the time to review and approve the submitted inspection results. If there are multiple reviews for corrections being made, or if there are discussions with the inspector regarding the inspection, the time recorded should be a cumulative value of all the activities to review and approve the inspection submitted.

Compliance Assistance (CPL)

1. **Site visit** - This task includes the time spent to review the files, permits, manifests, past enforcement history (if applicable) and time spent at the facility for the inspection as well as travel to and from the facility. Also included is the time spent to enter the inspection results in the CE screen of NJEMS, prepare any inspection reports and any other activities related to the preparation and submittal of the completed inspection to your supervisor. If other DEP personnel are involved in the inspection and participate in the site visit, each person must also add the task "**site visit**" with their name as Assigned To and include the time spent at the facility as well as travel to and from the facility. If the inspection is conducted over multiple days, you will create a separate "**site visit**" task for each day of inspection. Each additional "**site visit**" task created will only include the time spent at the facility for that particular day as well as travel to and from the facility.
2. **Review & approval** - This is a supervisor task and includes the time to review and approve the submitted inspection results. If there are multiple reviews for corrections being made, or if there are discussions with the inspector regarding the inspection, the time recorded should be a cumulative value of all the activities to review and approve the inspection submitted.

Additional task added to CE activity tracking that requires Hours To Complete.

1. **Correct and resubmit** – This task includes the time spent to make any changes or corrections required by your supervisor prior to them approving the completed inspection that you previously submitted to them for their approval.

C) ENFORCEMENT ACTIONS

Prescribed Enforcement Actions (PEA)

1. **Prepare document** – This task includes the time spent to prepare the **Enforcement Action**. If this task is for a NOV that was issued in the field, the only time spent will be completing the **EA** screen in **NJEMS**. If no field document was issued, then the time will include the preparation of the **EA** screen in **NJEMS** as well as creating the merged **Word document** for issuance to the violator.
2. **Review & approval** - This is a supervisor task and includes the time to review and approve the submitted document prepared. If there are multiple reviews for corrections being made, or if there are discussions with the inspector regarding the **Enforcement Action**, the time recorded should be a cumulative value of all the activities to review and approve the **Enforcement Action** submitted.
3. **Issuance of document** – This task includes the printing and mailing of the **Enforcement Action**. If this is for a NOV that was issued in the field, no Hours to Complete are required for this task.
4. **Action close out** – No **Hours to Complete** are required for this task.

Negotiated Enforcement Actions (NEA)

1. **Prepare draft document** – This task includes the time spent to prepare the **Enforcement Action**. The time will include the preparation of the **EA** screen in **NJEMS** as well as creating the merged **Word document** for issuance to the violator.
2. **Review & approval** – This is a supervisor task and includes the time to review and approve the submitted document prepared. If there are multiple reviews for corrections being made, or if there are discussions with the inspector regarding the **Enforcement Action**, the time recorded should be a cumulative value of all the activities to review and approve the **Enforcement Action** submitted.
3. **Send draft document to violator** - This task includes the printing and mailing of the **Enforcement Action**.

4. **DEP receive draft comments** – This task includes the time spent to review any comments to the draft document and make any required changes to prepare the document in its final format.
5. **Issuance of document** - This task includes the printing and mailing of the **Enforcement Action**.
6. **Action close out** – No **Hours to Complete** are required for this task.

Additional tasks added to EA activity tracking that require Hours To Complete.

1. **Case management** – This task includes the time spent to conduct all negotiation activities following the issuance of the **EA**, such as phone conversations, letters and internal meetings to discuss settlement. The time recorded shall be a cumulative value of all the negotiation activities.
2. **Follow-up** – This task includes the time spent to review any compliance submittals received from the violator in response to an **Enforcement Action**. Also included is the time spent to enter the compliance review results in **Activity Tracking**, prepare any follow-up reports and any other activities related to the preparation and submittal of the compliance review to your supervisor. This task only relates to compliance review activities that occur in the office and does not include time spent on a return compliance inspection.
3. **Site visit** – This task includes the time spent to prepare the compliance inspection checklist in **NJEMS**, conduct a compliance inspection at the site of the violator as well as travel to and from the site. Also included is the time spent to enter the compliance inspection results in the CE screen of NJEMS, prepare any inspection reports and any other activities related to the preparation and submittal of the completed compliance inspection to your supervisor. If other DEP personnel are involved in the inspection and participate in the site visit, each person must also add the task “**site visit**” with their name as **Assigned To** and include the time spent at the facility as well as travel to and from the facility. If the inspection is conducted over multiple days, you will create a separate “**site visit**” task for each day of inspection. Each additional “**site visit**” task created will only include the time spent at the facility for that particular day as well as travel to and from the facility.
4. **Correct and resubmit** - This task includes the time spent to make any changes or corrections required by your supervisor prior to them approving the completed compliance review or compliance inspection that you previously submitted to them for their approval.
5. **Review & approval** - This is a supervisor task and includes the time to review and approve the submitted compliance review or compliance inspection results. If there

are multiple reviews for compliance being attained, or if there are discussions with the inspector regarding the compliance review or compliance inspection, the time recorded should be a cumulative value of all the activities to review and approve the compliance review or compliance inspection submitted. This task is also used to document **case management** activities that are reviewed and approved by the supervisor. The completion of this task for all **case management** activities is outlined in the **Case Management SOP**.

6. **Settlement conference** – This task includes the time spent conducting a settlement conference meeting, including any pre-meeting activities and preparation of the **Settlement Conference Summary** document as outlined in the **Case Management SOP**. If other DEP personnel attend the meeting, each person must also add the task “**settlement conference**” with their name as **Assigned To** and include the time spent at the meeting. If more than one meeting is conducted prior to settlement, you will create a separate “**settlement conference**” task for each meeting held. Each additional “**settlement conference**” task created will only include the time spent for that meeting, including any pre-meeting activities.
7. **Referred to DAG** – This task includes the time spent to prepare the **Referral to DAG** document as outlined in the **Case Management SOP**.
8. **Mandatory settlement conference** - This task includes the time spent attending a mandatory settlement conference meeting, including any pre-meeting activities. If other DEP personnel attend the meeting, each person must also add the task “**mandatory settlement conference**” with their name as **Assigned To** and include the time spent at the meeting. If more than one meeting is conducted prior to settlement, you will create a separate “**mandatory settlement conference**” task for each meeting held. Each additional “**mandatory settlement conference**” task created will only include the time spent for that meeting, including any pre-meeting activities.
9. **Attend hearing** – This task includes the time spent to attend an Administrative Hearing. If other DEP personnel attend the hearing, each person must also add the task “**attend hearing**” with their name as **Assigned To** and include the time spent at the hearing. If the hearing lasts over multiple days, a separate “**attend hearing**” task must be added for each hearing date. Each additional “**attend hearing**” task created will only include the time spent attending the hearing for that particular day.
10. **Prepare letter** – This task includes the time spent to prepare the **Rescind Letter** document as outlined in the **Case Management SOP**.
11. **Extension granted or extension denied** – This task includes the time spent to review the extension request from the facility and prepare the necessary **Extension Letter** as outlined in the **Case Management SOP**.

12. **Attend ADR pre-meeting** - This task includes the time spent attending an ADR pre-meeting. If other DEP personnel attend the meeting, each person must also add the task "**Attend ADR**" with their name as **Assigned To** and include the time spent at the meeting. If more than one meeting is conducted prior to the ADR session, you will create a separate "**Attend ADR**" pre-meeting task for each meeting held. Each additional "**Attend ADR**" pre-meeting task created will only include the time spent for that meeting.
13. **Attend ADR session** - This task includes the time spent attending an ADR session. If other DEP personnel attend the ADR session, each person must also add the task "**Attend ADR session**" with their name as **Assigned To** and include the time spent at the ADR session. If more than one session is conducted, you will create a separate "**Attend ADR session**" task for each session held. Each additional "**Attend ADR session**" task created will only include the time spent for that session.

D) SUBMITTAL REVIEWS (SUB)

1. **Receive submittal** – This task includes the time spent to document the receipt of materials submitted, as well as creating the submittal activity in NJEMS.
2. **Review submittal content** – This task includes the time spent to review the material submitted and prepare any follow-up documents in response to the submittal.
3. **Review & approval** – This is a supervisor task and includes the time to review and approve the material submitted as well as any documents prepared in response to the submittal.

E) NJPDES SAMPLING (NJS)

1. **Site visit** – This task includes the time spent to prepare for sampling, conducting the sampling and also includes travel time to and from the site and delivery of samples to the lab. If other DEP personnel are involved in the sampling and participate in the site visit, each person must also add the task "**site visit**" with their name as **Assigned To** and include the time spent conducting sampling as well as travel to and from the facility. If the sampling is conducted over multiple days, you will create a separate "**site visit**" task for each day of sampling. Each additional "**site visit**" task created will only include the time spent sampling for that particular day as well as travel to and from the facility.
2. **Notify entity of results** - This task includes the time spent to review and conduct QA of data received in regards to sampling conducted, as well as preparing the data package to be sent to the facility to notify them of the results of the sampling.

F) INCIDENTS

(Hours To Complete each task below will only be entered on the **Action tab** of the **Incident screen** when the incident will only be documented on the **Incident screen** and not followed up by creating a **Compliance Evaluation** in NJEMS. When an activity is created in **Central File** for an incident, all time will be recorded there.)

1. **Assigned** – This task includes the time spent to input information into the **Incident screens**, documenting that the incident has been received by your program and is being assigned to an investigator.
2. **CEHA Response** - No **Hours To Complete** are required for this task.
3. **Mgmt. Ref. Resp. Prepared** – This task includes the time spent to prepare the Management Referral Response.
4. **Notification – A310** - No **Hours To Complete** are required for this task.
5. **Notification – Email** - No **Hours To Complete** are required for this task.
6. **Notification – Fax** - No **Hours To Complete** are required for this task.
7. **Notification – Home** - No **Hours To Complete** are required for this task.
8. **Notification – Mail** - No **Hours To Complete** are required for this task.
9. **Notification – Office** - No **Hours To Complete** are required for this task.
10. **Notification – Page** - No **Hours To Complete** are required for this task.
11. **Notification – Phone** - No **Hours To Complete** are required for this task.
12. **Notification – Radio** - No **Hours To Complete** are required for this task.
13. **Perform Investigation** - This task includes the time spent to conduct record reviews, phone calls, visiting tax offices and any other activities related to this investigation, excluding the site visit at the incident location. This task also includes time spent to input investigation results and any other activities related to the preparation and submittal of the completed investigation to your supervisor.
14. **Perform Sampling** – This task includes the time spent to prepare a sampling plan, sampling preparation, conducting the sampling and includes any travel time to and from the site and delivery of samples to the lab.

15. **Referred to** – This task includes the time spent to input the information into the **Incident screens** and either contacting the referred to agency or preparing the **Referral Form For Cross Program Issues**.
16. **Review and Approve** - This is a supervisor task and includes the time to review and approve the submitted investigation results. If there are multiple reviews for corrections being made, or if there are discussions with the inspector regarding the investigation, the time recorded should be a cumulative value of all the activities to review and approve the investigation submitted.
17. **Review Data Pkg.** – This task includes the time spent to review any data packages received in regards to sampling conducted for this investigation.
18. **Site Visit** - This task includes the time spent at the facility for the investigation as well as travel to and from the facility. If other DEP personnel are involved in the investigation and participate in the site visit, each person must also add the task “**site visit**” with their name as **Assigned To** and include the time spent at the facility as well as travel to and from the facility. If the investigation is conducted over multiple days, you will create a separate “**site visit**” task for each day of investigation. Each additional “**site visit**” task created will only include the time spent at the facility for that particular day as well as travel to and from the facility. If the investigation is conducted over multiple days, you will create a separate “**site visit**” task for each day of investigation, therefore, each “**site visit**” task will include the time spent at the facility for that particular day as well as travel to and from the facility.

4.6 TECHNICAL STAFF

4.6.1 TECHNICAL STAFF ORGANIZATION

4.6.1. Staffing Plan Staff Need/Resource Analysis

The Department is proposing to establish fees in order to have the resources to implement a fully-staffed radioactive materials program. N.J.S.A. 26:2D-9(1) authorizes the Department to establish and charge fees for the services it performs. The calculation of fees may be based on the actual or projected expense to be incurred by the Department in the performance of services. The proposed fee schedule is based on a cost analysis that takes into account the number and types of licensees and the amount of staff time and resources necessary to oversee these licensees and to engage in emergency preparedness activities. The current staffing level of the radioactive materials section is not adequate to absorb an estimated 200 to 300 more licensees.

To determine the number of full time equivalent (FTE) positions required for a fully staffed Radioactive Materials program, the Department used time estimates from the NRC, other agreement states, and our own internal time studies. The other agreement states included Pennsylvania, Texas, Wisconsin, Louisiana, Minnesota, Ohio, New Mexico, and Arizona. The amount of hours available for each FTE was calculated by taking into account holiday, vacation, sick, administrative, training, and meeting hours (Table 1). Tables 2-4 list the calculated FTE for Inspections, Licensing, and Regulation Development. Since the Department's Radioactive Materials section currently employs seven FTE, the Department has determined that it needs an additional seven FTE to run a fully staffed Agreement State program. The Department believes that the additional staff costs and the increase in operating costs justify the proposed fees.

Table 1: Hours per FTE

Staff Hours/year = 52 weeks x 5 days/week x 7 hours/day	1820 hours/year
13 holidays	-91
Vacation	-126
10 days training	-70
Meetings	-140
7 sick days	-49
Administrative Leave	-21
Hours/year Remaining	1323

Table 2: Inspection Activities FTE

Inspection Activities	Average Hours Per Activity	Average Activities per Year	Average Total Hours per Year
Core Inspection			
Prep/Doc	7	223	1561
Inspection travel	3	223	669
Core Inspections	4	223	892
Normal Enforcement			
Activities	5	60	300
Escalated Enforcement			
Activities	5	60	200
Reactive Inspection			
Prep/Doc	8	20	160
Reactive Inspections	4	20	80

Allegation Follow-up	16	15	240
Allegation Follow-up travel	6	15	90
Allegation Follow-up Prep/Doc	16	15	240
Other Routine Activities			
Prelicensing			
Inspections	10	25	250
Increased Controls			
Inspections	14	41	574
Decommissioning (Site visits, telephone calls, review of submittals)	10	70	700
Total			5956

5956 / 1323 hours per FTE = **4.5 FTE**

Table 3: Licensing Activities FTE

Licensing Activities	Average Hours per Activity	Average Activities per Year	Average Total Hours per year
GENERAL LICENSE			
Registration	3	500	1500
Tracking	1	500	500
Subtotal			2000
SPECIFIC LICENSE			
New	35	60	2100
Renewal	20	70	1400
Amendment	5	600	3000
Termination	35	30	1050
Subtotal			7550
Total			9550

9550 hours / 1323 hours per FTE = **7.2 FTE Licensing**

Table 4: Other Activities

Other Activities	Average Hours per Activity	Average Activities per Year	Average Total Hours per Year
Regulations Review and Comment	35	40	1400
Response to Incidents	21	100	2100
Total			3500

3500 hours / 1323 hours per FTE = **2.6 FTE**

The proposed total amount of required funding increases from \$1,072,422 to \$1,855,654, a 73 percent increase. Salaries are projected to be \$1,305,654, with an operating budget of \$550,000. However, because the number of licensees will increase, most licensees will experience a decrease, or only a slight increase in fees. A 73 percent increase in fees from the current program is being proposed to cover the costs of a fully staffed Radioactive Materials Section, including an increase of seven FTE. The

additional titles will perform inspections, review applications and amendment requests, respond to licensee inquiries, process reciprocity applications, calibrate instrumentation, collect samples upon decommissioning, and inventory radioactive material sources.

Table 5 presents a comparison of the number of NRC and NJ licenses. The total projection of annual revenue is difficult to predict because of the overlap between NRC and Department licensees. For example, for Medical Private Practice, NRC has 166 licensees and the Department has 272. When these licenses are combined under one license, there may be only a slight increase in the number of licensees, or they may stay the same. If the larger number of NRC or NJ licenses is assumed where there is overlap, it is predicted that the Department will have a total of approximately 776 licensees after it becomes an Agreement State. The projected salary costs are presented in Table 6. The projected budget is presented in Table 7.

Table 5: Number of NRC and. NJ licensees

No of NRC Licenses	No of NJ Licenses	Program Code Title
3	3	Academic Type A Broad
3	2	Medical institution Broad
41	86	Medical institution -QMP required
4		Medical Institution-QMP not required
24		Medical Private Practice - QMP required
166	272	Medical Private Practice-QMP not required
3	8	Mobile Nuclear Med Service
26		High Dose Rate Remote Afterloader
1		Mobile HDR Remote Afterloader
3		Mobile Therapy
6		Veterinary Non-human
1		In Vitro Testing Laboratory
2	7	Nuclear Pharmacies
16		Measuring Systems Fixed gauges
64	2	Measuring Systems Portable Gauges
2	83	Measuring Systems Analytical Instruments
5		Measuring Systems - GC
6	1	Measuring Systems Other
1	1	Manufacturing & Distribution Type A Broad
	1	Manufacturing & Distribution Type C Broad
11		M&D Other
1		Instrument Calibration Service Only- Source less than less than 100 curies
2		Instrument Calibration Service Only- Source greater than 100 curies
3	2	Other Services
3		General License Distribution - 32.51
5		Industrial Radiography Temporary Job Site
5		Irradiators Self Shielded less than 10000 curies
2		Irradiators Other Less than 10000 curies
2		Irradiators Self Shielded Greater than 10000 Curies
3		Irradiators other greater than 10000 curies

11	Research & Development Type A Broad
2	R&D Type B Broad
56	2 R&D Other
1	Byproduct Material Possession Only -
1	Permanent Shutdown
1	Byproduct Material Standby - No
1	Operations
2	Source Material Other Less than 150 Kgs
2	Source Material Other Greater than 150
1	Kgs
1	SNM Plutonium - Unsealed less than a
1	critical mass
1	SNM Plutonium - Sealed Source Less than
2	a critical mass
2	Pacemaker Byproduct and/or SNM -
	Medical Institution
	Water Treatment Systems - Public Water
	Supplies
	15 Water Treatment Systems - Non-Transient
	25 Non Community Systems
492	511 Total

Table 6: Projected Salary Costs

Title	Job Description	Percent Time on Agreement State Duties	Salary	Years of Experience	Salary (\$)
Licensing, Inspection, Enforcement and Investigations					
RS1	Supervisor	100	99000	24	99,000
Rad. Phys. 1	Inspector	100	85000	15	85,000
Rad Phys. 3	Inspector	100	60000	6.2	60,000
Env Spec	Inspector	100	54000	3.5	54,000
Env Spec Trainee	Inspector	100	42000	0.3	42,000
Env Spec Trainee	Inspector	100	42000	0.3	42,000
Tech MIS	Admin Support	100	54000	23.6	54,000
Env Spec Trainee	Inspector	100	39000		39,000
Env Spec Trainee	Inspector	100	39000		39,000
Env Spec Trainee	Inspector	100	39000		39,000
Env Spec Trainee	Inspector	100	39000		39,000
Env Spec Trainee	Inspector	100	39000		39,000
Adm. Asst.	Admin Support	100	40000		40,000
SUBTOTAL (\$)					671,000
Decommissioning, Decon, Restoration					
RS1	Inspector	30	99000	22.2	29,700
RS1	Inspector	35	99000	25	34,650
Rad Phys. 1	Inspector	35	91000	22	31,150
Management/Administration					
Manager VI	Manager	30	100000	26	30,000
Management Asst	Admin Support	20	58000	26	11,600
SUBTOTAL (\$)					137,350
SALARY TOTALS (\$)					808,350
FRINGE					0.3315 268,000

	SUBTOTAL (\$)	1,076,1
INDIRECT	0.2124	228,7
	TOTAL (\$)	1,305,6

Table 7: Projected Operating Costs

Agreement State Program	OPERATING COSTS
Laboratory Costs	75,000
Travel	60,000
Phone	12,000
Postage	10,000
Computers	20,000
Database	40,000
Vehicles	50,000
Maintenance	60,000
Equipment	70,000
Training	40,000
Professional Services	50,000
Legal (DAG)	30,000
Other Assessments	33,000
TOTAL (\$)	550,000

4.4.1

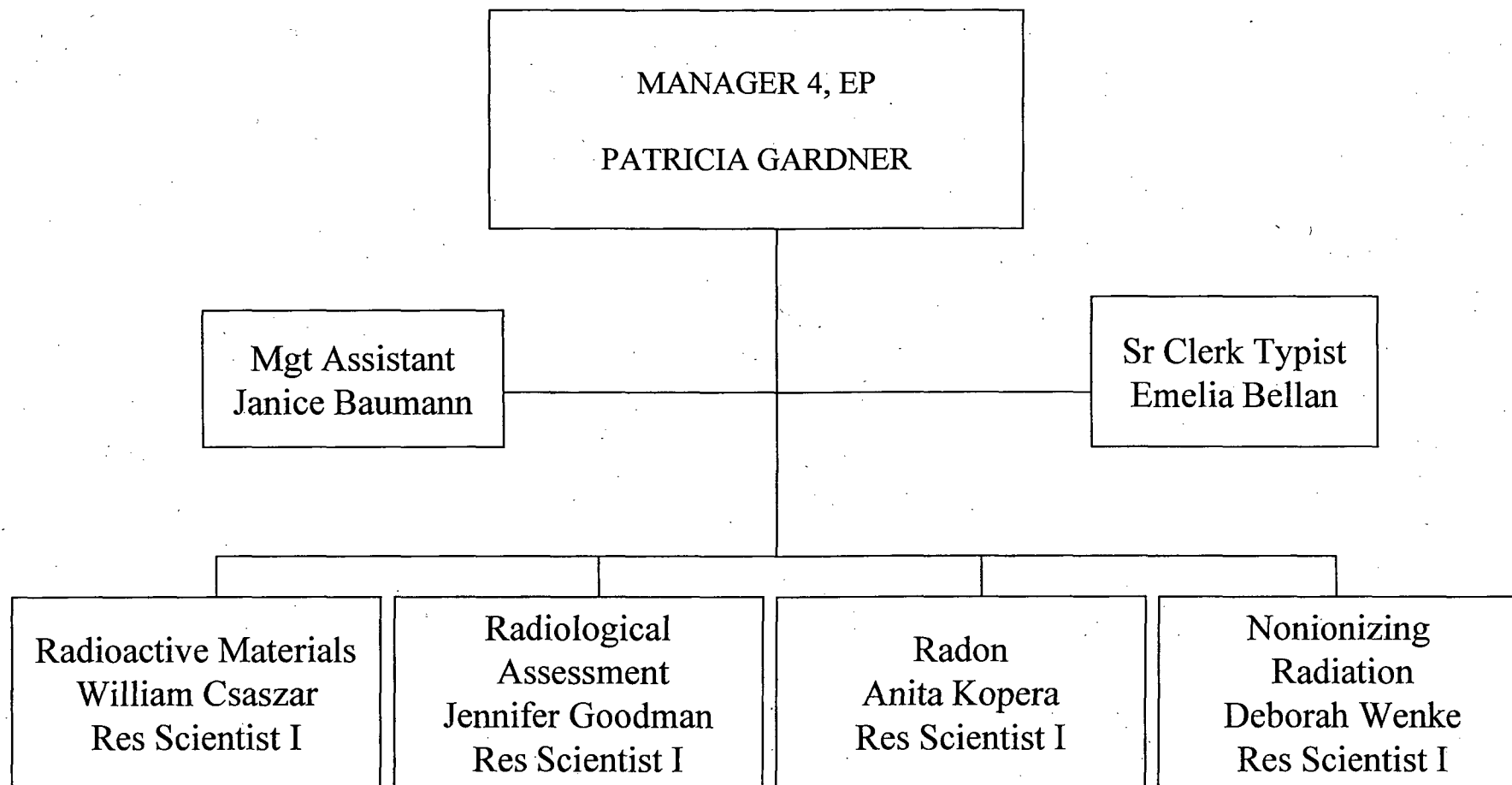
INSPECTION PROCEDURES

New Jersey's inspection procedures and guides can be found in this section of the application.

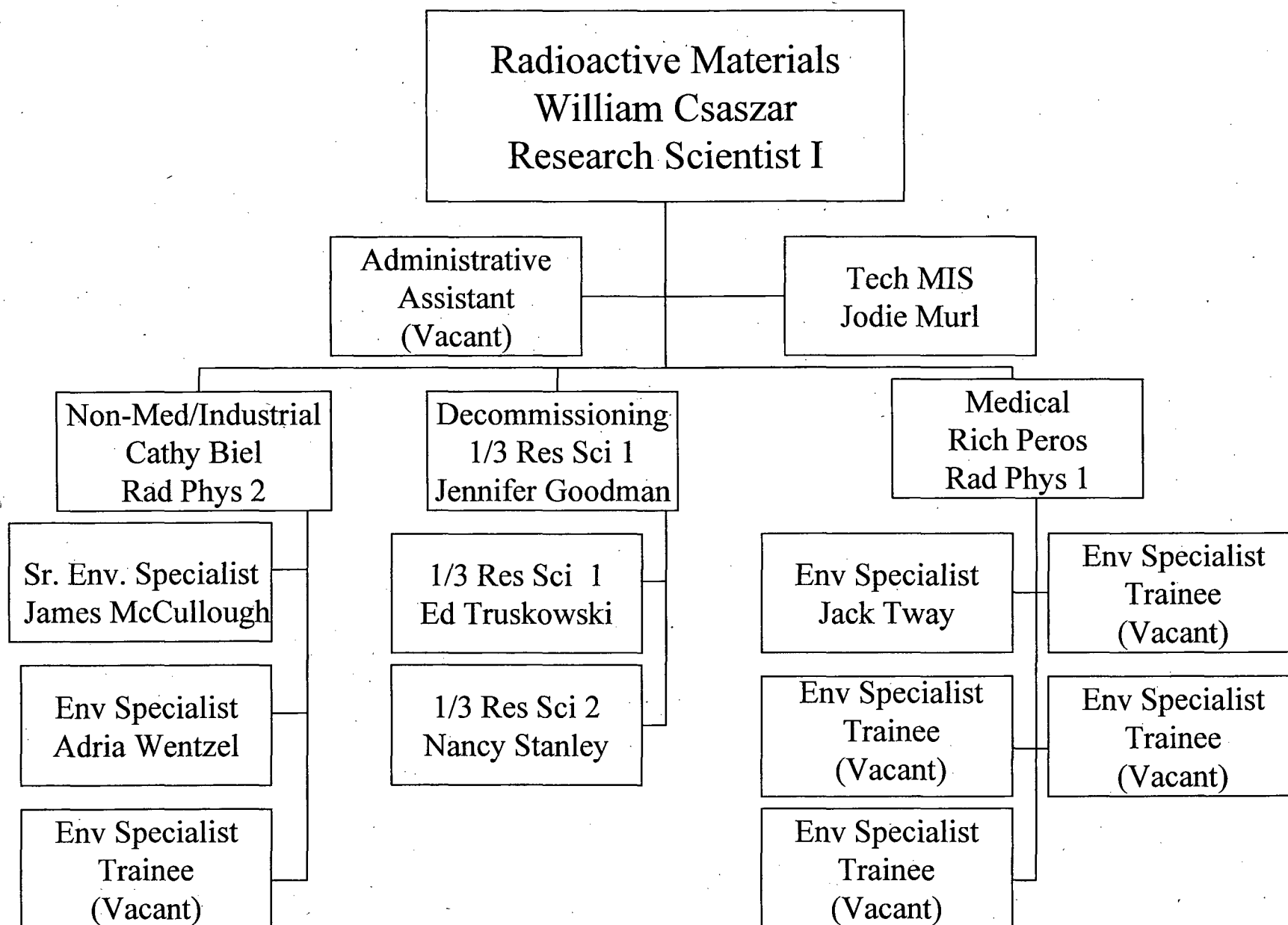
The licensing program is outlined in the combination of the *Inspection Procedures*, the *NJEMS Procedures Manual*, and the *Training and Qualification Manual* to form a critical part of the Department's overall radioactive materials regulatory program. These manuals provide the information necessary for licensing staff to process, manage, and track licensing activities. These manuals are included as part of this application.

The New Jersey Environmental Management System (NJEMS) is a database system used by the New Jersey Department of Environmental Protection to centrally locate information regarding licenses/permits, inspection information, and incidents. The system currently supports the Bureau of Environmental Radiation's enforcement records and documentation. Development of the portion of this system that will handle review, issuance and tracking of Licensing and Registration documentation to support the proposed Agreement State activities is continuing. Once in place (projected date early 2008), this one database will be the digital repository for licensing, inspection, enforcement, and incidents information and permit us to generate and track documents relating to these tasks.

NEW JERSEY DEPARTMENT OF ENVIRONMENTAL PROTECTION
ENVIRONMENTAL REGULATION
DIVISION OF ENVIRONMENTAL SAFETY & HEALTH
RADIATION PROTECTION & RELEASE PREVENTION ELEMENT
BUREAU OF ENVIRONMENTAL RADIATION



Proposed Agreement State Staffing and Organization

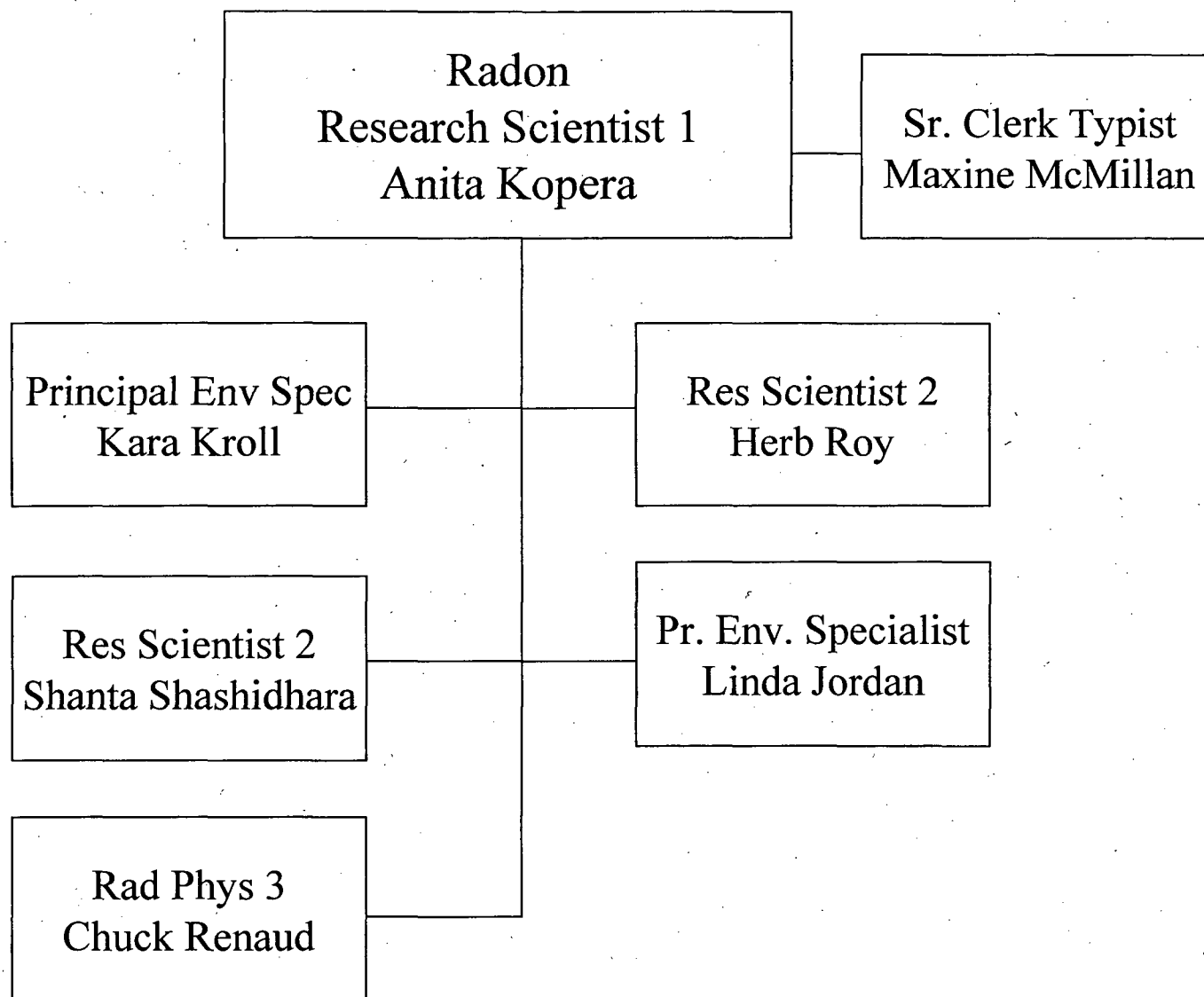


Radiological Assessment
Research Scientist 1
Jennifer Goodman

Research Scientist 1
Edward Truskowski

Radiation Physicist 1
Nancy Stanley





Nonionizing Radiation
Research Scientist 1
Deborah Wenke

Program Specialist 2
(Vacant)

4.6.2 FORMAL QUALIFICATION PLAN

DEP Agreement State Training and Qualification Manual

A. Purpose

To establish a method of conducting and documenting successful completion of the training requirements set forth in this manual.

B. Background

The DEP Agreement State Training and Qualification Manual (Training and Qualification Manual) is designed to ensure that a uniform method of conducting and documenting training is being followed for all inspectors, license reviewers, and project manager/technical reviewers. The Training and Qualification Manual establishes the minimum training requirements that must be met for the titles listed in Appendix A

C. Basic Requirements

This Training and Qualification Manual must be used to document training activities for all inspectors, license reviewers, and project manager/technical reviewers.

The Bureau of Environmental Radiation (BER) Office of the Bureau Chief (OBC) is responsible for developing and revising the Training Manual and associated Qualification Journals. The Training Manual establishes the minimum requirements that must be completed for each inspector, license reviewer, project manager/technical reviewer. The specific training materials (Qualification Guides) are included in Appendix B. The Qualification Journals document that this training has been completed for each employee. Example Qualification Journals are included in Appendix C. The Radioactive Materials Section (RMS) Supervisor is responsible for maintaining Qualification Journals for their employees and noting completion of the journal in each inspector's working file. When an inspector's assignment involves a change in program area, such as going from a Materials Inspector to a Decommissioning Inspector, a new and separate qualification journal will be prepared to address the training required in the new area. In addition to the Qualification Journal, formal training courses are to be documented in the BER and DEP formal training tracking system.

APPENDIX A

SECTION I

TRAINING REQUIREMENTS FOR RADIOACTIVE MATERIALS LICENSE REVIEWER

A. Applicability

The training described below is required for all materials license reviewers assigned to perform radiological safety reviews of nuclear material license applications.

B. Training

1. Required Initial Training

a. Self Study and on-the job Training

- (1) DEP Orientation
- (2) Regulations
- (3) Regulatory Guidance
- (4) DEP Inspection Manual
- (5) DEP Licensing Procedures Manual
- (6) Industry Codes and Standards
- (7) Directed Review of Selected Licensing Case Work and On-The-Job Training
- (8) Review of Significant Licensing Events
- (9) Directed Review of Selected Inspection Case Work and On-The-Job-Training
- (10) **Review of Significant Events at Materials Inspections**
- (11) Formal NRC Training

b. Core Training. These courses establish minimum formal classroom training requirements. Since the Department will break down inspection and licensing into Medical and Industrial sections, not all courses will be required for all staff members.

- (1) Health Physics Technology Course (H-201) or Applied Health Physics (H-109)

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- (2) Diagnostic and Therapeutic Nuclear Medicine Course (H-304)
- (3) Safety Aspects of Industrial Radiography Course (H-305)
- (4) Brachytherapy, Gamma Knife and Emerging Technologies Course (H-313)
- (5) Licensing Practices and Procedures Course (G-109)
- (6) Transportation of Radioactive Materials Course (H-308)
- (7) Safety Aspects of Well Logging Course (H-314)

c. Specialized Training. Depending on the materials license reviewer's previous work experience and planned reviewer activities, additional courses may be required in order to gain knowledge necessary for specialized licensing activities. Management will make this determination on an individual basis. For example, if a license reviewer is assigned activities in one of the areas listed below then that reviewer should attend the appropriate training course or have equivalent experience as determined by their management.

e.g. Irradiator Technology Course (H-315)

2. Supplemental Training. Additional training beyond that identified as Core Training. This training will be determined by the individual's supervisor and will depend on the individual's previous work experience and planned inspection or licensing activities in specific areas.

3. Refresher Training. Refresher training will be conducted every three years following initial certification. Refresher training may include courses as determined by management.

SECTION II

TRAINING REQUIREMENTS FOR RADIOACTIVE MATERIAL INSPECTOR

A. Applicability

The training described below is required for all radioactive materials inspectors who primarily perform materials radiological safety inspections, but may also participate in decontamination, and decommissioning activities at material licensee facilities.

B. Training

1. Required Initial Training

a. Self Study and on-the-job Training

- (1) DEP Orientation
- (2) Regulations
- (3) Regulatory Guidance
- (4) DEP Inspection Manual Chapters
- (5) DEP Licensing Procedures Manual
- (6) Industry Codes and Standards
- (7) Directed Review of Selected Licensing Case Work and On-The-Job Training
- (8) Review of Significant Licensing Events
- (9) Directed Review of Selected Inspection Case Work and On-The-Job-Training
- (10) **Review of Significant Events at Materials Inspections**
- (11) Formal NRC Training

b. Core Training. These courses establish minimum formal classroom training requirements. Since the Department will break down inspection and licensing into Medical and Industrial sections, not all courses will be required for all staff members. This listing neither constitutes nor specifies the order in which courses are taken. Courses are subject to availability.

- (1) Fundamentals of Inspection Course (G-101),
or Inspection Procedures Course (G-108)
- (2) Root Cause/Incident Investigation Workshop (G-205)
- (3) Inspecting for Performance Course - Materials Version (G-304)
- (4) Effective Communications (or equivalent)
- (5) Health Physics Technology Course (H-201) or Applied Health Physics (H-109)
- (6) Diagnostic and Therapeutic Nuclear Medicine Course (H-304)
- (7) Safety Aspects of Industrial Radiography Course (H-305)
- (8) Brachytherapy, Gamma Knife and Emerging Technologies Course (H-313)
- (9) Transportation of Radioactive Materials Course (H-308)
- (10) Safety Aspects of Well Logging Course (H-314)

c. Specialized Training. Depending on the inspector's previous work experience and planned inspection activities, additional courses may be required in order to gain knowledge necessary for specialized inspection activities. Management will make this determination on an individual basis. For example, if an inspector is assigned activities in one of the areas listed below then that inspector should attend the appropriate training course or have equivalent experience as determined by their management.

e.g. Irradiator Technology Course (H-315)

2. Supplemental Training. Additional training beyond that identified as Core Training. This training will be determined by the individual's supervisor and will depend on the individual's previous work experience and planned inspection or licensing activities in specific areas.

3. Refresher Training. Refresher training needs will be determined by management on a case-by-case basis. Refresher training may be formal or self directed and cover core or supplemental training courses.

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SECTION III
TRAINING REQUIREMENTS FOR
DECOMMISSIONING PROJECT MANAGERS, TECHNICAL REVIEWERS, AND
INSPECTORS

A. APPLICABILITY

The training described below is required for all decommissioning management, technical staff and inspectors. Exceptions to these requirements may be approved by program management on a case-by-case basis.

B. TRAINING (Note NRC course numbers, where applicable, are provided in parentheses).

1. Required Initial Training

a. Self Study and on-the-job Training

(1) DEP Orientation

(2) Regulations

(3) Regulatory Guidance

(4) DEP Inspection Manual

(5) DEP Licensing Procedures Manual

(6) Industry Codes and Standards

(7) Directed Review of Selected Licensing Case Work and On-The-Job Training

(8) Review of Significant Licensing Events

(9) Directed Review of Selected Inspection Case Work and On-The-Job-Training

(10) Review of Significant Events at Materials Inspections

(11) Formal NRC Training

b. Core Training. These courses establish minimum formal classroom training requirements. .

(1) Inspection Procedures (G-108) or equivalent training/education

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- (2) Site Access Training (H-100) or NMSS Radiation Worker Training (H-102) or equivalent training/education
- (3) Inspecting for Performance - Materials Version (G-304)
- (4) (i) Introductory Health Physics (H-117)
- (ii) Basic Health Physics (H-122)
- (iii) Health Physics Technology (H-201)
- (iv) Applied Health Physics (H-109), or
- (v) equivalent formal health physics training/education
- (5) Transportation of Radioactive Materials (H-308)
- (6) Multi-Agency Radiation Survey and Site Investigation Manual (MARSSIM) (H-121)
- (7) (i) Environmental Monitoring for Radioactivity (H-111),
- (ii) Radiological/Decommissioning Surveyor Training (ORAU), or
- (iii) equivalent experience
- (8) RESRAD (H-410)
- (9) OSHA HAZWOPER Training (24 hour or 40 hour)

2. Supplemental Training. Additional training beyond that identified as Core Training. This training will be determined by the individual's supervisor and will depend on the individual's previous work experience and planned activities in specific areas. Suggested courses include:

- a. Root Cause/Incident Investigation (G-205)
- b. Introduction to Risk Assessment in NMSS (P-400)
- c. Groundwater Hydrology
- d. Introduction to Groundwater Investigations (EPA course 165.7)
- e. Environmental Remediation Technologies (EPA course 165.3)

3. Refresher Training. Refresher training needs will be determined by management on a case-by-case basis. Refresher training may be formal or self directed and cover core or supplemental training courses such as:

- a. Fundamentals of Inspection Refresher (G-102)
- b. Health Physics Topical Review (H-401)

or related topics

APPENDIX B
QUALIFICATION GUIDES

Table of Contents

Qualification Guide No.: Description	Page
1: DEP Orientation.....	9
2: Regulations.....	15
3: Regulatory Guidance.....	17
4: DEP Inspection Manual.....	27
5: DEP Licensing Procedures Manual.....	28
6: Industry Codes and Standards	29
7: Directed Review of Selected Licensing Case Work and On-The-Job Training.....	32
8: Review of Significant Licensing Events.....	35
9: Directed Review of Selected Inspection Case Work and On-The-Job-Training.....	36
10: Review of Significant Events at Materials Inspections	39
11: Formal NRC Training.....	40

Qualification Guide 1

DEPARTMENT OF ENVIRONMENTAL PROTECTION ORIENTATION

A. Office Policies and Procedures

1. The qualifying individual should read the Department's Policy and Procedures Manual
2. The qualifying individual should review the policies and practices on:
 - a. Travel
 - b. Telephone use
 - c. Policies on use of annual leave and sick leave and excused leave
 - d. Work schedule, Pay
 - e. Use of government equipment, including computers
 - f. Union activities
 - g. Communications outside DEP
 - h. Policies on outside employment and acceptance of gifts
 - i. Participation in political activities
 - j. Routing of mail and procedures for sending mail and materials (via U.S. Mail, UPS, etc.)
 - k. Ordering of documents (e.g. NUREGs)
 - l. Office emergency and evacuation procedures
 - m. Employee Performance Review and Probationary Period
 - n. Differing Professional Views or Opinions
 - o. Electronic Correspondence
 - p. Document retention and storage
 - q. eCATS
3. The qualifying individual should complete the Department's New Employee Important Information Checklist (Attachment 1)

B. The Supervisor should discuss the organization of the Radiation Protection and Release Prevention Programs and the role of the Bureau of Environmental Radiation with the qualifying individual to ensure the qualifying individual has a full understanding of BER's organization and mission and the role of the license reviewer in that mission.

1. Role of DEP Radiation Protection and Release Prevention Programs as a regulatory agency
 - a. Organization
 - b. Radiation Protection Act, as amended
 - c. DEP Enforcement Policy

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d. Emergency Response Plan

- C. The Supervisor should discuss the policies and practices with the qualifying individual to ensure that the qualifying individual has a full and complete understanding. The Supervisor and employee will then complete Qualification Card 1 in Appendix C.

New Jersey Department of Environmental Protection

New Employee Important Information Checklist

Here is a checklist of items to do or learn about in order to make your transition as a new employee with the Department a successful one. Just click on the link indicated below to obtain further information.

THE DEPARTMENT

- I have read the Department's mission and understand my program's role in achieving it.
- I know that the Division of Human Resources has a Human Resources Web Site that provides employees with frequently requested forms, information about employment and work place policies, subject driven information, and Division contact information.
- I know who the personnel manager, payroll, and Leave Management contacts are for my program.
- I know that the Office of Labor Relations is here to resolve problems, issues, and complaints.
- I know that the Office of Equal Opportunity and Contract Assistance is here to resolve any issues regarding discrimination or sexual harassment.

POLICIES & PROCEDURES

- I understand that I am to read, understand, and abide by the Department's Policies and Procedures, and if I do not understand them to seek clarification.
- I have read the 5 Policies and Procedures /documents given to me when I completed my new hire paperwork and understand that I am to abide by these policies and procedures. (These policies include: Violence in the Workplace, Policy Prohibiting Discrimination, Harassment or Hostile Work Environments in the Workplace, Acceptable Use of the Internet, Drug Free Workplace, and Code of Ethics).
- I understand that all State equipment, including but not limited to State issued computers, vehicles, cell phones, beepers, credit cards, are provided for business use only, and any misuse or negligence may result in disciplinary action and a fine for restitution for any damages.
- I understand that before I start any secondary employment or outside business interest I must complete a Conflict of Interest form and submit it to my Division's Director or Administrator for approval.
- I know to prominently display my State ID and have obtained other identification in accordance with the title I hold.
- I know the building evacuations procedures as posted in my work area.
- I know if I have questions regarding parking (if available) within the Trenton complex I should contact the Department Parking Coordinator, Judy Maris, at (609) 984 -1809.
- I know that if my job location is within the Trenton complex and my supervisor approves the use of a State Pool Vehicle to perform a required work assignment, I should contact Support Services at 292-3178 for information on signing out a pool vehicle.

- By DEP regulation, N.J.A.C. 7:1-1.3(f), I understand that anyone serving a subpoena for the production of Department records and/or testimony from Department employees must serve the subpoena on the Office of Legal Affairs. If I do not work in the Office of Legal Affairs, I understand that I must not accept or sign for a subpoena, but refer the party or process server to the DEP's Office of Legal Affairs, located in 401 E. State, Trenton. Its phone number is (609) 292 - 0716.
- I understand if I am contacted by a member of the media seeking information related to DEP business or policies I must get the name and phone number of the caller, relay the information to the Press Office and inform my management. The Press Office phone number is (609) 984 - 1795. If I am approached unannounced by a representative of the press at a field location, I understand I should locate an appropriate on-site supervisor. The supervisor should provide factual information to the reporter and contact the Press Office.
- I understand in any situation, if a member of the public asks for information and mentions OPRA (Open Public Information Act) or asks that a request for information be treated as an OPRA request, I will notify the requester that OPRA requires submission of the request on a Department form to the Office of the Record Custodian (ORC) and offer to transfer them to that office. Their phone number is (609) 609- 341-3121. If the request is in writing, I will contact the requester and notify them that OPRA requires submission of a form to the ORC. Also, if I receive a request for government records on an OPRA form I will have it hand carried to ORC immediately (PO 442, 401 East State, 1st floor).

MY OFFICE

- I understand if I cannot report to work I must contact my supervisor prior to my start time and I must submit required documentation if I am sick for five or more days.
- I have met with my supervisor and signed a Performance Assessment Review Agreement (PAR) or Performance Evaluation System Agreement (PES).
- I understand what a working test period is and understand that if I am in the classified service, I am not permanent in my title until I satisfactorily complete my working test period.
- I understand that my supervisor may inform me that based upon the nature of my job duties I may be considered an "Essential Employee" for attendance purposes during weather related and/or emergency situations. If I am considered an "Essential Employee" I understand my supervisor will provide me with specific reporting requirements.

HEALTH & BENEFITS

- I have read the "Most Frequently Asked Questions" asked by employees regarding health and dental benefits.
- I understand that if I select NJ Plus or an HMO (Health Maintenance Organization) for health insurance or a DMO (Dental Maintenance Organization) for dental insurance, I must select and specify a primary care doctor for myself and my dependents on my application.
- I submitted to Employee Services my health and dental benefits form, and pension form within 30 days of my start date.
- I have explored the Pensions and Benefits web site regarding choices I must make regarding health insurance, pension beneficiaries, and life insurance.
- I understand Contributory Life Insurance is mandatory the first year of enrollment in the Pension System and then it may be dropped. I also understand that once I cancel contributory life insurance, I will never be able to reinstate it. Contributory Life Insurance increases payment to beneficiary (3 times employee's annual salary compared to 1.5 time the annual salary without contributory life insurance).

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- I am aware of the different investment/savings programs offered through the Division of Pensions and Benefits, including Deferred Compensation.

TIMESHEET/PAYROLL

- I have been assigned my eCATS logon ID and I have been instructed on how/when to submit a timesheet and have also been instructed on how/when to submit an overtime timesheet.
- I have discussed with my supervisor the job numbers and activity codes to use on my time report.
- I know my payroll number and workweek designation (both appear on time report). I understand that my overtime entitlement is based on my job title's official workweek designation, which may be covered by the Fair Labor Standards Act, and if my title changes my overtime entitlement may change.
- I know my benefit time balances for Vacation, Sick, Administrative Leaves and any XP time earned appear on my eCATS time report.
- I understand Paychecks and a statement of earnings and deductions are distributed every other Friday. Overtime payments, when earned, are either included in regular paychecks or in a supplemental check (issued on the off pay week) as established in employee bargaining agreements.
- I know I have the option of Direct Deposit of my paycheck, which is available through many banking institutions.
- I know that I am expected to keep my personal information /education/licenses current through MyDEP.

COMPUTER

- I know to contact the Help Desk if I am experiencing any computer related problems
- My supervisor has added my name to my program's document library and all relevant group lists in GroupWise
- If applicable, my supervisor has arranged for my access to NJEMS and other related program specific databases and I have had training in how to use these systems.
- I understand how to use the my New Jersey Portal if I need to access the DEPNet while out in the field or at home.

TRAINING

- I have attended all Orientation Training that I was assigned
- I have submitted copies of certificates of completion for NJ Ethics Courses to my supervisor within three weeks of my start date.
- I know that if I am not proficient in any needed skills I can contact the training office for assistance.

UNION AGREEMENTS

- I have received a copy of my applicable Union Agreement from the Office of Labor Relations.

HEALTH AND SAFETY

- I know to contact DEP's Office of Occupational Health and Safety at (609) 292-1408, if I am experiencing any health or safety related problems or concerns.
- I know how to report a workplace accident/illness using the Employer's First Reporting of Accidental Injury or Occupational Disease (Form RM-2), including the need to call Employee Services at (609) 984-3412 as soon as possible on the day of an injury if any medical treatment is needed.
- I know how to report a workplace chemical exposure, near miss of injury condition and/or minor injury on the Near Miss, Minor Injury and Exposure Incident Report (Form ADM-176) and I know to contact Office of Occupational Health and Safety at (609) 292-1408 if I have any questions with the form.
- I know that if I need help setting up my work station to be ergonomically correct, I can access a tutorial software from my PC (at the Windows "Start" button, select "Run", then type in the word "ergo") and/or request and ergonomic evaluation from the Office of Occupational Health and Safety.
- If applicable, my supervisor has discussed with me the personal protective equipment (PPE) I will need to perform my job and how to obtain such PPE.
- If applicable, my supervisor has discussed with me the chemicals that I will be using to perform my job and have been giving training on those chemicals. At a minimum, I have read the material safety data sheet (MSDS) for those chemicals along with any NJ Hazardous Substance Fact Sheets.
- If applicable, my supervisor has informed me of the need to participate in the DEP's Medical Surveillance Program and have completed the medical surveillance inclusion form and submitted it to the Office of Occupational Health and Safety.

Qualification Guide 2

REGULATIONS

A. A selection of currently applicable CFR Parts should be made by the Supervisor. The selection should include the references listed below and be documented. The qualifying individual should be expected to have a general knowledge of the topics addressed in the references. This review may be accomplished by self-study, briefings, or discussions.

1. 10 CFR Part 19 Notices, instructions and reports to workers; inspections
2. 10 CFR Part 20 Standards for protection against radiation (includes selected Questions and Answers, Q & As)
3. 10 CFR Part 30 Rules of general applicability to domestic licensing of byproduct material
4. 10 CFR Part 31 General domestic licenses for byproduct material
5. 10 CFR Part 32 Specific domestic licenses to manufacture or transfer certain items containing byproduct material
6. 10 CFR Part 33 Specific domestic licenses of broad scope for byproduct material
7. 10 CFR Part 34 Licenses for radiography and radiation safety requirements for radiographic operations
8. 10 CFR Part 35 Medical use of byproduct material
9. 10 CFR Part 36 Licenses and radiation safety requirements for irradiators
10. 10 CFR Part 39 Licenses and radiation safety requirements for well logging
11. 10 CFR Part 40 Domestic licensing of source material
12. 10 CFR Part 70 Domestic licensing of special nuclear material
13. 10 CFR Part 71 Packaging and transportation of radioactive material
14. 10 CFR Part 150 Exemptions and continued regulatory authority in agreement states and in offshore waters under section 274
15. 29 CFR Part 1910 Occupational Safety and Health Standards
17. 40 CFR Part 61 National Emission Standards for Hazardous Air Pollutants

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(emphasis on Subpart I)

18. 40 CFR Part 141 National Primary Drinking Water Regulations
19. 49 CFR Parts 171 Transportation through 180
20. 10 CFR Part 110 Export and Import of Nuclear Material and Equipment

B. A selection of applicable NJAC 7:28 subchapters should be made by the Supervisor and documented. The qualifying individual should be expected to have a general knowledge of the chapters. This review may be accomplished by self-study, briefings, or discussions.

C. Following completion of the qualifying individual's self study of the listed 10 CFR Parts and NJAC 7:28 subchapters, a discussion will be held with the qualifying license reviewer by the Supervisor to test the qualifying license reviewer's knowledge of these regulations. To the extent possible, recent application of various sections, new regulatory initiatives, and current industry issues should be emphasized. The Supervisor and employee will then complete Qualification Card 2 in Appendix C.

Qualification Guide 3

REGULATORY GUIDANCE

A. A selection of currently applicable regulatory guidance should be identified by the Supervisor. These references should include those listed below (documents marked by an asterisk must be selected as a minimum) and should be documented. The qualifying individual should be expected to have a general knowledge of the topics addressed in the references. The review may be accomplished by self-study, briefings, or discussions.

1. NRC Regulatory Guides (use latest revision)
 - 4.6 Measurements of Radionuclides in the Environment - Strontium-89 and Strontium-90 Analyses
 - 4.13 Performance, Testing and Procedural Specifications for Thermoluminescence Dosimetry: Environmental Applications
 - 4.15 Quality Assurance for Radiological Monitoring Programs
 - 4.20 Constraint on Releases of Airborne Radioactive Materials to the Environment for Licensees other than Power Reactors.
 - 6.1 Leak Testing Radioactive Brachytherapy Sources*
 - 6.2 Integrity and Test Specifications
 - 6.3 Design, Construction, and Use of Radioisotopic Power Generators for Certain Land and Sea Applications
 - 6.4 Classifications of Containment Properties of Sealed Radioactive Sources
 - 6.5 General Safety Standard for Installations Using Non-medical Sealed Gamma Ray Sources*
 - 6.6 Acceptance Sampling Procedures for Exempted and Generally Licensed Items Containing Byproduct Material
 - 6.7 Preparation of an Environmental Report to Support a Rule Making Petition Seeking an Exemption for a Radionuclide-Containing Product
 - 6.8 Identification Plaque for Irretrievable Well-Logging Sources
 - 7.1 Administrative Guide for Packaging and Transporting Radioactive Material

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- 7.2 Packaging and Transportation of Radioactively Contaminated Biological Materials*
- 7.3 Procedures for Picking Up and Receiving Packages of Radioactive Material*
- 7.4 Leakage Tests on Packages for Shipment of Radioactive Materials*
- 7.5 Administrative Guide for Obtaining Exemptions from Certain NRC Requirements over Radioactive Material Shipments
- 7.7 Administrative Guide for Verifying Compliance with Packaging Requirements for Shipments of Radioactive Materials*
- 7.10 Establishing Quality Assurance Programs for Packaging Used in the Transport of Radioactive Material
- 8.1 Radiation Symbol*
- 8.2 Guide for Administrative Practices in Radiation Monitoring*
- 8.4 Direct Reading and Indirect Reading Pocket Dosimeters*
- 8.5 Criticality and Other Interior Evacuation Signals
- 8.6 Standard Test Procedure for Geiger Muller Counters*
- 8.7 Instructions for Recording and Reporting Occupational Radiation Exposure Data*
- 8.9 Acceptable Concepts, Models, Equations and Assumptions for a Bioassay Program*
- 8.10 Operating Philosophy for Maintaining Occupational Radiation Exposures As Low As Is Reasonably Achievable*
- 8.11 Applications of Bioassay Uranium
- 8.13 Instruction Concerning Prenatal Radiation Exposure*
- 8.14 Personnel Neutron Dosimeters*
- 8.15 Acceptable Programs for Respiratory Protection*
- 8.18 Information Relevant to Ensuring that Occupational Radiation Exposures at Medical Institutions Will be As Low As Reasonably Achievable*

- 8.20 Applications of Bioassay for I-125 and I-131*
- 8.21 Health Physics Surveys for Byproduct Material at NRC Licensed Processing and Manufacturing Plants*
- 8.22 Bioassay at Uranium Mills
- 8.23 Radiation Safety Surveys at Medical Institutions*
- 8.24 Health Physics Surveys During Enriched Uranium 235 Processing and Fuel Fabrication*
- 8.25 Air Sampling in the Workplace*
- 8.26 Applications of Bioassay for Fission and Activation Products
- 8.28 Audible Alarm Dosimeters*
- 8.29 Instruction Concerning Risks from Occupational Radiation Exposure*
- 8.30 Health Physics Surveys in Uranium Mills
- 8.31 Information Relevant to Ensuring that Occupational Radiation Exposures at Uranium Mills Will Be As Low As Reasonably Achievable
- 8.32 Criteria for Establishing a Tritium Bioassay Program*
- 8.33 Quality Management Program*
- 8.34 Monitoring Criteria and Methods to Calculate Occupational Radiation Doses*
- 8.35 Planned Special Exposures*
- 8.36 Radiation Doses to the Embryo/Fetus*
- 8.37 ALARA Levels For Effluents From Materials Facilities*
- 8.39 Release of Patients Administered Radioactive Materials*
- 10.4 Guide for the Preparation of Applications for Licenses to Process Source Material*
- 10.12 Preparation of Petitions for Rulemaking Under 10 CFR 2.802 and Preparation and Submission of Proposals for Regulatory Guidance Documents

2. Information Notices (IN) and Bulletins (BL)

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- IN 91-002 Brachytherapy Source Management
- IN 91-003 Management of Wastes Contaminated With Radioactive Materials ("Red Bag" Waste and Ordinary Trash)
- IN 91-014 Recent Safety-Related Incidents at Large Irradiators
- IN 91-023 Accidental Radiation Overexposures to Personnel Due to Industrial Radiography Accessory Equipment Malfunctions
- IN 91-030 Inadequate Calibration of TLDs Utilized to Monitor Extremity Dose at Uranium Processing and Fabrication Facilities
- IN 91-035 Labeling Requirements for Transporting Multi-Hazard Radioactive Materials
- IN 91-049 Enforcement of Safety Requirements for Radiographers
- IN 91-060 False Alarms of Alarm Ratemeters Because of Radiofrequency Interference
- IN 91-071 Training and Supervision of Individuals Supervised by an Authorized User
- IN 92-010 Brachytherapy Incidents Involving Iridium-192 Wire Used in Endobronchial Treatments
- IN 92-034 New Exposures Limits for Airborne Uranium and Thorium
- IN 92-062 Emergency Response Information Requirements for Radioactive Material Shipments
- IN 92-072 Employee Training and Shipper Registration Requirements for Transporting Radioactive Materials
- IN 92-084 Release of Patients Treated With Temporary Implants
- IN 93-004 Investigation and Reporting of Misadministrations by the Radiation Safety Officer
- IN 93-005 Locking of Radiography Exposure Devices
- IN 93-006 Potential Bypass Leakage Paths Around Filters Installed in Ventilation Systems
- IN 93-007 Classification of Transportation Emergencies
- IN 93-010 Dose Calibrator Quality Control
- IN 93-014 Clarification of 10 CFR 40.22, Small Quantities of Source Material

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- IN 93-018 Portable Moisture-Density Gauge User Responsibilities
During Field Operations
- IN 93-030 NRC Requirements for Evaluation of Wipe Test Results; Calibration of Count
Rate Survey Instruments
- IN 93-031 Training of Nurses Responsible for the Care of Patients with Brachytherapy
Implants
- IN 93-036 Notifications, Reports, and Records of Misadministrations
- IN 93-060 Reporting Fuel Cycle and Materials Events to the NRC Operations Center
- IN 93-100 Reporting Requirements for Bankruptcy
- IN 94-007 Solubility Criteria For Liquid Effluent Releases to Sanitary Sewerage Under the
Revised 10 CFR Part 20
- IN 94-009 Release of Patients With Residual Radioactivity From Medical Treatment and
Control Areas Revised 10 CFR Part 20
- IN 94-015 Radiation Exposures During an Event Involving a Fixed Nuclear Gauge
- IN 94-016 Recent Incidents Resulting in Offsite Contamination
- IN 94-017 Strontium-90 Eye Applicators: Submission of Quality Management Plan (QMP),
Calibration, and Use
- IN 94-037 Misadministration Caused By a Bent Interstitial Needle During Brachytherapy
Procedure
- IN 94-039 Identified Problems in Gamma Stereotactic Radiosurgery
- IN 94-047 Accuracy of Information Provided to NRC During the Licensing Process
- IN 94-065 Potential Error in Manual Brachytherapy Dose Calculations Generated Using a
Computerized Treatment Planning System
- IN 94-070 Issues Associated with the Use of Strontium-89 and Other Beta Emitting
Radiopharmaceuticals
- IN 94-074 Facility Management Responsibilities for Purchased or Contracted Services for
Radiation Therapy Programs
- IN 94-081 Accuracy of Bioassay and Environmental Sampling Results

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- IN 95-007 Radiopharmaceutical Vial Breakage During Preparation
- IN 95-025 Valve Failure During Patient Treatment with Gamma Stereotactic Radiosurgery Unit
- IN 95-039 Brachytherapy Incidents Involving Treatment Planning Errors
- IN 95-050 Safety Defect in Gammamed 12I Bronchial Catheter Clamping Adapters
- IN 95-051 Recent Incidents Involving Potential Loss of Control of Licensed Material
- IN 96-004 Incident Reporting Requirements for Radiography Licensees
- IN 96-035 Failure of Safety Systems on Self-Shielded Irradiators Because of Inadequate Maintenance and Training
- IN 96-047 Recordkeeping, Decommissioning Notifications for Disposals of Radioactive Waste by Land Burial Authorized under Former 10 CFR 20.304, 20.302, and Current 20.2002
- IN 96-057 Incident-reporting Requirements Involving Intakes During a 24-hour Period That May Cause a Total Effective Dose Equivalent in Excess of 0.05 Sv (5 rems)
- IN 96-066 Recent Misadministrations Caused by Incorrect Calibrations of Strontium-90 Eye Applicators
- IN 96-072 Undetected Failures That May Occur During Patient Treatments with Teletherapy Devices
- IN 97-030 Control of Licensed Material During Reorganizations, Employee-Management Disagreements, and Financial Crises
- IN 97-042 Management Weaknesses Resulting in Failure to Comply With Shipping Requirements for Special Nuclear Material
- IN 97-043 License Condition Compliance
- IN 97-055 Calculation of Surface Activity for Contaminated Equipment and Material
- IN 97-065 Failures of High-Dose-Rate Remote Afterloading (HDR) Device Source Guide Tubes, Catheters, and Applicators
- IN 97-075 Enforcement Sanctions Issued as a Result of Deliberate Violations of NRC Requirements

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IN 97-091 Recent Failures of Control Cables Used on Amersham Model 660 Posilock Radiography Systems

IN 98-001 Thefts of Portable Gauges

IN 98-004 Enforcement Sanctions for Deliberate Violations of NRC Employee Protection Requirements

IN 98-005 Criminal History Record Information

IN 98-006 Unauthorized Use of License to Obtain Radioactive Materials, and its Implications under Expanded Title 18 of the U.S.Code

IN 98-010 Probable Misadministrations Occurring During Intravascular Brachytherapy with Novoste Beta-Cath System

IN 98-012 Licensee's Responsibilities Regarding Reporting and Follow-Up Requirements for Nuclear-Powered Pacemakers

IN 98-018 Recent Contamination Incidences Resulting From Failure to Perform Adequate Surveys

IN 99-004 Unplanned Radiation Exposures to Radiographers, Resulting from Failures to Follow Proper Radiation Safety Procedures

IN 99-009 Problems Encountered When Manually Editing Treatment Data on the Nucletron Microselectron-HDR (New) Model 105.999

IN 99-11 Incidents Involving the Use of Radioactive Iodine-131

IN 99-24 Broad-Scope Licensees' Responsibilities for Reviewing and Approving Unregistered Sealed Sources and Devices

IN 99-27 Malfunction of Source Retraction Mechanism in Cobalt-60 A Teletherapy Treatment Units

BL 86-004 Defective Teletherapy Timer That May Not Terminate Treatment Dose

BL 88-006 Actions To Be Taken for the Transportation of Model No. SPEC 2-T Radiographic Exposure Device

BL 92-002 Safety Concerns Related to "End of Life" of Aging Theratronics Teletherapy Units

BL 92-003 Release of Patients After Brachytherapy

- BL 93-001 Release of Patients After Brachytherapy Treatment With Remote Afterloading Devices
- BL 95-001 Quality Assurance Program For Transportation of Radioactive Material
- BL 97-001 Potential for Erroneous Calibration, Dose Rate, or Radiation Exposure Measurements with Certain Victoreen Model 530 and 530SI Electrometer/Dose-Meters

Others as selected by the Supervisor

3. NUREGs (latest revision, where applicable)

NUREG 1400 Air Sampling in the Workplace

NUREG 1460 Guide to NRC Reporting and Recordkeeping Requirements

NUREG 1507 Minimum Detectable Concentrations with Typical Radiation Survey Instruments for Various Contaminants and Field Conditions

NUREG 1556 Consolidated Guidance About Materials Licenses

Vol. 1: Program-Specific Guidance About Portable Gauge Licenses

Vol. 2: Program-Specific Guidance About Industrial Radiography Licenses

Vol. 4: Program-Specific Guidance About Fixed Gauge Licenses

Vol. 5: Program-Specific Guidance About Self-Shielded Irradiator Licenses

Vol. 6: Program-Specific Guidance About 10 CFR Part 36 Irradiator Licenses

Vol. 7: Program-Specific Guidance About Academic, Research and Development, and Other Licenses of Limited Scope

Vol. 8: Program-Specific Guidance About Exempt Distribution Licenses

Vol. 9: Program-Specific Guidance About Medical Use Licenses

Vol. 10: Program-Specific Guidance About Master Material Licenses

Vol. 11: Program-Specific Guidance About Licenses of Broad Scope

Vol. 12: Program-Specific Guidance About Possession Licenses for Manufacturing and Distribution

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Vol. 13: Program-Specific Guidance About Commercial Radiopharmacy Licenses

Vol. 14: Program-Specific Guidance About Well Logging, Tracer, and Field Flood Study Licenses

Vol. 15: Program-Specific Guidance About Changes of Control and About Bankruptcy Involving Byproduct, Source, or Special Nuclear Material Licenses

Vol. 16: Program-Specific Guidance About Licenses Authorizing Distribution to General Licensees

Vol. 17: Program-Specific Guidance About Service Provider Licenses

Vol. 18: Program-Specific Guidance About Special Nuclear Material of Less than Critical Mass Licenses

Vol. 19: Guidance For Agreement State Licensees About NRC Form 241, Report of Proposed Activities in Non-Agreement States, Areas of Exclusive Federal Jurisdiction, or Offshore Waters, and Guidance for NRC Licensees Proposing to Work in Agreement State Jurisdiction (Reciprocity)

Vol. 20: Program-Specific Guidance About Administrative Licensing Procedures

NUREG 1575 -Multi-Agency Radiation Site Survey and Investigation Manual(MARSSIM)

NUREG 1600 General Statement of Policy and Procedures for NRC Enforcement Actions

NUREG/BR 0195 NRC Enforcement Manual

NUREG/BR 0216 Radioactive Waste: Production, Storage, Disposal

NUREG/BR 0240 Reporting Safety Concerns

NUREG 1757 NMSS Consolidated Decommissioning Guidance

NUREG/CR 4884 Interpretation of Bioassay Measurements

NUREG/CR 5849 Manual for Conducting Radiological Surveys in Support of License Termination

Others as selected by the Supervisor

4. Generic Letters

GL 86-011 Distribution of Products Irradiated in Research Reactors

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- GL 88-004 Distribution of Gems Irradiated In Research Reactors
- GL 94-004 Voluntary Reporting of Additional Occupational Radiation Exposure Data
- GL 95-09 Monitoring and Training of Shippers and Carriers of Radioactive Material
- GL 99-001 Recent Nuclear Materials Safety and Safeguards Decision on Bundling Exempt Sources

Others as selected by the Supervisor

5. Federal Register Notices

U. S. Nuclear Regulatory Commission, "Decommissioning, Recordkeeping and License Termination: Documentation Additions - Final Rule," Federal Register 58 (No. 141), 39628-39635, July 26, 1993

U. S. Nuclear Regulatory Commission, "General Requirements for Decommissioning Nuclear Facilities - Final Rule, Federal Register 53 (No. 123), 24018-24056, June 27, 1988

Others as selected by the Supervisor

6. NRC Branch Technical Positions

Guidelines for Decontamination of Facilities and Equipment Prior to Release for Unrestricted Use or Termination of Licenses for Byproduct, Source, or Special Nuclear Material, April 1993

- 7. Standard Deficiency Paragraphs
- 8. Standard License Conditions
- 9. Licensing Checklists
- 10. Standard Review Plans
- 11. Sealed Source and Device Registry

Others as selected by the Supervisor

B. The application of these guidance documents to the materials license review program should be studied in detail by the qualifying individual. The Supervisor should ensure that the qualifying individual has a full and complete understanding. The Supervisor and employee will then complete Qualification Card 3 in Appendix C.

Qualification Guide 4

DEP INSPECTION MANUAL

- A. A selection of currently applicable Chapters from the DEP Inspection Manual and Inspection Procedure (IP) references with direct application to the category of inspector (Medical or Industrial) should be identified by the First Line Supervisor. The application of the specific sections to the materials inspection program should be studied in detail by the qualifying individual.
- B. The Supervisor will hold discussions, or interviews, to test the qualifying individual's knowledge and understanding of the Inspections Manual. The Supervisor should ensure that the qualifying individual has a full and complete understanding of the categories for which he/she is responsible. The Supervisor and employee will then complete Qualification Card 4 in Appendix C.

Qualification Guide 5

DEP LICENSING PROCEDURES MANUAL

- A. The DEP Licensing Procedures Manual should be studied in detail.
- B. The NUREG 1556 volumes with direct application to the specific license category should be identified by the Supervisor and should be studied in detail by the qualifying individual.
- C. The Supervisor will hold discussions, or interviews, to test the qualifying individual's knowledge and understanding of the Licensing Procedures Manual. The Supervisor should ensure that the qualifying individual has a full and complete understanding of the categories for which he/she is responsible. The Supervisor and employee will then complete Qualification Card 5 in Appendix C.

INDUSTRY CODES AND STANDARDS

A. A selection of currently applicable industry codes and standards should be identified by the Supervisor. These references should include those listed below. The qualifying individual should be expected to have a general knowledge of the topics addressed in the references. This review may be accomplished by self study, briefings, or discussions.

1. American National Standards Institute (ANSI)

ANSI N13.1 Guide to Sampling Airborne Radioactive Materials in Nuclear Facilities

ANSI N13.2 Guide for Administrative Practices in Radiation Monitoring

ANSI N13.5 Performance Specifications for Direct Reading and Indirect Reading Pocket Dosimeters for X and Gamma Radiation

ANSI N13.7 Criteria for Photographic Film Dosimeter Performance

ANSI N13.27 Performance Requirements for Pocket Sized Alarm Dosimeters and Alarm Ratemeters

ANSI N42.12 Calibration and Usage of Sodium Iodide Detection Systems

ANSI N42.13 Calibration and Usage of Dose Calibrator Ionization Chambers for the Assay of Radionuclides

ANSI N42.14 Calibration and Use of Germanium Spectrometers for the Measurement of Gamma Ray Emission Rates of Radionuclides

ANSI N42.15 Performance Verification of Liquid Scintillation Counting Systems

ANSI N43.3 General Radiation Safety - Installations Using Non- Medical X-Ray and Sealed Gamma-Ray Sources, Energies up to 10 MeV

ANSI 43.7 Safe Design and Use of Self Contained Dry Source Storage Gamma Irradiators (Category I)

ANSI N43.8 Classification of Industrial Ionizing Radiation Gaging Devices

ANSI N43.10 Safe Design and Use of Panoramic Wet Source Storage Gamma Irradiators (Category IV)

ANSI N44.1 Integrity and Test Specifications for Selected Brachytherapy Sources

ANSI N44.2 Leak Testing Radioactive Brachytherapy Sources

ANSI N44.3 Thyroid Radioiodine Uptake Measurements Using a Neck Phantom

ANSI N319 Personnel Neutron Dosimeters

ANSI N322 Inspection and Test Specifications for Direct and Indirect Reading Quartz Fiber Pocket Dosimeters

ANSI N323 Radiation Protection Instrumentation Test and Calibration

ANSI N449 Guidelines for Maintaining Cobalt-60 and Cesium-137 Teletherapy Equipment

ANSI N449.1 Procedures for Periodic Inspection of Cobalt-60 and Cesium-137 Teletherapy Equipment

ANSI N542 Sealed Radioactive Sources Classification

ANSI Z88.2 Practices for Respiratory Protection

ANSI Standards as selected and documented by the Supervisor

2. DEP Accepted Health Physics Computer Codes (RASCAL, RaSoRS, Hotspot, etc.)

3. National Council on Radiation Protection and Measurements (NCRP)

NCRP Reports No. 8, 30, 37, 40, 41, 47, 50, 57, 58, 61, 65, 69, 70, 84, 87, 93, 94, 95, 99, 100, 101, 102, 105, 107, 110, 111, 112, 114, 115, 116, 117, 121, 122, 123, 124, 125, 127, 129, 130, 134, 138, 147

NCRP Commentaries No. 9, 11, 14

4. International Commission on Radiological Protection (ICRP)

ICRP 19, 23, 25, 26, 27, 28, 30 and Supplements 35, 44, 51, 52, 53, 54, 56, 60, 61

5. U.S. Environmental Protection Agency (EPA)

Federal Guidance Report No. 11

Federal Guidance Report No. 12

Federal Guidance Report No. 13

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6. Committee on the Biological Effects of Ionizing Radiation (BEIR)

BEIR Reports (As selected by supervisor)

7. International Commission on Radiological Units (ICRU)

ICRU 12, 18, 20, 22, 24, 32, 38

8. International Atomic Energy Agency (IAEA)

IAEA Safety Series No. 1, 25, 33, 38

IAEA Technical Report Series No. 120, 133

B. The Supervisor should ensure that the qualifying individual has a full and complete understanding. The Supervisor and employee will then complete Qualification Card 6 in Appendix C.

Qualification Guide 7

DIRECTED REVIEW OF SELECTED LICENSING CASE WORK AND ON-THE-JOB TRAINING (OJT)

A. The Supervisor will select documents from the file of a licensed facility and assign their review to the qualifying individual. The qualifying individual will study in detail the selected documents. The selection should be documented. Such documents would include:

1. Initial license application and facility description
2. Associated licensing correspondence (DEP staff comments and licensee responses)
3. License renewal applications and associated DEP correspondence
4. Copy of the license
5. Inspection reports related to that licensee's activities

B. The Supervisor will discuss in detail with the qualifying individual the selected documents and their relation to the overall material license review program.

C. On-the-job training licensing activities shall be conducted in concert with a license reviewer at a specific category licensee(s) facility or on a specific category license action. Licensing shall be completed for each of the principal categories of licensees and license actions. The individual actions shall be on different license actions within the following categories:

License Category Name	Examples of License Types within the License Category	Formal Training Requirements	Number of Reviews Required for Qualification
Academic Group 1	R&D other, Academic Broadscope Type C, Self Shielded Irradiators	HP Technology (H-201) or (H-109), Licensing Procedures (G-109) and Transportation of Radioactive Material (H-308)	3
Academic Group 2	Academic Broadscope Type A and B	Same as Academic Group 1	2
Medical Group 1	Uptake/Dilution (35.100), Imaging/Localization Studies (35.200),	Same as Academic Group 1 plus Diagnostic & Therapeutic Nuclear Medicine (H-304)	2
Medical Group 2	Unsealed Material requiring Written Directive (35.300), Manual Brachytherapy (35.400), Nuclear Pharmacy, Veterinary	Same as Medical Group 1 plus: Brachytherapy, Gamma Knife and Emerging Technologies (H-313)	3
Medical Group 3	High Dose Rate Afterloaders (HDRs), Stereotactic Radiosurgery (Gamma Knife), Emerging Technologies (35.1000)	Same as Medical Group 2	3
Medical Group 4	Medical Broadscope	Same as Medical Group 2	2
Industrial Group 1	Gauges, Leak Test and Calibration Services, Measuring Systems, Manufacturing and Distribution Other, General License Distribution, DU Shielding	Same as Academic Group 1 plus Manufacturer Gauge training	4
Industrial Group 2	Industrial Radiography, Well Logging, Nuclear Laundry, Manufacturing and Industrial Broadscopes, Waste Disposal,	Same as Industrial Group 1 plus: Safety Aspects of Industrial Radiography (H-305) and Well Logging (H-314)	3

	Decontamination Services, Source Material		
Industrial Group 3 ^a	Part 36 Irradiators	Same as Industrial Group 2 plus Irradiator Technology (H-315)	(b)

a: This license category not needed for full qualification

b: As determined by Supervisor

The trainee shall process above categories of license actions as follows:

a) The trainee is provided copies of Standard License Conditions, Standard Form Letters, Standard Deficiency Paragraphs, Reviewer Checklists, and Standard License Formats and assigned directed review of selected licensing casework. The trainee observes the reviewer processing an application for a license or a license renewal in its entirety. The trainee shall be assigned processing of selected license amendments under the supervision of a reviewer.

b) Under the supervision of a reviewer, the trainee processes a license application or a license renewal in its entirety, including preparing the license, tying-down all license conditions and recommending the license for signature, to the license reviewer. This step should be conducted twice with different reviewers and licensing actions. Upon successful completion this constitutes the first of the required OJT reviews.

c) Under the observation of the Radioactive Material Licensing Supervisor or assignee, the trainee processes an application for license or an application for license renewal in entirety, including preparing the license, tying down all license conditions and recommending the license to the Chief, Radioactive Material Licensing or assignee, for signature. This step is repeated as necessary to meet the remaining number of reviews required for qualification. If problems are identified, this step may be repeated further.

D. The Supervisor should ensure that the qualifying individual has a full and complete understanding. The Supervisor and employee will then complete Qualification Card 7 in Appendix C.

Qualification Guide 8

REVIEW OF SIGNIFICANT EVENTS AT MATERIAL LICENSEES

A. A selection of significant historical materials related events should be identified by the Supervisor. These events should be documented and studied in detail by the qualifying individual.

B. The Supervisor should discuss the selected events in detail with the qualifying license reviewer and go over recommendations made, lessons learned, and changes identified to prevent recurrence. The relevance of the event to the overall materials license review program should be stressed.

C. The Supervisor should ensure that the qualifying individual has a full and complete understanding. The Supervisor and employee will then complete Qualification Card 8 in Appendix C.

Qualification Guide 9

DIRECTED REVIEW OF SELECTED INSPECTION CASE WORK AND ON-THE-JOB TRAINING (OJT)

A. The Supervisor will select inspection reports from the file of licensed facilities and direct their review by the qualifying individual. The qualifying individual will study in detail the selected inspection reports. The selection should be documented. Such reports would include:

1. Inspection reports
2. Associated correspondence (DEP staff comments and licensee responses)
3. Copy of the license
4. Any enforcement action correspondence
5. NJEMS tracking

B. The Supervisor will discuss in detail with the qualifying individual the selected documents and their relation to the overall material inspection program.

C. On-the-job training inspection activities shall be conducted in concert with an inspection reviewer at a specific category licensee(s) facility. The number of inspections to be conducted for each of the principal categories of licensees is listed in the table below.

License Category Name	Examples of License Types within the License Category	Formal Training Requirements	Number of Inspections Required for Qualification
Academic Group 1	R&D other, Academic Broadscope Type C, Self Shielded Irradiators	HP Technology (H-201) or (H-109), Licensing Procedures (G-109) and Transportation of Radioactive Material (H-308)	3
Academic Group 2	Academic Broadscope Type A and B	Same as Academic Group 1	2
Medical Group 1	Uptake/Dilution (35.100), Imaging/Localization Studies (35.200),	Same as Academic Group 1 plus Diagnostic & Therapeutic Nuclear Medicine (H-304)	2
Medical Group 2	Unsealed Material requiring Written Directive (35.300), Manual Brachytherapy (35.400), Nuclear Pharmacy, Veterinary	Same as Medical Group 1 plus: Brachytherapy, Gamma Knife and Emerging Technologies (H-313)	3
Medical Group 3	High Dose Rate Afterloaders (HDRs), Stereotactic Radiosurgery (Gamma Knife), Emerging Technologies (35.1000)	Same as Medical Group 2	3
Medical Group 4	Medical Broadscope	Same as Medical Group 2	2
Industrial Group 1	Gauges, Leak Test and Calibration Services, Measuring Systems, Manufacturing and Distribution Other, General License Distribution, DU Shielding	Same as Academic Group 1 plus Manufacturer Gauge training	4
Industrial Group 2	Industrial Radiography, Well Logging, Nuclear Laundry, Manufacturing and Industrial Broadsopes, Waste Disposal,	Same as Industrial Group 1 plus: Safety Aspects of Industrial Radiography (H-305) and Well Logging (H-314)	3

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	Decontamination Services, Source Material		
Industrial Group 3 ^a	Part 36 Irradiators	Same as Industrial Group 2 plus Irradiator Technology (H-315)	(b)

a: This license category not needed for full qualification

b: As determined by Supervisor

The trainee shall inspect above categories of licenses as follows:

a) The trainee is provided copies of the Inspection Manual, including inspection checklists, and facility license. The trainee observes the reviewer inspecting a facility in its entirety. The trainee shall be assigned selected aspects of the inspection under the supervision of a reviewer.

b) Under the supervision of a reviewer, the trainee inspects a facility in its entirety. This step should be conducted twice with different reviewers and at different facilities. This step is repeated as necessary to meet the remaining number of inspections required for qualification. Upon successful completion, this constitutes the first of the required OJT reviews.

D. The Supervisor should ensure that the qualifying individual has a full and complete understanding. The Supervisor and employee will then complete Qualification Card 9 in Appendix C.

Qualification Guide 10

REVIEW OF SIGNIFICANT EVENTS AT MATERIAL INSPECTIONS

- A. A selection of significant historical inspections should be identified by the Supervisor. These events should be documented and studied in detail by the qualifying individual.
- B. The Supervisor should discuss the selected events in detail with the qualifying license reviewer and go over recommendations made, lessons learned, and changes identified to prevent recurrence. The relevance of the event to the overall materials inspection program should be stressed.
- C. The Supervisor should ensure that the qualifying individual has a full and complete understanding. The Supervisor and employee will then complete Qualification Card 10 in Appendix C.

Qualification Guide 11

FORMAL NRC TRAINING

- A. The standards for each Formal NRC Training Course are provided in the NRC Technical Training Center Course Catalog and will not be duplicated.
- B. Documentation of successful completion of the NRC Training course is sufficient for the Supervisor and employee to complete Qualification Card 11 in Appendix C.

APPENDIX C
QUALIFICATION CARDS

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QUALIFICATION CARD 1: DEP Orientation

Name:	Title:	Section:
Review and/or Complete	Initials	Date
Facility Tour and Introduction	_____ Supervisor	_____
DEP Policy & Procedures	_____ Supervisor	_____
New Employee Important Information Checklist Completed	_____ Supervisor	_____
DEP Organization	_____ Supervisor	_____
Discussion of DEP Organization/ Environmental Regulations & DESH	_____ Supervisor	_____
Discussion of Radiation Protection and Release Prevention Programs and BER	_____ Supervisor	_____

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QUALIFICATION CARD 2: Regulations

Name:

Title:

Section:

Review and/or Complete

Initials

Date

Familiar with selected
N.J.A.C. Code

Supervisor

Familiar with selected 10
CFR Parts

Supervisor

Discussion completed on NJ
code and CFR Parts related
to radioactive materials

Supervisor

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QUALIFICATION CARD 3: Regulatory Guidance

Name:	Title:	Section:
Review and/or Complete	Initials	Date
NRC Regulatory Guides	_____ Supervisor	_____
NRC Information Notices and Bulletins	_____ Supervisor	_____
NUREGS	_____ Supervisor	_____
Generic Letters	_____ Supervisor	_____
Federal Register Notices	_____ Supervisor	_____
Policy and Guidance Directives	_____ Supervisor	_____

QUALIFICATION CARD 4: DEP Inspection Manual

Name: _____ **Title:** _____ **Section:** _____

Review and/or Complete

Initials

Date

Appropriate portions of the
DEP Inspection Manual

Supervisor

Discussion of the DEP
Inspection Manual

Supervisor

Rev.: August 2007

QUALIFICATION CARD 5: DEP Licensing Procedures Manual

Name: _____

Title: _____

Section: _____

Review and/or Complete

Initials

Date

Appropriate portions of the
DEP Licensing Procedures
Manual

Supervisor

Discussion of the DEP
Licensing Procedures Manual

Supervisor

Rev.: August 2007

QUALIFICATION CARD 6: Industry Codes and Standards

Name: _____ Title: _____ Section: _____

Review and/or Complete

Initials

Date

Selected American National
Standards Institute Standards

Supervisor

Selected Health Physics
Computer Codes

Supervisor

Selected NCRP Reports and
Commentaries

Supervisor

Selected ICRP Reports

Supervisor

Selected EPA Reports and
Guidance Documents

Supervisor

Selected BEIR Committee
Reports

Supervisor

Selected ICRU Reports

Supervisor

Selected IAEA Reports

Supervisor

Rev.: August 2007

QUALIFICATION CARD 7:**Directed Review of Selected Licensing Case Work and On- The-Job Training**

Name:	Title:	Section:
Review of selected licensing casework	Initials	Date
Academic Group 1		
1		
Case Study/Type	Employee	
2		
Case Study/Type	Employee	
3		
Case Study/Type	Employee	
Academic Group 2		
1		
Case Study/Type	Employee	
2		
Case Study/Type	Employee	
Medical Group 1		
1		
Case Study/Type	Employee	
2		
Case Study/Type	Employee	
Medical Group 2		
1		
Case Study/Type	Employee	
2		
Case Study/Type	Employee	
3		
Case Study/Type	Employee	

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Medical Group 31

Case Study/Type

Employee

2

Case Study/Type

Employee

3

Case Study/Type

Employee

Medical Group 41

Case Study/Type

Employee

2

Case Study/Type

Employee

Industrial Group 11

Case Study/Type

Employee

2

Case Study/Type

Employee

3

Case Study/Type

Employee

4

Case Study/Type

Employee

Industrial Group 21

Case Study/Type

Employee

2

Case Study/Type

Employee

3

Case Study/Type

Employee

Industrial Group 31

Case Study/Type

Employee

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2
Case Study/Type _____ Employee _____

3
Case Study/Type _____ Employee _____

Attach listing of additional sites as
needed

Discussion by first line supervisor of directed review of the selected casework
and its relation to the materials license review program

	Initials	Date
--	----------	------

Academic Group 1

<u>1</u> Case Study/Type _____	Supervisor _____	_____
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<u>2</u> Case Study/Type _____	Supervisor _____	_____
-----------------------------------	------------------	-------

<u>3</u> Case Study/Type _____	Supervisor _____	_____
-----------------------------------	------------------	-------

Academic Group 2

<u>1</u> Case Study/Type _____	Supervisor _____	_____
-----------------------------------	------------------	-------

<u>2</u> Case Study/Type _____	Supervisor _____	_____
-----------------------------------	------------------	-------

Medical Group 1

<u>1</u> Case Study/Type _____	Supervisor _____	_____
-----------------------------------	------------------	-------

<u>2</u> Case Study/Type _____	Supervisor _____	_____
-----------------------------------	------------------	-------

Medical Group 2

<u>1</u> Case Study/Type _____	Supervisor _____	_____
-----------------------------------	------------------	-------

<u>2</u> _____	_____	_____
-------------------	-------	-------

Rev.: August 2007

Case Study/Type

Supervisor

3

Case Study/Type

Supervisor

Medical Group 3

1

Case Study/Type

Supervisor

2

Case Study/Type

Supervisor

3

Case Study/Type

Supervisor

Medical Group 4

1

Case Study/Type

Supervisor

2

Case Study/Type

Supervisor

Industrial Group 1

1

Case Study/Type

Supervisor

2

Case Study/Type

Supervisor

3

Case Study/Type

Supervisor

4

Case Study/Type

Supervisor

Industrial Group 2

1

Case Study/Type

Supervisor

2

Case Study/Type

Supervisor

3

Case Study/Type

Supervisor

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Industrial Group 3

1

Case Study/Type

Supervisor

2

Case Study/Type

Supervisor

3

Case Study/Type

Supervisor

Attach listing of additional sites as
needed

QUALIFICATION CARD 8: Review of Significant Licensing Events

Employee Name: _____

Title: _____

Section: _____

Review and/or Complete

Initials

Date

Review of selected significant
historical materials events

Supervisor

Discussion of the importance
of these events and the
lessons learned

Supervisor

Rev.: August 2007

QUALIFICATION CARD 9:
Directed Review of Selected Inspection Case Work and On- The-Job
Training

Name:	Title:	Section:
Review of selected inspection casework	Initials	Date
Academic Group 1		
1		
Case Study/Type	Employee	
2		
Case Study/Type	Employee	
3		
Case Study/Type	Employee	
Academic Group 2		
1		
Case Study/Type	Employee	
2		
Case Study/Type	Employee	
Medical Group 1		
1		
Case Study/Type	Employee	
2		
Case Study/Type	Employee	
Medical Group 2		
1		
Case Study/Type	Employee	
2		
Case Study/Type	Employee	
3		
Case Study/Type	Employee	
Medical Group 3		
1		

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Case Study/Type

Employee

2

Case Study/Type

Employee

3

Case Study/Type

Employee

Medical Group 4

1

Case Study/Type

Employee

2

Case Study/Type

Employee

Industrial Group 1

1

Case Study/Type

Employee

2

Case Study/Type

Employee

3

Case Study/Type

Employee

4

Case Study/Type

Employee

Industrial Group 2

1

Case Study/Type

Employee

2

Case Study/Type

Employee

3

Case Study/Type

Employee

Industrial Group 3

1

Case Study/Type

Employee

2

Case Study/Type

Employee

Rev.: August 2007

3

Case Study/Type

Employee

Attach listing of additional sites as
needed

Discussion by first line supervisor of directed review of the selected casework
and its relation to the materials inspection program

Initials

Date

Academic Group 1

1

Case Study/Type

Supervisor

2

Case Study/Type

Supervisor

3

Case Study/Type

Supervisor

Academic Group 2

1

Case Study/Type

Supervisor

2

Case Study/Type

Supervisor

Medical Group 1

1

Case Study/Type

Supervisor

2

Case Study/Type

Supervisor

Medical Group 2

1

Case Study/Type

Supervisor

2

Case Study/Type

Supervisor

3

Case Study/Type

Supervisor

Medical Group 3

1

Rev.: August 2007

Case Study/Type

Supervisor

2

Case Study/Type

Supervisor

3

Case Study/Type

Supervisor

Medical Group 4

1

Case Study/Type

Supervisor

2

Case Study/Type

Supervisor

Industrial Group 1

1

Case Study/Type

Supervisor

2

Case Study/Type

Supervisor

3

Case Study/Type

Supervisor

4

Case Study/Type

Supervisor

Industrial Group 2

1

Case Study/Type

Supervisor

2

Case Study/Type

Supervisor

3

Case Study/Type

Supervisor

Industrial Group 3

1

Case Study/Type

Supervisor

2

Rev.: August 2007

Case Study/Type

Supervisor

3

Case Study/Type

Supervisor

Attach listing of additional sites as
needed

QUALIFICATION CARD 10: Review of Significant Events at Materials Inspections

Employee Name: _____

Title: _____

Section: _____

Review and/or Complete

Initials

Date

Review of selected significant
historical inspections

Supervisor

Discussion of the importance
of these events and the
lessons learned

Supervisor

Rev.: August 2007

QUALIFICATION CARD 11: Formal NRC Training

Employee Name:

Title:

Section:

Review and/or Complete

Initials

Date

Health Physics Tech (H-201)
or
Applied Health Physics
(H-109) or
Introductory Health Physics
(H117) or
Basic Health Physics (H-122)
or
Equivalent formal health
physics training/education

Supervisor

Diagnostic and Therapeutic
Nuclear Medicine (H-304)

Supervisor

Safety Aspects of Industrial
Radiography (H-305)

Supervisor

Brachytherapy, Gamma Knife
and Emerging Tech (H-313)

Supervisor

Licensing Practices and
Procedures (G-109)

Supervisor

Transportation of Radioactive
Materials (H-308)

Supervisor

Safety Aspects of Well
Logging (H-314)

Supervisor

Irradiator Technology Course
(H-315)

Supervisor

Fundamentals of Inspection
Course (G-101) or
Inspection Procedures
(G-108)

Supervisor

Root Cause/Incident
Investigation Workshop
(G-205)

Supervisor

Rev.: August 2007

Inspecting for Performance -
Materials Version (G-304)

Supervisor

Effective Communications (or
equivalent)

Supervisor

Site Access Training (H-100)
or NMSS Radiation Worker
Training (H-102) or equivalent

Supervisor

MARSSIM (H-121)

Supervisor

Environmental Monitoring for
Radioactivity (H-111) or
Radiological/Decommissioning
Surveyor Training (ORAU) or
Equivalent experience

Supervisor

RESRAD (H-410) or
Equivalent Model Training

Supervisor

OSHA HAZWOPER (24 hour
or 40 hour)

Supervisor

Introduction to Risk
Assessment (P-400)

Supervisor

Groundwater Hydrology

Supervisor

Introduction to Groundwater
Investigations (EPA 165.7)

Supervisor

Environmental Remediation
Technologies (EPA 165.3)

Supervisor

Fundamentals of Inspection
Refresher (G-102)

Supervisor

Health Physics Topical
Review (H-401)

Supervisor

Rev.: August 2007

4.6.3 CURRENT TECHNICAL STAFF QUALIFICATIONS

Janice Marie Baumann

EDUCATION:

NOTRE DAME HIGH SCHOOL

Lawrence Rd., Lawrence Twp., NJ

GRADUATED: June, 1979

MAJOR: Business

EMPLOYMENT:

NJ STATE DEPT. OF ENVIRONMENTAL PROTECTION

BUREAU OF ENVIRONMENTAL RADIATION - PO BOX 415, TRENTON, NJ 08625

POSITION: MANAGEMENT ASSISTANT

APRIL 13, 2006 - PRESENT

NJ STATE DEPT. OF ENVIRONMENTAL PROTECTION

BUREAU OF ENVIRONMENTAL RADIATION - PO BOX 415, TRENTON, NJ 08625

POSITION: TECHNICIAN MANAGEMENT INFORMATION
SYSTEMS

JUNE, 1991 - APRIL 13, 2006

NJ STATE DEPT. OF ENVIRONMENTAL PROTECTION

BUREAU OF ENVIRONMENTAL RADIATION - P.O. BOX 415 TRENTON, NJ 08625

POSITION: SECRETARIAL ASST. 3 (NS)

JANUARY, 1988 - JUNE, 1991

NJ STATE DEPT. OF ENVIRONMENTAL PROTECTION

BUREAU OF ENVIRONMENTAL LAB. - 380 SCOTCH RD., TRENTON, NJ 08628

POSITION: SECRETARIAL ASST. 3

APRIL, 1986 - JANUARY, 1988

NJ STATE DEPT. OF ENVIRONMENTAL PROTECTION

BUREAU OF RADIATION PROTECTION - 380 SCOTCH RD., TRENTON, NJ 08628

POSITION: PRINCIPAL CLERK TYPIST

FEBRUARY, 1984 - APRIL, 1986

NJ STATE DEPT. OF ENVIRONMENTAL PROTECTION

BUREAU OF RADIATION PROTECTION - 380 SCOTCH RD., TRENTON, NJ 08628

POSITION: SENIOR CLERK TYPIST

OCTOBER, 1981 - FEBRUARY, 1984

NJ STATE DEPT. OF ENVIRONMENTAL PROTECTION

BUREAU OF RADIATION PROTECTION - 380 SCOTCH RD., TRENTON, NJ 08628

POSITION: CLERK TYPIST

DECEMBER, 1979 - OCTOBER, 1981

NJ STATE DEPT. OF ENVIRONMENTAL PROTECTION

BUREAU OF RADIATION PROTECTION - 380 SCOTCH RD., TRENTON, NJ 08628

POSITION: HOURLY STUDENT ASSISTANT

SEPTEMBER, 1988 - DECEMBER, 1979

COURSES:

ACCESS 97 INTERMEDIATE – 1/99
ACCESS 97 INTRODUCTION – 1/99
WORD 97 ADVANCED – 1/99
WANG TRAINING – 2/90
WORD PROCESSING PLUS – 2/90
ABC SHORTHAND – 10/86 TO 2/87
SUPPORT SPECIALIST PROGRAM – 11/86 TO 9/87
IBM DISPLAYWRITER FUNCTION – 1986
TELEPHONE COMMUNICATIONS – 1982
HOW TO BE A SUPERVISOR - 2004
NJEMS TRAINING - 2006

REFERENCES:

AVAILABLE UPON REQUEST

WORK KNOWLEDGE/EXPERIENCE:

Knowledge in using NCFS Treasury system for tracking of purchase orders, travel reimbursements etc.

Knowledge in Excel for tracking of expenditures for the Low Level Waste Siting Board and the General Radiation accounts.

Knowledge in Access in order to prepare billing packages for both the Nonionizing Radiation and Radioactive Material Section of the Bureau

Prepares training/travel requests for the Bureau

Provides administrative support to the Manager of the Bureau

Assists with budget preparation and account status for the Bureau.

Prepares Debits/Credits on a quarterly basis. Tracks project activity codes and job numbers for Programs (Site Remediation, Low Level Radioactive Waste, Bureau of Safe Drinking Water, NER and other programs requiring debits/credits

Provides secretarial support in the absence of the Secretarial Asst. III. Knowledge in Word, Word Perfect, GroupWise, DEP Net.

WORK HISTORY

Nov 03-Present
April 2001-Nov 03

Radiation Physicist 3

Environmental Specialist, New Jersey Department of Environmental Protection, Bureau of Environmental Radiation

As a staff member of the Bureau of Environmental Radiation, my duties include:

- reviews of Radioactive Materials License Applications.
- composing drafts of new Radioactive Materials licenses.
- review of applications for the transportation of radioactive material in the state.
- quality assurance and calibration program for the Bureau's radiation detection equipment.
- field surveys and inspections of radioactively contaminated sites to gather data for evaluation of status and implementation of decontamination programs.
- collecting samples of sludge and wastewater from POTW's for radium in groundwater study.
- special radiation source investigations to locate and/or identify radiation hazards using radiation detection instrumentation.
- operation of nuclear instrumentation to evaluate the radioactive content of environmental samples and in performing facility surveys.
- preparation of monthly report containing technical narratives of incident findings.
- evaluation of compliance with N.J.A.C. 7:28 during radioactive material licensee inspections including proper area posting, operating conditions, exposure records and safety compliance.
- generate enforcement documents resulting from radioactive material licensee inspections and participate in enforcement procedures as needed.
- response to radiation incidents as a member of the Radioactive Materials and Radiation Assessment Team (RAMRAT.) I am available 24 hours a day to respond to radiation incidents.
- helping to develop an approach for administration of the radon in water mitigation program and devising a voluntary certification program for the mitigators.
- research and maintenance of documentation regarding radionuclide buildup in mitigation systems.
- writing brief program updates for the federal safe drinking water grant.
- field surveys and measurements during radiological emergencies to assess environmental contamination as a member of the Nuclear Emergency Response Team. I am available 24 hours a day to respond to nuclear power plant emergencies.
- soil sample collection from radiologically contaminated sites to determine the cause and the relationship of increases in low level radioactivity.
- submission of inspection reports to determine compliance with established laws, rules and regulations.
- preparation of technical correspondence in the course of my duties.
- maintenance of essential records, reports and files
- training new employees in licensing tasks and inspections of licensee facilities

1999-2001

Environmental Health Specialist, County of Burlington

Conduct CEHA fieldwork consisting of the following inspections: hazardous material, solid waste, recycling, UST leak detection, pesticides and air quality. Investigate and enforce noise, odor, and hazmat complaints. Sample streams for water quality monitoring program. Respond to hazmat incidents 24 hours/day.

1998-1999

Research & Demonstration Greenhouse Supervisor, OTC of Burlington County

Supervise a crew of eight workers whose tasks include pruning, harvesting and maintaining crops of hydroponic tomatoes. Conduct informative tours for school groups and other interested organizations. Manage the greenhouse by monitoring system controls, experiments and the nutrient levels in the irrigation system, and through recordkeeping, report preparation, personnel information, replenishing supplies, and product distribution.

EDUCATION

- 1995-1997 B.S. in Environmental Studies, The Richard Stockton College of New Jersey
- 1992-1995 A.S. in Environmental Science, Burlington County College

PROFESSIONAL TRAINING

- 2006 WMD Responder Operations Radiological/Nuclear Course, Bechtel Nevada
- 2005 IS-200 ICS for Single Resources and Initial Action Incidents, FEMA Emergency Management Institute
IS-100 Introduction to the Incident Command System (ICS-100), FEMA Emergency Management Institute
- 2004 IS-003 Radiological Emergency Management, FEMA Emergency Management Institute
IS-301 Radiological Emergency Response, FEMA Emergency Management Institute
IS-700 Introduction to National Incident Management System, FEMA Emergency Management Institute
- 2003 Radiological/Nuclear Responder Operations Course, Bechtel Nevada
Health Effects of Exposures to Ionizing Radiation, Cook College
Safe Use & Handling of Radioactive Materials, Cook College
Radiation Instrumentation, Cook College
Fundamentals of Radioactivity, Cook College
- 2002 Niton XRF Spectrum Analyzer Training Course, Niton Corporation
- 2001 Radon Contractors Proficiency Course, Cook College
Radioactive Material Dangerous Goods Transportation by Air, Safety & Compliance Services, Inc.

AWARDS RECEIVED/CLUBS

- Environmental Studies Program Distinction, Stockton College, 1997
- Graduated summa cum laude from Burlington County College and Stockton College
- Past President of the Science Forum at Burlington County College
- Excellence In Biology Award, Burlington County College, 1995
- Secretary of Burlington County Natural Sciences Club 1997-2004; vice-president 2004-07

William P. Csaszar

WORK EXPERIENCE

Research Scientist 1, 2003-present

N.J. Department of Environmental Protection, Radioactive Materials Section

- Administer New Jersey's Radioactive Materials Licensing Program.
- Coordination and training of the State's Radioactive Materials and Radiological Assessment Team (RAMRAT).

Radiation Physicist I, 1998-2003

N.J. Department of Environmental Protection, Radioactive Materials Section

- Responsible for routine inspection and licensing of NARM licensees in New Jersey.
- Provide scientific consultation and expertise pertaining to the utilization of radioactive materials.
- Oversee technical/scientific projects to ensure compliance with current Federal and State standards.

Radiation Physicist II, 1986-1998

N.J. Department of Environmental Protection and Energy, Radioactive Materials Section

- Responsible for licensing and inspections of NARM licensees.
- Interact with Governmental and State agencies during investigations and inspections as needed.

Radiation Physicist III, 1984-1986

N.J. Department of Environmental Protection, Radioactive Materials Section

- Responsible for routine inspection and licensing of NARM licensees in New Jersey.
- Enforce the rules and regulations of the New Jersey Radiation Protection Code and Act.

Nuclear Medicine Technologist, 1977-1984

- Utilization of radiopharmaceuticals for diagnostic and therapeutic purposes.
- Operation of clinical nuclear medicine instruments for patient

Nuclear Medicine Technologist, 1977-1984

- Utilization of radiopharmaceuticals for diagnostic and therapeutic purposes.
- Operation of clinical nuclear medicine instruments for patient imaging procedures.
- Assist the radiation safety officer and radiation safety committee in developing quality assurance procedures.
- Radioactive analysis of biological specimens using gamma-ray spectrometry.

Academic Preparation

M.S Degree in Radiation Science, Rutgers University, New Brunswick, New Jersey 1997

Nuclear Medicine Certification, John F. Kennedy Medical Center School of Nuclear Medicine, Edison, New Jersey, 1977

B.S. Degree in Biology, Monmouth College, West Long Branch, New Jersey, 1975

Professional Certificates and Affiliations

American Registry of Radiological Technologists Certification
Health Physics Society, New Jersey Chapter Member

Presentations

Rutgers Radiation Science Short Courses Instructor, June 2003 and June 2004

WMD Radiological/Nuclear Responder Operations Course, Middlesex County Fire Academy, Sayreville, N.J. Sept. 2004, Jan. 2006, and March 2006.

Patricia L. Gardner

WORK EXPERIENCE

Manager IV
New Jersey Department of Environmental Protection
Bureau of Environmental Radiation

9/97 - Present

As the Manager of the Bureau of Environmental Radiation (BER), responsibilities include oversight of the Radon, Radioactive Materials, Radiological Emergency Response, Non-ionizing, and Radioactive Assessment Programs (which includes Contaminated Sites & Comprehensive Rule Revision). Maintains an outreach program of general public information, education and technical support for both the radon and non-ionizing programs. Provides technical support to the following groups, UMDNJ School of Public Health, NJ State Police, Site Remediation Programs, Bureau of Safe Drinking Water, Division of Water Quality, Division of Solid and Hazardous Waste and the Air Program.

Responsibilities related to Domestic Security issues include being the representative on the Weapons of Mass Destruction (WMD) Advisory Committee for New Jersey. The WMD Advisory Committee developed matrices that detail activities and responsibilities for managing chemical, biological, radiological/nuclear and high yield explosive devices. Participates on the technology workgroup for the Department of Homeland Security. Developed procedures for use by the Radioactive Materials and Radiological Assessment Team, for use in the Gateway Exercise and in response to radioactive materials incidents. Assist the NJ State Police in the procurement of radiation detection equipment and Standard Operating Procedures for use by Commercial Vehicle Inspectors and bomb squad units in advancing NJ's Domestic Security preparedness. As a member of the Conference of Radiation Control Program Directors, HS-5 Task Force participated in the development of "Radiological Dispersal Device - First Responder's Guide" and companion handbook.

Research Scientist
NEW JERSEY DEPARTMENT OF ENVIRONMENTAL PROTECTION
BUREAU OF NUCLEAR ENGINEERING

6/92 - 8/97

As supervisor of the Nuclear Environmental Engineering Section, directed the routine, scientific and technical activities of the section. Implemented the analytical services privatization initiative. Secured an outside radiological laboratory to perform all the radioanalytical work required under the existing Radiological Environmental Monitoring Program. Responsible for the collection and analysis of over 1400 samples annually and the continued operation of the Continuous Radiological Environmental Surveillance Telemetry system.

Evaluated and provided analysis on technical specifications, licensing amendments and internal reports dealing with the environmental consequences of nuclear power. Participates as a member of the accident assessment team during nuclear emergency response activities. Functioned as a 24 hour a day primary responder to State Police Office of Emergency Management. Performed dose assessment modeling, integrating all exposure pathways to determine dose to the general public.

Continued participation in the Toms River Work Group which provides technical support to the Department of Health and Human Services for the investigation of childhood cancers in Dover Township, Ocean County. Worked on the development of a study of radioactivity in the Cohansey Aquifer and in the development of a brochure entitled "A Homeowners Guide to Radioactivity in Drinking Water".

Provided technical support and project management for the decontamination &

decommissioning of the Scotch Road laboratories. Participated in the Analytical Services Implementation Team and developed a Statement of Work template to be used by programs within the DEP for non-certified parameters.

Section Chief

3/91 - 6/92

**NEW JERSEY DEPARTMENT OF ENVIRONMENTAL PROTECTION
BUREAU OF ENVIRONMENTAL RADIATION**

As Supervisor of the Radiological Environmental Assessment Section, provided technical assistance and oversight for Site Remediation on 40 radiologically contaminated sites. Acted as project manager for the Camden/Gloucester City, Shieldalloy Metallurgical Corporation and Heritage Minerals Inc. radiological investigations. Reviewed environmental standards and guidelines for applicability and appropriateness for use at New Jersey sites.

Participated in the Task Group assigned the responsibility of revising the Radiation Protection Code. Responsible for drafting the Subchapters dealing with Surveys and Personnel Monitoring and Decommissioning and Decontamination of facilities which use, generate and store radioactive materials. Performed dose assessment modeling for both the analysis of radiologically contaminated sites as well as for nuclear power plant accident assessment.

Section Chief

6/85 - 3/91

**New Jersey Department of Environmental Protection
Bureau of Radiological & Inorganic Analytical Services**

As Radiation Section Chief, planned, organized and directed the routine scientific, technical and administrative activities of the laboratory consisting of fifteen staff members. Developed and implemented laboratory associated programs such as the NJ Radon Monitoring Program, Safe Drinking Water Program, Nuclear Regulatory Commission Quality Assurance Program and the State Radiological Monitoring Programs. Supervised professional and technical personnel in all aspects of the operation of a fully equipped radioanalytical laboratory. Conferred with the Bureau Chief and Assistant Director on policy, regulatory, technical and procedural issues. Prepared and justified Radiation Laboratory budget.

Maintained laboratory capabilities for responding to emergencies relating to radiation protection. Active member of the Emergency Response Team for the Bureau of Nuclear Engineering. Key participant in the Ingestion Planning Task Group and a co-developer of the Emergency Laboratory Facility. Developer of the Radon Counting System and key participant in the structuring of the Radon Program. Member of the Task Force for Women, Minorities and the Handicapped.

Radiation Physicist

3/81 - 6/85

**New Jersey Department of Environmental Protection
Bureau of Environmental Laboratories**

Directed personnel in established instrumentation Standard Operating Procedures. Developed new methodologies as required. System manager for RSX-11M and RT-11 operating systems for PDP 11 Series computers. Thorough knowledge of following radiation counting systems: Canberra Jupiter and Nuclear Data 682 gamma spectroscopy systems, Canberra Quad-Alpha Spectroscopy System, Tenelec LB5100 Proportional Counters, Beckman and TM Analytic Liquid Scintillation Counters and Radon Counting Systems.

ACADEMIC PREPARATION

Graduate work in Health Physics
Major: Radiation Science

**RUTGERS UNIVERSITY
NEW BRUNSWICK, NJ**

PROFESSIONAL TRAINING PROGRAMS

- ✓ Certified Public Managers Program
- ✓ Internal Dose Assessment
- ✓ Oyster Creek Nuclear Power Plant Systems Course
- ✓ Radon Mitigation Course
- ✓ RESRAD Radiation Dose Modeling Course
- ✓ MARSSIMS

PUBLICATIONS & REPORTS

dePAUL, Vincent T., U.S. Geological Survey, 810 Bear Tavern Rd., W. Trenton, NJ 08628, vdepaul@usgs.gov; GARDNER, Patricia, et. al., "RADON-222 OCCURRENCE IN GROUND WATER IN NEW JERSEY AND IMPLICATION FOR MULTI-MEDIA MITIGATION PROGRAM DEVELOPMENT IN REGIONS WITH VARYING INDOOR-AIR RADON CONCENTRATIONS", October 2001.

Goodman, Jenny, Gardner, Patricia, et. al., "Investigation of Charlotte Uranium Mine, Byram Township, Sussex County", November 2003.

Goodman, Jenny, Gardner, Patricia, et. al., "Radiological Investigation of Center Grove Elementary School Randolph, New Jersey", February, 2004

PRESENTATIONS

Gardner, P., Goodman, J., Truskowski, E., "Residual Management from Removal of Radionuclides in Drinking Water – New Jersey and Federal Perspective", The Conference of Radiation Control Program Directors 38th Annual Meeting, Detroit, MI, May 10, 2006.

Gardner, P., Goodman, J., Stanley, N., "Implementation of ISCORS Guidance Documents New Jersey's Experience", The Conference of Radiation Control Program Directors 38th Annual Meeting, Detroit, MI, May 10, 2006.

Gardner, P., "New Jersey Radon in Water Attitude Survey", The Conference of Radiation Control Program Directors 14th National Radon Meeting, Newport, RI, November 10, 2004.

Gardner, P., "Radiation Emergency Response in NJ", NJPCA Meeting, Princeton, NJ, Nov. 12, 2003.

Gardner, P., "POETS – Point of Entry Treatment Systems", Mid-Atlantic States Meeting of the Conference of Radiation Control Program Directors, Atlantic City, NJ, October 7, 2003.

Gardner, P., "Regulatory Discussion on Radium – Connecting Drinking Water and Wastewater", AWWA-WEA Meeting, New Brunswick, NJ, March 8, 2001.

Gardner, P., "Multi-Media Mitigation Program for Radon – Environmental Pioneering in the 21st Century", The Conference of Radiation Control Program Directors Tenth National Radon Meeting, Brookfield, WI, October 24, 2000.

Gardner, P., "Developing a Multi-Media Mitigation Plan", The Conference of Radiation Control Program Directors Ninth National Radon Meeting, Las Vegas NV, October 1999.

Gardner, P., "Brownfield and Contaminated Site Legislation and the Impact on Radiological Site Remediation in NJ", Health Physics Society Annual Meeting, Philadelphia, PA, July 1999.

Gardner, P., "New Jersey's Radon in Air Program", American Water Works Association Annual Meeting, invited speaker, Chicago, IL, July 1998.

Gardner, P., "Ra-224: A Success Story, The State and Federal Response", The Conference of Radiation Control Program Directors Annual Meeting, Louisville, KY, May 1999.

Gardner, P., "How Many Agencies Does it Take to Respond to an Incident Involving a Generally Licensed EXIT Sign?", The Conference of Radiation Control Program Directors Annual Meeting, Mesa, AZ, May 1998.

AWARDS

The Conference of Radiation Control Program Directors, Inc. Board of Directors Award for Outstanding Achievement in the Field of Radiation Protection. May 2006

State of New Jersey Teamwork/Partnership Achievement Award 2004, May 2004

New Jersey Department of Environmental Protection Constituent Service Recognition for the excellent constituent service provided by the X-ray Inspection Compliance Guidance, October 2000.

New Jersey Department of Environmental Protection Appreciation Award in recognition of the outstanding achievement as a member of the Toms River Work Group, June 1999.

Jennifer Goodman

EDUCATION

Rutgers University Graduate School, New Brunswick, NJ
MS Radiation Science, October, 1987
Institute of Nuclear Power Operators (INPO) Fellowship recipient

Cook College (Rutgers University), New Brunswick, NJ
BS Biochemistry, 1980

EXPERIENCE

US Environmental Protection Agency, Region 2, New York, NY
1984-85, Emergency Planning, Member of Radiological Assistance Committee

NJ Department of Environmental Protection, Trenton, NJ
1985-88, Bureau of Nuclear Engineering, Coordinated nuclear power plant emergency exercises, wrote standard operating procedures, designed and supervised construction of the Emergency Laboratory Facility.
1988-92, Bureau of Environmental Radiation, Supervised Radon Section, responsible for implementation of radon certification regulations.
1992-Present, Bureau of Environmental Radiation, Supervise Radiological Assessment Section
Responsible for reviewing characterization, remediation and final status survey plans for sites contaminated with radioactive materials. Sites include mineral extraction industries, former Manhattan Engineering District sites (nuclear weapons production), military bases, and manufacturing operations. Part of a team that developed cleanup standards for naturally occurring radioactive materials. Developed and promulgated a regulation for soil remediation standards for radioactive materials. Assist the Bureau of Safe Drinking Water with radionuclides in drinking water issues including occurrence, treatment, waste management, health effects, and costs. Assisted the NJ Drinking Water Quality Institute in developing a standard for Ra-224, currently assisting with development of radon in water standard.

COMMITTEES

Member of the Interagency Steering Committee on Radiation Standards Sewage Sludge Subcommittee
Member of National Council on Radiation Protection and Measurements Scientific Committee 6-2.
Coordinator, CRCPD E-35 committee on MARSSIM/MARSAME

REPORTS

New Jersey Drinking Water Quality Institute Report on Radium-224 Health Effects Subcommittee, November 2001
Radon in Air Investigation of the Pequest Trout Hatchery, Mansfield, Liberty, and White Townships, Warren County, 2004

Liberty, and White Townships, Warren County, 2004
Investigation of Charlotte Uranium Mine, Byram Township, Sussex
County, February 2004
ISCORS Assessment of Radioactivity in Sewage Sludge:
Radiological Survey Results and Analysis, November 2003
Modeling to Assess Radiation Doses, February 2005
Recommendations on Management of Radioactive Materials
in Sewage Sludge and Ash at Publicly Owned Treatment Works,
February 2005
A Study of Technologically Enhanced Naturally Occurring Radioactive
Material (TENORM) at a New Jersey POTW, January 2005
A Review of "Understanding Patterns and Trends of Radioactive
Strontium-90 in Baby Teeth of New Jersey Children with Cancer:
A Report to the New Jersey State Department of Health and
Senior Services", September, 2005

PUBLICATIONS

Amidon, T., Stern, R., and Goodman, J., *A Pathways Analysis Approach
to Developing Remediation Standards for Radioactively
Contaminated Soils*, in Contaminated Soils, Volume 4, Kostecki,
P. and Calabrese, E. editors, 1999.
Goodman, J., New Jersey and MARSSIM: Perfect Together (Well,
Almost). *Health Physics*. 84(6) Supplement 3, June 2003
Bastian, R. et al, Radioactive Materials in Biosolids: National
Survey, Dose Modeling, and Publicly Owned Treatment
Works (POTW) Guidance, *Journal of Environmental Quality*
34:64-74, 2005.
Wolbarst, A.B. et al, Radioactive Material in Biosolids: Dose Modeling.
Health Physics. 90(1), January 2006

PRESENTATIONS

Ingestion Pathway Planning in NJ and the Impact on a State Radiation
Laboratory, Health Physics Society, Boston, MA, July, 1988.
Implementation of NJ Soil Remediation Standards for Radioactively
Contaminated Sites, Health Physics Society, Philadelphia, PA,
June, 1999.
ISCORS Update on Sewage Sludge, Conference of Radiation Control
Program Directors Mid-Atlantic Meeting, Atlantic City, NJ,
October, 2003
Cleaning Up the BOMARC Site, from Missile Maidens to MARSSIM
NJ Chapter of the Health Physics Society, March, 2005
Implementation of ISCORS Guidance Documents: New Jersey's
Experience, ISCORS Principals, Washington D.C., March 2005

AWARDS

Appreciation Award in Recognition of Outstanding Achievement as a
member of the Tom's River Working Group, June 1999
Professional Achievement Award for assistance to the Drinking Water
Quality Institute in developing a Radium-224 in water standard,
April, 2003

REFERENCES

Available upon request

James Thomas McCullough

WORK EXPERIENCE

Environmental Specialist (January 2004 – present)

New Jersey Department of Environmental Protection, Trenton, NJ

- Bureau of Environmental Radiation, Radioactive Materials Section staff
- Reviews applications, renewals and amendment requests of NJ Radioactive Materials Licenses
- Inspects facilities that utilize radioactive materials
- Investigates incidents and inquiries involving radioactive materials
- Member of NJ Radioactive Materials Radiological Assessment Team (RAMRAT), available 24/7 for emergency response and technical assistance

Restoration Assistant (June – December 2003), Work Crew (2000 – 2002)

Pennypack Ecological Restoration Trust, Huntingdon Valley, PA

- Assisted with ecological restoration projects including: tree plantings and maintenance, stream bank restoration, removal of invasive plant species, native plants care
- Performed vegetation surveys to determine the effects of deer browsing on the regeneration of forest areas within the PERT preserve lands
- Met with ACE (Association of Conservation Executives) land managers group.
- Performed maintenance on public walking and biking trails and park property
- Given oversight responsibilities for community service volunteers and co-workers

ECP / Special Projects Intern (Summer 2002, Winter 2002-03)

PA Department of Environmental Protection, Southeast Regional Office, Conshohocken, PA

- Employed in the SE Regional Office, Environmental Clean-up Program (ECP), Special Projects Division
- Prepared descriptions of Act 2 remedial activities of the PA Land Recycling Program Annual Report
- Performed visits of Act 2, UST and special projects related sites with geologists and water quality specialists
- Logged coordinates of underground storage tanks and Act 2 sites with a GPS unit for eFACTS database

ACADEMIC PREPARATION

University of Scranton, Scranton, PA

B.S. Environmental Science, May 2003, Cumulative GPA 3.16 (4.0 index)

Co-leader of Environmentally Concerned Organization (E.C.O. club)

William Tennent High School

William Tennent Scholar, graduated top 25 in senior class of 400+ students

PROFESSIONAL TRAINING PROGRAMS

Centers for Disease Control (CDC)

- Medical Response to Nuclear and Radiological Terrorism (0.1 CEU) (11/24/04)

Federal Emergency Management Institute (FEMA) – Independent Study courses (3.6 CEU total)

- IS-003 Radiological Emergency Management (1/15/04)
- IS-100 Introduction to the Incident Command System (11/28/05)
- IS-301 Radiological Emergency Response (1/23/04)
- IS-331 Introduction to Radiological Emergency Preparedness Exercise Evaluation (11/17/05)
- IS-700 National Incident Management System (NIMS) and Introduction (11/29/05)

New Jersey Department of Environmental Protection

- Practical Gamma-Ray Spectrometry (April 2004)

New Jersey Department of Personnel

- Report Writing for Investigators (0.6 CEU) (April 2005)

Medical Imaging Radiation Safety Corp, R. J. Tokarz

- Course 1 in Basic Radiology Physics (16hrs) (5/20/04)

Rutgers Cook College- Radiation Short Courses (40 hours total)

- Fundamentals of Radioactivity (6/21/04)
- Radiation Detectors & Measurement (6/22/04)
- Liquid Scintillation Analysis (6/23/04)
- Safe Handling of Radioactive Materials (6/24/04)
- Management of Radiation Safety Programs (6/25/04)

Thermo Electron Corporation (8 hrs total)

- Thermo NITON Analyzers LLC Manufacturer's Training Course (5/25/06)

United States Department of Homeland Security (4.0 CEU total)

- WMD Radiological/Nuclear Awareness Course & Train the Trainer (10/16/06)
- WMD Radiological/Nuclear Responder Operations Course (10/20/06)

AWARDS

New Jersey State Public Service Award for Exceptional Service, May 2006

PROFESSIONAL AFFILIATIONS

Conference of Radiation Control Program Directors (CRCPD) – associate member

Health Physics Society (HPS) – New Jersey Chapter, member

Society of Environmental Toxicology and Chemistry – Hudson-Delaware Region Chapter, member

JODIE A. MURL

MERCER COUNTY COMMUNITY COLLEGE

STEINERT HIGH SCHOOL

**N.J. STATE DEPARTMENT OF ENV. PROTECTION
RADIOACTIVE MATERIALS SECTION**

**N.J. STATE DEPARTMENT OF ENV. PROTECTION
RADIOACTIVE MATERIALS SECTION**

**N.J. STATE DEPARTMENT OF ENV. PROTECTION
RADIOACTIVE MATERIALS SECTION**

N.J. STATE DEPARTMENT OF ENV. PROT. & ENERGY
RADIOACTIVE MATERIALS SECTION

729 Alexander Road, Princeton, N.J. 08540
Position: Head Clerk (Temporary)
January 6, 1991 - July 6, 1991 (filled in for position while
February 10, 1992 - May 8, 1992 permanent secretary was on
medical leave)

**EMPLOYMENT
(cont'd)**

**N.J. STATE DEPARTMENT OF ENV. PROTECTION
BUREAU OF ENVIRONMENTAL RADIATION**

729 Alexander Road, Princeton, N.J. 08540

Position: Word Processing Specialist II

February 10, 1992 - September 14, 1992

**N.J. STATE DEPARTMENT OF ENV. PROTECTION
RADIATION PROTECTION PROGRAMS-ASST DIR
OFFICE**

729 Alexander Road, Princeton, N.J. 08540

Position: Word Processing Specialist II

September 15, 1989 - February 10, 1992

**N.J. STATE DEPARTMENT OF ENV. PROTECTION
RADIATION PROTECTION PROGRAMS**

380 Scotch Road, W. Trenton, N.J. 08628

Position: Word Processing Specialist III

December 29, 1987 - September 15, 1989

**N.J. STATE DEPARTMENT OF ENV. PROTECTION
BUREAU OF RADIATION PROTECTION**

380 Scotch Road, W. Trenton, N.J. 08628

Position: Sr. Clerk Typist

February 11, 1987 - December 29, 1987

**N.J. STATE DEPARTMENT OF ENV. PROTECTION
BUREAU OF EMERGENCY RESPONSE COORD.**

380 Scotch Road, W. Trenton, N.J. 08628

Position: Clerk Typist

October 8, 1982 - November 12, 1983

**N.J. STATE DEPARTMENT OF ENV. PROTECTION
BUREAU OF RADIATION PROTECTION**

380 Scotch Road, W. Trenton, N.J. 08628

Position: Hourly Student Assistant

September 25, 1980 - October 8, 1982

**N.J. STATE DEPARTMENT OF TREASURY
DIVISION OF TAXATION**

Warren & Front Streets, Trenton, N.J. 08625

Position: Hourly Student Assistant

September 25, 1979 - June 22, 1980

CURRENT DUTIES

INCLUDE:

Responsible for the Sections Program for the overall input and organization of license application data and the output of Radioactive Materials Licenses for the State of New Jersey.

By using database:

- a) Maintains data for new licensee's, as well as amendments, renewals and terminations.
- b) Prepares license documents
- c) Maintains licensee's status and ensures notices to licensees are sent when license is due to expire on a quarterly basis.

Establishes effective lines of communication with Radioactive Materials License Administrator and section staff to maintain quality standards of reported data and identifies necessary corrective actions.

Utilizes electronic files of a technical nature to ensure that licenses are issued promptly for new facilities, that violation notices are sent to facilities and that licensees respond in the required time frames.

Monitors and promptly prepares input documentation relating to radioactive materials license and registration fees and generates fee invoices as per NJAC 7:28-3.13 and 4.19 of the Radiation Protection Code for all radioactive materials users in New Jersey.

Prepares all correspondence associated with radioactive material license section. Ensures that final documents are accurate and meet quality standards.

Set-up section's regulations on the section's computer and revise as necessary as per NJSA 26:2D-9 of the Radiation Protection Act.

Acts as control operator for the section's computer equipment by informing staff of input parameters to produce desired output reports. Also maintains a semi-weekly back up of electronic data.

Guides, schedules and takes corrective actions on the production of documents and determines the distribution of such documents and assists supervisory personnel and staff in the interpretation of the reported data.

DUTIES
(cont'd):

Monitors and documents the activities of the radioactive materials license, inspection and investigation section and generates periodic statistical reports on the section's activities.

Maintains and analyzes all correspondences requiring a response by the Radioactive Material's Section.

TRAINING PROG.
ATTENDED:

- Introduction to WordPerfect 6.1 (Windows)
May 13, 1996 and May 14, 1996
- WordPerfect 6.1 (Windows)
May, 1996
- Introduction to GroupWise
April, 1996
- Punctuation Plus
June 5, 1990 through June 12, 1990
- Introduction to WP Plus
February 21, 1990
- Positive Approach to Dealing with People
February 15, 1990 through February 22, 1990
- Spelling and Correct Word Usage
January 12, 1990 through January 19, 1990
- Introduction to DOS
November, 1989
- Introduction to WANG Office
October, 1989
- Time Management
October 19, 1989
- Secretarial Updating
September 22, 1989
- Secretarial English Review
May 12, 1988
- Introduction to DisplayWrite 3
June 16, 1987
- Introduction to PC
June 3, 1987
- ABC Shorthand Course
July 11, 1985 through October 17, 1985
- Employee Orientation Program Course
December 8, 1983

REFERENCES: AVAILABLE UPON REQUEST

RICHARD PEROS

Education:

M.S. Radiation Science, Rutgers University, May 1990

B.S. Environmental Science, Option in Radiation Science,
Cook College, Rutgers University, May 1987

Employment:

4/99 - present Research Scientist, New Jersey Department of Environmental Protection,
Ewing, New Jersey

- *Conduct audits of facilities that utilize radioactive materials to ensure compliance with New Jersey Department of Environmental Protection regulations. Conduct summary meetings with licensees to discuss any violations and/or recommendations for improvement of radiation safety policy and procedures. Complete reports to management based on the findings of such audits. Prepare appropriate material for enforcement, if such action is warranted.

- *Review applications/diagrams for radioactive materials licensees to ensure compliance with State regulations, the safety of workers, and to prevent degradation of the environment. Utilize verbal and written communication with applicants to rectify any outstanding issues based on initial review. Utilize same skills to review and rectify issues related to amendment requests from existing licensees.

- *Team Supervisor of New Jersey Radioactive Materials and Radiation Assessment Team. Supervise team field measurements during on-site investigations of radiological incidents. Conduct field measurements during such incidents utilizing a variety of radiation detection instrumentation and analytical equipment. Coordinate with any off-site management regarding findings of such investigations and direction of any additional actions. Coordinate with relevant on-site officials, if applicable.

- *Rule manager for regulatory revision project. Coordinate rule-making activities among rule writing members. Organize and conduct meetings related to the rule development. Work with DAG and OLA staff during review process. Conduct presentations to the Commission on Radiation

Protection to review drafted rules and facilitate comment. Incorporate such comments.

*Inventory control officer for section's radioactive materials. Conduct quarterly physical inventory to ensure accountability of radioactive sources assigned to the section. Prepare report on findings of such inventory. Discuss any discrepancies or need for additional sources with the Department's Radiation Safety Officer.

9/97 - 4/99 Deputy Radiation Safety Officer, Westchester Medical Center, Valhalla, New York

- *Prepared technical correspondence in the course of official duties
- *Conducted in-house audits of all radioactive materials users to ensure compliance with New York Department of Health regulations
- *Conducted various radiation surveys utilizing a variety of radiation detection instruments
- *Oversight of employee radiation exposure monitoring program
- *Completed annual reports on center's radioactive effluent to demonstrate compliance with New York state regulations
- *Conducted radiation safety classes for new employees
- *Trained and directed personnel in established radiation safety procedures

5/97 - 9/97 Assistant Radiation Safety Officer, Garden State Cancer Center, Belleville, New Jersey

- *Prepared technical correspondence in the course of official duties
- *Shipping/receiving officer for Center's radioactive packages
- *Conducted radiation safety orientation classes for new employees
- *Oversight of employee radiation exposure monitoring program
- *Responsible for oversight of Center's low-level radioactive waste
- *Trained and directed personnel in established radiation safety procedures

12/90 - 7/96 Research Scientist, New Jersey Department of Environmental Protection, Ewing, New Jersey

- *Lead in implementing/enforcing regulations for radon measurement businesses and individuals
- *Member of the New Jersey Radioactive Materials and Radiation Assessment Team. Responded to radiation emergency incidents.
- *Inventory control officer for section's radioactive materials
- *Manager of EPA grant projects up to \$80,000.00 in value
- *Prepared technical correspondence in course of official duties. Prepared annual summary reports to EPA under the State Indoor Radon Grant.
- *Reviewed certification applications

*Inspected radon measurement and mitigation firms

Internships:

6/89 – 8/89 Completed health physics internship at the U.S. Department of Energy's
Brookhaven National Laboratory, Upton, Long Island, New York

EDUCATION

M.S. - Radiation Science - Rutgers University (1998)

B.S. - Chemistry major, Physics and Biology minors - Trenton State College (1983)

Numerous short courses and training in MARSSIM, MARLAP, IATA/DOT, FEMA emergency planning & incident command, EPA 40-hour HAZWOPER, radiation measurement, advanced methods in gamma spectroscopy, radio-analytical methodologies, environmental sampling, atmospheric science, emergency planning, and many different computer applications.

EXPERIENCE

Twenty two years of experience in the radiation protection and health physics fields, including site assessment and cleanup, radiological laboratory operations, regulatory development, and emergency response issues. Types of projects included development of state regulations for airborne radiological emissions from licensed facilities; proposing, and subsequently maintaining Federal Clean Air Act grants; development and maintenance of laboratory capability for responding to emergencies relating to radiation protection issues; serving as a DEP technical consultant to the New Jersey Low-Level Radioactive Waste Disposal Facility Siting Board, providing input on health physics issues, performing project technical reviews, and coordinating the development of the Siting Board web page. Developed consistent sampling and analysis procedures for sites with radiologically contaminated soil (to be used in conjunction with the DEP's Soil Remediation Standards for Radioactive Materials (N.J.A.C. 7:28-12)). Currently active in performing technical reviews of site cleanup documents, including site characterization and proposed cleanup criteria; performing site visits and inspections. In addition, actively involved in drinking water treatment issues concerning naturally occurring radionuclides, specifically as they relate to buildup of radium, and subsequent discharge to sewer systems.

ACCOMPLISHMENTS

Authored series of technical reports based on five-year study of technologically enhanced naturally occurring radioactive material (TENORM) in municipal sludge in New Jersey POTWs

Speaker at the October, 2003 Conference of Radiation Control Program Directors, Inc. mid-Atlantic regional meeting, presenting a paper on "Soil Remediation Efforts at the Welsbach/General Gas Mantle Superfund Site."

Speaker at the 2000 National Conference on Radiation Control, presenting a paper on "A New Jersey Case Study of a Pilot Radium Removal System."

Served as a member of the Conference of Radiation Control Program Directors, Inc. Committee on Radioactive Waste Management (E-5)

Co-authored the NJ Low-Level Radioactive Waste Disposal Facility Siting Board home page

Co-authored the NJ DEP Radiation Protection Program home page

Speaker and Poster Presenter at the 1996 National Conference on Radiation Control, presenting a paper on "Scientific and Technical Assistance to the Republic of Belarus in the Wake of the Chernobyl Accident."

Traveled to the Republic of Belarus in the former Soviet Union in 1995 as a consultant to local scientists. Assisted in establishing an independent laboratory to monitor locally grown crops for radioactive contamination from the Chernobyl accident. Also assisted in establishing standard operating procedures for environmental sampling, instrumental analysis, and quality assurance activities.

TECHNICAL AREAS OF EXPERTISE

Laboratory Operations

Substantial working knowledge of gamma spectroscopy, liquid scintillation, gas proportional counting, alpha spectroscopy, and health physics instrumentation (personnel portable monitoring, portable survey, and non-portable instruments). Sound knowledge of analytical and radiochemistry techniques.

Technical Review Skills

Experienced in review of sampling and analysis plans, site characterizations, results of radio-analytical studies, radiological risk assessments, permit applications, and environmental assessments.

Regulatory Topics

Considerable working knowledge of numerous regulatory programs at federal and state levels, including the Clean Air Act, and EPA, NRC, and DOE regulations concerning radiation protection, waste disposal, and emergency response issues.

Computer Skills

Considerable working knowledge of Microsoft Office Suite (Word, Excel, Access, PowerPoint), GroupWise, on-line applications, and graphics packages. Experienced in web page authoring using HTML. Experienced in use of various radiation dose models (RESRAD, Microshield, DandD, COMPLY, CAP-88, etc.) and other programs (Visual Sample Plan, other MARSSIM-related software).

Communications Skills

Excellent communicative skills, including report writing, proposal preparation, and verbal articulation. Perform extensive technical and editorial review for document consistency and presentation.

EMPLOYMENT HISTORY

1992 - Present	NJ Department of Environmental Protection, Bureau of Environmental Radiation
Title	Radiation Physicist
1985 - 1992	NJ Department of Environmental Protection, Bureau of Radiological and Inorganic Analytical Services
Titles	Radiation Physicist, Radiochemist (as Laboratory Supervisor)

PROFESSIONAL ORGANIZATIONS

Conference of Radiation Control Program Directors (CRCPD) member
New Jersey Health Physics Society member

HEALTH PHYSICS MANAGER

Over twenty-five years extensive experience encompassing radiopharmaceutical production, facility decommissioning, disposal facility siting, research and education. Proficient problem solving skills with expertise in radiation assay techniques, filtration systems, audit procedures, and limiting of environmental effluent and personal exposure.

Results-oriented professional with effective oral and written communication skills. Able to interface with individuals on all levels.

PROFESSIONAL EXPERIENCE

NEW JERSEY DEPARTMENT OF ENVIRONMENTAL PROTECTION, Trenton, NJ 1998-Present
Research Scientist, Bureau of Environmental Radiation

- Develop and present training programs on the proper use and respect for radioactive materials.
- Coordinated three and one-half day summer workshops on radioactivity for middle school science teachers. Gave radiation training to county health professionals for the NJ Center of Public Health Preparedness.
- Audit private industry's clean-up procedures for compliance with the State of New Jersey soil and water remediation standards and MARSSIM guidance.
- Work with consultants, Army Corps of Engineers, Bureau of Safe Drinking Water, and Bureau of Pre-Treatment and Residuals to assure regulatory compliance for remediation projects.
- Man the Bureau of Nuclear Engineering Forward Command Post (field monitoring team duties) and Emergency Operations Facility (dose assessment duties) for nuclear emergencies at New Jersey nuclear power reactors.
- Perform Health Physics duties for the New Jersey Low-Level Radioactive Waste Disposal Facility Siting Board. Coordinate radiological waste generation data. Prepare the annual budget for the Siting Board.

NJ LOW-LEVEL RADIOACTIVE WASTE DISPOSAL FACILITY SITING BOARD, Trenton, NJ 1995-1998
Health Physicist

- Acted as radiological science expert for the Low-Level Radioactive Waste Siting Board.
- Assisted the executive director in all matters related to the use, transport and disposal of radioactive material.
- Wrote the Request for Proposal for the facility operator who will design, obtain license for, construct, operate and close a low-level radioactive waste disposal facility for New Jersey.
- Audited the quality assurance functions of the Site Characterization Contractor.
- Lectured on radiation safety and low-level radioactive waste at colleges, professional conventions and potential host communities.
- Prepared publications for potential host communities on subjects such as health effects of waste disposal and transport of radioactive waste.

CINTICHEM, INC. (A subsidiary of Hoffman-La Roche), Tuxedo, NY 1990-1995
Manager of Health Physics and Environmental Monitoring

- Managed site radiation safety program to maintain exposures ALARA (as low as reasonably achievable) for support of decommissioning of five Mega Watt research reactor and contract manufacturing radiopharmaceutical operation.
- Managed planning, testing and data review for staff of three supervisors and twenty-six technicians performing extensive radiological and safety control, environmental monitoring and on-site training activities.
- Coordinated regulatory aspects of asbestos remediation and soil excavation.
- Oversaw radiological free release of soil, equipment and structural materials that otherwise would have incurred millions of dollars of low-level radioactive waste costs.
- Minimized throughput of environmental assays by developing on-site strontium specific column separation assay procedures and by enacting procedural and personnel changes for HPGe assay system.
- Approved decommissioning task procedures and revisions as Secretary of site Nuclear Safeguard Committee.
- Served as Radiation Safety Officer for New York Department of Environmental Conservation and Department of Labor radioactive material permits and license.

BRISTOL-MYERS SQUIBB CO., New Brunswick, NJ
Radiation Safety Officer (1988-1990)

1977-1990

- Managed Health Physics department, which monitored handling of radioactive materials and ionizing radiation producing machines.
- Supervised two supervisors, five union technicians, and one clerk in radiation safety tasks of training, record keeping, surveying and auditing procedures.
- Maintained ALARA radiation exposures for five hundred occupational radiation workers using over fifteen research and radiopharmaceutical isotopes. No exposure limits exceeded.
- Maintained ALARA air and liquid effluent from research facilities and manufacturing plant. Decreased effluent by 25% via reduction of source terms and upgrading filtering systems.
- Administered State and NRC radioactive material licenses; met regulations and received no violations.
- Controlled spending to limit variances in \$500,000 budget.

Health Physics Supervisor (1977-1988)

- Evaluated and audited radiopharmaceutical manufacturing and research and development procedures for compliance with radiation safety practices in accordance with federal and state regulations.
- Supervised union Health Physics technicians.
- Prepared and updated personal computer programs for: storage and analysis of individual's radiation exposure history; daily Health Physics surveys and assays; and updating radiation safety, waste management, ALARA, and radiological contingency plan procedures manuals. Increased efficiency of processing of required data from days to less than a few hours.
- Set up and maintained GeLi detection and analysis system for product and environmental samples.
- Developed and implemented training programs on radiation safety procedures and emergency drills. Motivated employees to understand and respect radioactive sources through group presentations, video programs and one-on-one discussions.

RUTGERS UNIVERSITY, New Brunswick, NJ
Radiation Science Instructor

1981-1984

- Taught operational Health Physics course for the Coordinating Council on Radiation Science. Theory course was presented to dozens of power reactor employees in order to upgrade them to Health Physics technicians.

E.R.SQUIBB AND SONS, INC., New Brunswick, NJ
Analytical Chemist, Medotope Division

1976-1977

- Analyzed and prepared standards from NBS. Performed radiochemical purity and bio-efficacy tests on radiochemical products.

RUTGERS UNIVERSITY, New Brunswick, NJ
Health Physics Assistant

1976

- Supervised Health Physics procedures for radioactive labeling of protein. Supervised undergraduate applied Health Physics laboratory. Surveyed x-ray machines at local hospitals.

BROOKHAVEN NATIONAL LABORATORIES, Upton, NY
Health Physics Graduate Student Fellow

1976

- Assigned to high flux beam reactor and participated in projects in almost every department with Health Physics concerns on the site.

EDUCATION

M.S., Radiation Science, Rutgers University, 1988
B.S. Physics, Manhattan College, 1971
40 hour HAZ MAT training

Jack Tway

Academic Achievements

- Received Bachelor of Science Degree in Environmental Studies at Temple University's College of Science and Technology
- Graduated, May 2006 Cumulative GPA: 3.65
- College of Science and Technology's Spring 2005 and Fall 2005 Dean's List
- College of Science and Technology's Dean's List

Related Coursework: Hydrology, GIS, U.S Environmental Policy, Geology & Organic Chemistry

Professional Experience

New Jersey Department of Environmental Protection-
Bureau of Environmental Radiation, Radioactive Materials Section, 25 Arctic Pkwy. Ewing, NJ 08638
Radioactive Materials Inspector
(March 2007 – present)

Job Duties

- Processing radioactive material licenses and amendments
- Performing inspections of radioactive material installations
- Prepare technical correspondences in the course of official duties

A-Tripod Associates, 3100 Reading Ave. Bensalem, Pa 19053
Acoustical Ceiling Installer/ Estimator
(December 1995 – March 2007)

Job Duties

- Manage projects, direct teams of multiple co-workers, training of new employees
- Prepare and plan for weekly and daily duties
- Challenge designs and recommend alternative options if changes are required
- Strong customer service focus. Work closely with superintendents to coordinate the timely completion of projects

Computer Skills

Microsoft Excel, Word, Powerpoint, LabWorks, and ArcGIS

References

Laura Toran, Temple University, Dept of Geology ltoran@temple.edu 215-204-2352
Andrea Tripodi, Office Mgr. A. Tripod Assoc. tripodia@aol.com 215-357-1039

Adria J. Wentzel

EDUCATION	Cornell University, B.S. Science of Earth Systems, Cum Laude Ithaca, NY	
EMPLOYMENT HISTORY	Environmental Services Trainee New Jersey Department of Environmental Protection Trenton, NJ	March 2007-present
	<ul style="list-style-type: none">Process license applications, renewals and amendmentsInspect facilities to ensure compliance with NJ regulations and license conditions.Investigate incidents involving radioactive materials.	
	Deck Hand/Mess Mate Isaac H. Evans Rockland, ME	September-October 2006
	<ul style="list-style-type: none">Prepared and served food, washed dishes and cleaned galley.Handled sails and stood watch.Accommodated guests' requests.	
	Biological Technician Integrated Statistics Woods Hole, MA	June-September 2006
PROFESSIONAL TRAINING	<ul style="list-style-type: none">Created and customized IDL programs.Downloaded several types of satellite data from various websites.Maintained a self designed work schedule to complete work in a timely manner.	
	Teaching Assistant Cornell University Ithaca, NY	May-June 2006
	<ul style="list-style-type: none">Worked one-on-one with students answering questions about IDL programming, SeaDAS, and data downloading.Helped students design and debug specialized programs to fit their specific needs.	
	Radiological Science in the Context of Radiological Terrorism, Columbia University	2007
	Introduction to ArcGIS, New Jersey Department of Environmental Protection	
REFERENCES	The following are courses offered through FEMA Emergency Management Institute:	
	IS-003 Radiological Emergency Management	
	IS-100 Introduction to Incident Command System	
	IS-200 ICS for Single Resources and Initial Action Incidents	
	IS-331 Introduction to Radiological Emergency Preparedness Exercise Evaluation	
	IS-340 Hazardous Materials Prevention	
	IS-700 National Incident Management System (NIMS), an Introduction	
	IS-800.A National Response Plan (NRP), an Introduction	
Available upon request.		

NJ AGREEMENT STATE STAFF TRAINING

Name: William P. Cszaszar			Date of Hire: 1984	
Degree in Health Physics: M.S. in Radiation Science				
Other Degree: B.S. Biology				
ABHP Certification: NA				
Professional Engineering License: NA				
American Registry of Radiological Technologists Certification				
Formal Courses				
Training Areas	Date Planned	Date Completed	Equivalent Experience: Nuclear Engineering/Nuclear Safety	Supervisor Sign-Off
BASIC TRAINING				
Basic Health Physics		1997	M.S., OJT since 1977, see resume	
Five Week Health Physics Course		1997	M.S., OJT since 1977, see resume	
Overall Program Orientation			OJT since 1984	
Review of State Regulations -NJAC			OJT since 1984	
NJSA 26:2D-1 et seq.			OJT since 1984	
Act 147 of 1984			OJT since 1984	
10 CFR			OJT since 1984	
Review of Desk Manual			OJT since 1984	
Reference Material				
NARM Training		8/16/2007		
Essentials of Inspection			OJT since 1984	
Essentials of Licensing			OJT since 1984	
Essentials of Transportation		IATA 2002	OJT since 1984	
SPECIALIZED TRAINING				
Elements of Nuclear Medicine			CE requirements fulfilled up through 2007 (Certified ARRT Nuc Med.)	
Elements of Medical Therapy			OJT since 1984	
Elements of Industrial Radiography			OJT since 1984	
Irradiators				
Performance Based Inspections				
ADVANCED TRAINING				
Advanced Health Physics			M.S., see resume	
Elements of Investigations/Root Cause Analysis				
OTHER				
Radiological Emergency Response Operations (RERO)				
FEMA ICS 100, IS 003, IS 200, Is 301, IS 700			2004, 2005 & 2006	
Inspection of Transportation of Radioactive Materials			1987	
R/A Material Transportation Accident Emergency Response			1989	
10 CFR 35 Medical use of Byproduct Material			2002	
NMED Training			2001	
Advanced Radiological Incident Operations (ARIO)				

NJ AGREEMENT STATE STAFF TRAINING

Name: Catherine L. Biel			Date of Hire: 2001	
Degree in Health Physics:				
Other Degree: B.S. Environmental Science				
ABHP Certification:				
Professional Engineering License:				
Formal Courses				
TRAINING AREAS	Date Planned	Date Completed	Equivalent Experience: Nuclear Engineering/Nuclear Safety	Supervisor Sign-Off
BASIC TRAINING				
Basic Health Physics			OJT since 2001; see resume	
Five Week Health Physics Course				
Overall Program Orientation			OJT since 2001	
Review of State Regulations			OJT since 2001	
NJSA 26:2D-1 et seq			OJT since 2001	
Act 147 of 1984			OJT since 2001	
10 CFR			OJT since 2001	
Review of Desk Manual and Reference Material			OJT since 2001	
NARM Training		8/16/2007		
Essentials of Inspection			OJT since 2001	
Essentials of Licensing			OJT since 2001	
Essentials of Transportation			IATA/DOT	
SPECIALIZED TRAINING				
Elements of Nuclear Medicine			OJT since 2001	
Elements of Medical Therapy			OJT since 2001	
Elements of Industrial Radiography			OJT since 2001	
Irradiators			OJT since 2001	
Performance Based Inspections				
ADVANCED TRAINING				
Advanced Health Physics			OJT since 2001, see resume	
Niton XRF Spectrum Analyzer		2002		
Elements of Investigations/Root Cause Analysis				
OTHER				
Radiological Emergency FEMA IS-003, IS-301, IS 100, IS 200, IS-700				
WMD Responder Operations Radiological/Nuclear Course		2006		
Radiological/Nuclear Responder Operations Course		2003		
Response Operations (RERO) or Advanced Radiological Incident Operations (ARIO)				

NJ AGREEMENT STATE STAFF TRAINING

Name: James T. McCullough	Date of Hire: 2004
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Degree in Health Physics:
Other Degree: B.S. Environmental Science
ABHP Certification: NA
Professional Engineering License: NA

Formal Courses				
TRAINING AREAS	Date Planned	Date Completed	Equivalent Experience: Nuclear Engineering/Nuclear Safety	Supervisor Sign-Off
BASIC TRAINING				
Basic Health Physics			OJT since 2004, see resume	
Five Week Health Physics Course				
Overall Program Orientation			OJT since 2004	
Review of State Regulations			OJT since 2004	
NJSA 26:2D-1 et seq			OJT since 2004	
Act 147 of 1984			OJT since 2004	
10 CFR			OJT since 2004	
Review of Desk Manual and Reference Materials			OJT since 2004	
NARM Training		8/16/2007		
Essentials of Inspection			OJT since 2004	
Essentials of Licensing			OJT since 2004	
Essentials of Transportation			OJT since 2004	

SPECIALIZED TRAINING				
Elements of Nuclear Medicine			OJT since 2004	
Elements of Medical Therapy			OJT since 2004	
Elements of Industrial Radiography				
Irradiators			OJT since 2004	
Performance Based Inspections				

ADVANCED TRAINING				
Advanced Health Physics			OJT since 2004, see resume	
Elements of Investigations/Root Cause Analysis				
Medical Imaging Radiation Safety		2004		
Thermo NITON Analyzers LLC Manufacturers Training Course		2006		

OTHER				
Radiological Emergency FEMA- IS-003, IS-100, IS-301, IS-331, IS-700		2004, 2005		
WMD Radiological/Nuclear Awareness Course		2006		
WMD Radiological/Nuclear Responder Operations Course		2006		
Response Operations (RERO) or Advanced Radiological Incident Operations (ARIO)				

NJ AGREEMENT STATE STAFF TRAINING

Name: Richard Peros		Date of Hire:		
Degree in Health Physics: M.S. in Radiation Science				
Other Degree: B.S. Environmental Science, Option in Rad. Science				
ABHP Certification: NA				
Professional Engineering License: NA				
Formal Courses				
TRAINING AREAS	Date Planned	Date Completed	Equivalent Experience: Nuclear Engineering/Nuclear Safety	Supervisor Sign-Off
BASIC TRAINING				
Basic Health Physics		1990	M.S., OJT since 1990, see resume	
Five Week Health Physics Course		1990	M.S., OJT since 1990, see resume	
Overall Program Orientation			OJT since 1997	
Review of State Regulations -NJAC			OJT since 1997	
NJSA 26:2D-1 et seq.			OJT since 1997	
Act 147 of 1984			OJT since 1997	
10 CFR			OJT since 1997	
Review of Desk Manual and Reference			OJT since 1997	
Materials				
Essentials of Inspection			OJT since 1997	
Essentials of Licensing			OJT since 1997	
Essentials of Transportation			IATA/DOT	
NARM training		8/16/2007		
SPECIALIZED TRAINING				
Elements of Nuclear Medicine			OJT since 1997	
Elements of Medical Therapy			OJT since 1997	
Elements of Industrial Radiography			OJT since 1997	
Irradiators				
Performance Based Inspections				
ADVANCED TRAINING				
Advanced Health Physics			M.S., OJT since 1997, see resume	
Elements of Investigations/Root Cause Analysis				
OTHER				
Radiological Emergency			OJT since 1999	
FEMA				
Response Operations (RERO) or Advanced Radiological Incident Operations (ARIO)				

NJ AGREEMENT STATE STAFF TRAINING

Name: Jack Tway			Date of Hire: 2007	
Degree in Health Physics:				
Other Degree: Environmental Science				
ABHP Certification:				
Professional Engineering License:				
National Registry of Radiation Protection Technologists (NRRPT):				
Formal Courses				
TRAINING AREAS	Date Planned	Date Completed	Equivalent Experience: Nuclear Engineering/Nuclear Safety	Supervisor Sign-Off
BASIC TRAINING				
Basic Health Physics				
Five Week Health Physics Course				
Overall Program Orientation				
Review of State Regulations				
NJSA 26:2D-1 et seq				
Act 147 of 1984				
10 CFR				
Review of Desk Manual and Reference Materials				
NARM Training		8/16/2007		
Essentials of Inspection				
Essentials of Licensing				
Essentials of Transportation				
SPECIALIZED TRAINING				
Elements of Nuclear Medicine				
Elements of Medical Therapy				
Elements of Industrial Radiography				
Irradiators				
Performance Based Inspections				
ADVANCED TRAINING				
Advanced Health Physics				
Elements of Investigations/Root Cause Analysis				
OTHER				
Radiological Emergency				
FEMA				
Response Operations (RERO) or Advanced Radiological Incident Operations (ARIO)				

NJ AGREEMENT STATE STAFF TRAINING

Name: Adria Wentzel		Date of Hire:		
Degree in Health Physics:				
Other Degree:				
ABHP Certification:				
Professional Engineering License:				
National Registry of Radiation Protection Technologists (NRRPT):				
Formal Courses				
TRAINING AREAS	Date Planned	Date Completed	Equivalent Experience: Nuclear Engineering/Nuclear Safety	Supervisor Sign-Off
BASIC TRAINING				
Basic Health Physics				
Five Week Health Physics Course				
Overall Program Orientation				
Review of State Regulations				
NJSA 26:2D-1 et seq				
Act 147 of 1984				
10 CFR				
Review of Desk Manual and Reference Materials				
NARM Training		8/16/2007		
Essentials of Inspection				
Essentials of Licensing				
Essentials of Transportation				
SPECIALIZED TRAINING				
Elements of Nuclear Medicine				
Elements of Medical Therapy				
Elements of Industrial Radiography				
Irradiators				
Performance Based Inspections				
ADVANCED TRAINING				
Advanced Health Physics				
Elements of Investigations/Root Cause Analysis				
OTHER				
Radiological Emergency				
FEMA				
Response Operations (RERO) or Advanced Radiological Incident Operations (ARIO)				

NJ AGREEMENT STATE STAFF TRAINING

Name: Nancy Stanley Date of Hire: 1985

Degree in Health Physics: M.S. in Radiation Science
 Other Degree: B.S. Chemistry
 ABHP Certification: NA
 Professional Engineering License: NA

Formal Courses				
TRAINING AREAS	Date Planned	Date Completed	Equivalent Experience: Nuclear Engineering/Nuclear Safety	Supervisor Sign-Off
BASIC TRAINING				
Basic Health Physics		1998	M.S., OJT since 1985, see resume	
Five Week Health Physics Course		1998	M.S., OJT since 1985, see resume	
Overall Program Orientation			OJT since 1985	
Review of State Regulations			OJT since 1985	
NJSA 26:2D-1 et seq			OJT since 1985	
Act 147 of 1984			OJT since 1985	
10 CFR			OJT since 1985	
Review of Desk Manual and Reference Material				
Essentials of Inspection				
Essentials of Licensing				
Essentials of Transportation		2001	IATA/DOT	

SPECIALIZED TRAINING				
Elements of Nuclear Medicine				
Elements of Medical Therapy				
Elements of Industrial Radiography				
Radionuclide Radiators				
Performance Based Inspections				

ADVANCED TRAINING				
Advanced Health Physics			M.S., see resume	
Elements of Investigations/Root				
MARSSIM		1998	Also Adv MARSSIM in 2000	
MARLAP		2006		
RESRAD				
Cause Analysis				

OTHER				
FEMA		2005, 2006, 2007	ICS-100, 200; IS-301,700	
EPA 40 hr HAZWOPER		2005		
Radiological Emergency Response Operations (RERO) or Advanced Radiological Incident Operations (ARIO)				
RASCAL 3		2007		

NJ AGREEMENT STATE STAFF TRAINING

Name: Jennifer Goodman		Date of Hire: 1985		
Degree in Health Physics: M.S. in Radiation Science				
Other Degree: B.S. Biochemistry				
ABHP Certification: NA				
Professional Engineering License: NA				
Formal Courses				
TRAINING AREAS	Date Planned	Date Completed	Equivalent Experience: Nuclear Engineering/Nuclear Safety	Supervisor Sign-Off
BASIC TRAINING				
Basic Health Physics		1985	M.S., OJT since 1984, see resume	
Five Week Health Physics Course		1985	M.S., OJT since 1984, see resume	
Overall Program Orientation			OJT since 1988	
Review of State Regulations			OJT since 1988	
NJSA 26:2D-1 et seq			OJT since 1988	
Act 147 of 1984			OJT since 1988	
10 CFR			OJT since 1988	
Review of Desk Manual and Reference Material			OJT since 1988	
Essentials of Inspection				
Essentials of Licensing				
Essentials of Transportation		1990		
SPECIALIZED TRAINING				
Elements of Nuclear Medicine				
Elements of Medical Therapy				
Elements of Industrial Radiography				
Rad. Sources				
Performance Based Inspections				
ADVANCED TRAINING				
Advanced Health Physics			M.S., OJT since 1984, see resume	
Elements of Investigations/Root Cause Analysis				
RESRAD		1994		
MARSSIM		1999, 2000, 2005		
MARLAP		Sept, 2006		
ADVANCED MARSSIM		2002		
OTHER				
Radiological Emergency				
FEMA - Nuclear Power Plant				
Offsite Rad. Accident Assessment		1986		
Response Operations (RERO) or				
Advanced Radiological Incident				
Harvard School of Public Health Occupational and Env. Rad. Protection		Mar-95		
Internal Dose Assessment Fundamentals		May-88		
Gamma Spectroscopy		1987		
Hazardous Mtls. Incident Response Operations		1984		
BWR Systems Hope Creek BWR Systems Oyster		1986		
Reactor Theory Operations		1986		
Operations (ARIO)				

NJ AGREEMENT STATE STAFF TRAINING

Name: Edward J. Truskowski	Date of Hire: 1995
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Degree in Health Physics: M.S. in Radiation Science
Other Degree: B.S. Physics
ABHP Certification: NA
Professional Engineering License: NA

Formal Courses				
TRAINING AREAS	Date Planned	Date Completed	Equivalent Experience: Nuclear Engineering/Nuclear Safety	Supervisor Sign-Off
BASIC TRAINING				
Basic Health Physics		1988	M.S., OJT since 1977, see resume	
Five Week Health Physics Course		1988	M.S., OJT since 1977, see resume	
Overall Program Orientation			OJT since 1998	
Review of State Regulations -NJAC			OJT since 1977	
NJSA 26:2D-1 et seq.			OJT since 1977	
Act 147 of 1984			OJT since 1977	
10 CFR			OJT since 1977	
Review of Desk Manual and Reference			OJT since 1977	
Materials				
Essentials of Inspection			OJT since 1977	
Essentials of Licensing			OJT since 1977	
Essentials of Transportation		IATA	OJT since 1977	

SPECIALIZED TRAINING				
Elements of Nuclear Medicine				
Elements of Medical Therapy				
Elements of Industrial Radiography				
Radiators				
Performance Based Inspections				

ADVANCED TRAINING				
Advanced Health Physics			M.S., see resume	
Elements of Investigations/Root Cause Analysis				
MARSSIMS				
MARLAP				
RESRAD				

OTHER				
Radiological Emergency				
FEMA				
EPA 40 HR HAZWOPER				
Response Operations (RERO) or Advanced Radiological Incident Operations (ARIO)				

SECTION 4.7
EVENT AND ALLEGATIONS

TO: NJDEP Communications Center Personnel

FROM: Vince Krisak

DATE: October 31, 2006

SUBJECT: COMMUNICATIONS CENTER OPERATIONAL PROCEDURE #42
TERRORIST THREAT/ SECURITY BREACH NOTIFICATIONS
(Amended)

All calls involving the threat of terrorism will be handled in a professional manner and in accordance with the following procedures. The threat may be communicated directly from a perpetrator or may be a second-hand communication from a facility employee, news media, law enforcement or other governmental agency. In all cases, the operator should attempt to obtain as much information as possible, primarily the nature and location of the reported threat. A notification report may or may not be required based upon the nature of the threat. For example, threats against natural resources (public and private water supplies), public consumable commodities, nuclear generating stations, power plants, communication facilities, fixed military installations, governmental buildings or any report of a security breach/unauthorized intrusion (i.e. trespassing, breaking and entering, tampering) whether discovered through direct observation, alarm activation or signs of intrusion (i.e. cut locks, open door/hatch, cut security fencing) are to be considered report-worthy. Document the threat's wording exactly. All agencies receiving a verbal notification will also receive a telefax copy of any generated incident report.

A) Biological Threats of Terrorism - Threats of terrorism involving these substances (i.e. anthrax, cholera and plague) including incidents involving suspected contamination, including positive signals from Bio-Hazard Detection Systems in U.S. Postal facilities or exposure/requests for sample collection/testing will result in an immediate verbal notification to the Department of Health and Senior Services (DHSS) as follows:

Calls received between 0800 - 1700 hours, Monday - Friday: (609) 588-3572.

After-hours/weekends/holidays - consult the DHSS Duty Officer Roster.

In addition to the verbal notification a copy of the incident report will be faxed to (609) 588-7433.

Note: The Incident Notification chemical dictionary contains approximately 18 biological agents including a general "Biological Agent, Other." In all cases, these substances are identified by the term "Biological Agent" in parenthesis.

After notifying the DHSS, the operator is to immediately contact both the Bureau of Emergency Response (BER) and the New Jersey State Police (NJSP) and provide all relevant information. DHSS is the lead agency for all biological incidents.

B) Incendiary, Explosive or Chemical Threats/Terrorism - Threats of terrorism involving these materials will result in immediate verbal notification to the BER, NJSP and

Section 4.7

DHSS. Again attempt to obtain as much information as possible from the caller, primarily nature and location of the reported threat.

C) Nuclear/Radioactive Material Threats/Terrorism - Threats of terrorism involving these materials will result in immediate verbal notification to BER, NJSP, the Bureau of Radiation-Radioactive Materials and Radiation Assessment Team (RAMRAT) and DHSS.

D) Nuclear Power Plants and Support Facilities - All threats of terrorism against a nuclear power plant or its support facilities (i.e. turbine building, spent fuel storage area) will result in an immediate VERBAL notification to the Bureau of Nuclear Engineering (BNE) duty officer and NJSP- Regional Intelligence Operations Center (RIOC).

E) NJDEP Facilities - Any threat of terrorism against a NJDEP facility will result in an immediate notification to Assistant Commissioner Wade Chaudhary (Management & Budget). Assistant Commissioner Chaudhary should be contacted at his office during regular business hours. After hours, weekends or holidays refer to the Communication Center Bible for contact information.

F) Security Breach - Incidents of this type which occur at a nuclear power generating station or its support facilities (i.e. turbine building, spent fuel storage areas) are to be telefaxed to the Bureau of Nuclear Engineering (BNE) and the NJSP-RIOC. Security breaches occurring at non-nuclear facilities that handle, process, store or use radioactive materials will be telefaxed to RAMRA T and the NJSP-RIOC. Security breaches that occur at all other sites will be telefaxed to the appropriate BER regional office and to the NJSPRIOC. **NOTE-** Security breaches which have occurred at either a public or private water supply facility or its distribution system or which has occurred at a water treatment facility will require an IMMEDIATE verbal notification to the appropriate water enforcement regional office (this call is in ADDITION to the BER/NJSP-RIOC telefax).

G) National Response Center (NRC) faxes reporting: unusual events/suspected terrorist activity - Upon receipt of an NRC report outlining any unusual activity (i.e. unknown persons taking pictures of a facility, suspicious activity around sensitive areas, etc. regardless of location), Communications Center personnel will immediately telefax all pages of the NRC report to the following individuals/offices:

Assistant Director Van Fossen - (609) 777-0985

NJSP Regional Intelligence Operations Center (RIOC) - (609) 530-3650

The Office of Counter terrorism Critical Infrastructure Group - (609) 631-4928

The **original** NRC telefax should be left in Communications Officer Kerr's mailbox for filing. If you are in doubt as to whether or not to telefax the NRC report - **telefax it.**

Section 4.7

In all incidents involving threats of terrorism, the BER Duty Officer will be provided with the appropriate A - 310 municipal hazardous material contact telephone number for the incident location, if known.

It is the specific responsibility of the Emergency Response Duty Officer to notify the local municipality based upon their assessment if such notification is warranted (hazardous discharge potential).

ALL threats of terrorism including security breaches will also require an immediate verbal notification to the department's Emergency Response Coordinator Robert Van Fossen.

Vincent S. Krisak, Chief
Bureau of Communications and
Response Services

C: Assistant Commissioner Chaudhary - Management and Budget
Deputy Commissioner Bresnitz - DHSS
DEP Emergency Response Coordinator Van Fossen
Capt. Jerome Hatfield - NJSP
Chief Sweeney
Chief Tosch
Chief-Gardner
Administrator Hamilton
Emergency Response Regional Supervisors
Communications Officer Kerr

Section 4.7

CHEMCODESUBSTANCE NAME

03086	Biological Agents, Other
03105	Anthrax (Biological Agent)
03106	Cholera (Biological Agent)
03107	Plague (Biological Agent)
03108	Tularemia (Biological Agent)
03109	Q Fever (Biological Agent)
03110	Smallpox (Biological Agent)
03111	Venezuelan Equine Encephalitis (Biological Agent)
03112	Eastern Equine Encephalitis (Biological Agent)
03113	Western Equine Encephalitis (Biological Agent)
03114	Viral Hemorrhagic Fever (Biological Agent)
03115	Ebola Virus (Biological Agent)
03116	Marburg Virus (Biological Agent)
03117	Rift Valley Fever (Biological Agent)
03118	Botulinum (Biological Agent)
03119	Staphylococcal Enterotoxin B (Biological Agent)
03120	Ricin (Biological Agent)
03121	T-2 Mycotoxins (Biological Agent)



State of New Jersey
DEPARTMENT OF ENVIRONMENTAL PROTECTION

JON S. CORZINE
Governor

LISA P. JACKSON
Commissioner

M E M O R A N D U M

TO: NJDEP Communications Center Personnel

FROM: Vincent Krisak

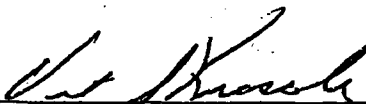
DATE: January 18, 2007

SUBJECT: COMMUNICATIONS CENTER OPERATIONAL PROCEDURE #51
(Amended)
RADIOACTIVE MATERIAL RELEASE NOTIFICATIONS AT OTHER
THAN NUCLEAR POWER PLANTS OR PRINCETON PLASMA PHYSICS
LABORATORY

Effective immediately all radioactive material(s) notifications occurring at other than a Nuclear Power Plant (i.e., Oyster Creek, Hope Creek, or Salem Unit #1 or #2) or the Princeton Plasma Physics Laboratory will require immediate notification to the appropriate duty officers from the Radioactive Materials and Radiation Assessment Team (RAMRAT) and the Bureau of Emergency Response. The lead agency will be designated as Radiation Protection and a copy of the incident report telefaxed to both agencies. (NOTE: Operators are ONLY to use "CC - Radioactive Materials" as the "Incident Type."


Incidents or advisories (i.e. NRC notifications) involving shipments of Highway Route Control Quantity of radioactive material (spent fuel or nuclear waste) regardless of whether or not a release has occurred, are to be immediately referred to either Chief Kent Tosch or Rich Penny, Bureau of Nuclear Engineering (BNE). These shipments are infrequent, however the NRC advisory includes all radioactive materials greater than 27,000 curies.

The BNE, upon assessing the incident information will be responsible for any additional notifications (i.e. NJSP, Emergency Response, etc.) which may be required. If requested, offer your complete cooperation with any necessary referrals.



Vincent S. Krisak, Chief
Bureau of Communications and
Support Services

rgc

c Assistant Director Van Fossen
Assistant Director Lipoti
Chief Tosch
Chief Sweeney
Chief Gardner


**EMERGENCY RESPONSE PLAN
FOR
RADIOACTIVE MATERIALS AND RADIATION EMERGENCIES
(NON-NUCLEAR REACTOR RADIATION EMERGENCIES)**

I. Authorities:

- A. The authority for this plan is contained in the New Jersey Statutes Annotated Title 26:2D-9.
- B. References used in the compilation of the Basic Plan are:
 - 1. New Jersey Statutes Annotated Title 26:2D-1 et. seq.
 - 2. New Jersey Administrative Code Title 7 Chapter 28, Subchapter 1 et. seq.
 - 3. New Jersey Statutes Annotated Title 58:10-23.11 et. seq.
- C. Mutual assistance understandings exist between the Department of Environmental Protection's (DEP) Bureau of Emergency Response (BER) and the Bureau of Environmental Radiation (BERAD) Radioactive Materials Radiological Assessment Team (RAMRAT) for radioactive materials and radiation (RAMR) incidents.
- D. Also, should BERAD need assistance with RAMR incidents, all Emergency Response Specialists are equipped and knowledgeable through advanced training.

II. Purpose:

- A. ~~BERAD will act to protect and preserve lives and property in the event of RAMR incident. It will utilize all resources, manpower and facilities available when necessary.~~
- B. This purpose will be accomplished through a Comprehensive Emergency Management approach, which encompasses the following four phases:
 - 1. **Mitigation:** Those activities which eliminate or reduce the probability and the effects of a RAMR incident.
 - 2. **Preparedness:** Those activities which the BERAD develops to respond to RAMR incidents including acquisition and maintenance of appropriate instrumentation and trained individuals to use them.
 - 3. **Response:** Those activities that help to evaluate the situation and reduce unnecessary radiation exposure by providing appropriate emergency assistance.
 - 4. **Recovery:** Those short and long term activities which return all systems to normal after a RAMR incident.

- C. The purpose of this plan is to set forth the general policies and procedures that will be followed in the event of a RAMR incident.

II. Situations:

- A. The State of New Jersey may experience radiation incidents as a result of transportation accidents or from lost or stolen sources of radioactive materials.
- B. Licensed radioactive materials users within the state may experience a natural or man-made incident, which could result in the release of radioactive materials to uncontrolled areas.
- C. RAMR incidents may occur in the state that requires a response beyond the technical capability of the BER at which point the BERAD would provide assistance.
- D. The State of New Jersey will contact the United States Nuclear Regulatory (NRC) for all RAMR incidents involving NRC licensed radioactive materials.

Members of the RAMRAT maintain a 24-hour a day response capability to non-nuclear reactor radiation emergencies throughout the State. A radiation emergency may include responding to a facility that has discovered radioactive contaminated trash or scrap metal, abandoned or stolen devices containing radioactive material, a transportation accident involving radioactive shipments or a terrorist radiological threat involving a possible weapon of mass destruction.

**4.7.1 EVENT
& ALLEGATION
RESPONSE
PROCEDURES**



NEW JERSEY RADIOLOGICAL RESPONSE PROTOCOL

January 2006

RADIOLOGICAL RESPONSE QUICK GUIDE

UNIDENTIFIED/UNVERIFIED SOURCE:

- A. Notify the New Jersey Department of Environmental Protection(NJDEP) Hotline at 1-877-927-6337 (1-877-WARNDEP)
- B. NJDEP will ask for the following information:
 1. Call back information;
 2. Description of the incident;
 3. Location of the source;
 4. Type of emission (pager alert or other detection);
 5. Radiation Detector readings;
 6. Manifest/Placarding information;
 7. Impact upon people (injuries, contamination);
 8. Presence of fire, physical hazards or hazardous material; and
 9. Responses to Radioactive Material Incident Report Form (Appendix 5).
- C. DEP will immediately notify NJSP Regional Operations and Intelligence Center (ROIC)
- D. Based on the information provided, the NJDEP will make an assessment of whether the radiation source is legitimate (i.e., medical isotope, naturally occurring radioactive materials (NORM), etc.) and may initiate a response from the designated HAZMAT/CBRNE team.

IF YOU ENCOUNTER A READING GREATER THAN 2mR/hour:

- A. ~~Separate the occupants from the vehicle or package~~
 - Re-survey
 - Question
- B. Establish a hot zone boundary out to a reading of less than 2mR/hour
- C. Notify DEP Hotline at 1-877-927-6337 (1-877-WARNDEP)

DEP will immediately notify NJSP Regional Operations and Intelligence Center (ROIC) and the designated HAZMAT/CBRNE team.
- D. Begin recording the dose reading every 30 minutes
- § Refer to the protocol for additional information and reporting chain

RADIOLOGICAL RESPONSE PROTOCOL

LEGAL PRACTICE

APRIL 2005

This Generic Statewide Protocol provides a template for the use of radiological pager (personal radiation detector/PRD) and identification detection equipment to detect, identify and classify radioactive substances and to ascertain their legitimacy. This document has been established by the New Jersey State Police and NJDEP in tandem with an equipment, hazard/safety and response training program and is intended to be the states radiological response protocol. It requires a radiological pager, the availability of survey equipment, an isotope identifier and real-time dosimetry capability. It is recommended that State and Local responder protocols be in accordance with existing SOPs for hazardous materials, suspicious device/packages, and unknown hazards. All responses to Nuclear/Radiological incidents should be treated as suspect until proven otherwise.

This tiered identification response includes three levels: Tier I involves the initial detection of a radiation source with a radiological pager (PRD). Tier II involves response from the designated HAZMAT/CBRNE response entity with isotope identification capability. Tier III involves state level response with high-purity germanium isotope identification capability with reach-back capability.

In the event that a radiation source cannot be explained or the Tier II response needs further guidance, technical assistance shall be obtained from NJDEP / NJSP via the 24-hour number for NJDEP (877-927-6337).

If it is determined that criminal activity is suspected or involved, the New Jersey State Police (NJSP) will, as warranted, contact the Department of Energy and / or the Federal Bureau of Investigation (FBI). If it is determined that no criminal activity is involved, NJDEP will provide further technical response and supervise the safe disposition of the discovered source, if appropriate.

Radiological pagers are only one tool in the law enforcement officer's toolbox. The radiological pager must be used in conjunction with the law enforcement officers training, departmental SOP's, Attorney General's and Prosecutor's guidance, and other training. In some circumstances, the pager reading alone may constitute probable cause or reasonable suspicion, while in other circumstances, the pager reading will not provide sufficient suspicion to detain an individual.

SECURITY WARNING

All individuals handling this information are required to protect it from unauthorized disclosure. This information should be disseminated on a need-to-know basis. It is not for public use, but is intended for use by local, state, and federal government agencies as a reference for security personnel in preparing for and responding to domestic nuclear/radiological terrorism. Restricted for Interagency Use Only.

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RADIOLOGICAL RESPONSE PROTOCOL

1.0 PURPOSE

This Protocol provides a generic template for the use of radiation detection and isotope identification equipment to classify radioactive substances and to ascertain their legitimacy. There are many legitimate sources of radiation including naturally occurring and authorized radioactive materials that may be encountered. The activation of a PRD's alarm does not automatically imply a hazard or a violation. Unidentified radioactive materials or those deemed not in compliance with all applicable laws will be processed in accordance with this Protocol.

2.0 IMPLEMENTATION REQUIREMENTS

- 1.0 This Protocol is designed to work in tandem with an equipment, hazard/safety and response training program.
- 2.2 It is incumbent on the user of this Protocol to establish safety zones in conformance with equipment detection capabilities and applicable health and safety requirements.
- 2.3 The numerical limits provided in this Protocol serve as examples and should be used only after confirming their applicability to a given circumstance.
- 2.4 Implementing this Protocol will require a radiological pager (PRD); the availability of survey equipment, an isotope identifier, and real-time dosimetry capability.
- 2.5 It is recommended that State and Local responders' actions be conducted in accordance with existing SOPs for hazardous materials, suspicious device/packages, and unknown hazards. All responses to Nuclear / Radiological incidents should be treated as suspect until proven otherwise.

3.0 APPLICATIONS

- 3.1 This generic template provides the basic elements necessary to establish radiological pager detection for State and Local venues such as:
Weigh Stations, Highways
- 3.2 Special events (i.e., Olympics - Stadiums, Athletes campus)
- 3.3 State and Local venues (i.e., State Fairs, Sports Stadiums, and Shopping Malls)

4.0 DEFINITIONS

- 4.1 For the purpose of this document, Tier I will designate the initial point of radiation detection and includes the first contact with a conveyance, individual, or shipment.
- 4.2 Tier II response is conducted in a secure area where the source is identified and analyzed utilizing isotope identification detection equipment and/or other search techniques. Additional terms of reference related to nuclear/radiological issues are available in Appendix 8.
- 4.3 Tier III involves state level response with high-purity germanium isotope identification capability with reach-back capability.

5.0 EQUIPMENT VERIFICATION AND PREPARATION

- 5.1 Prior to use, verify that the detection equipment is functioning properly using manufacturers' procedures
- 5.2 If the unit is not operating properly, do not use the equipment (see Appendix 7 for replacement or repair). Review first responder turn-back values (see below).
- 5.3 Review Radiological Response Quick Guide (at beginning of document).

First Responder Turn-Back Values

- Do not remain in areas greater than 100 mR/hr any longer than required for activities.
- Do not proceed into areas with dose rates greater than 1 R/hour (1,000 mR/hr) unless directed to do so by the Incident Commander.
- Do not enter areas exceeding 10 R/hr (10,000 mR/hr).
- Radiological Healthy & Safety Guidelines (found in Appendix 1).

6.0 TIER I PROCEDURES

- 6.1 When the detector alarms, escort the person or vehicle to a safe location nearby the area in which the alarm occurred for further investigation.
- 6.2 Determine the location and source of the radiation using one of the following flow charts:

Appendix 2 Response flow chart no vehicle
Appendix 2A Response flow chart passenger vehicle
Appendix 2B Response flow chart non-passenger vehicle

- 6.3 Once the radiation location and source have been determined, contact the supervisor and advise that gamma radiation was detected. If the appropriate flow chart leads to a request for examination with an isotope identifier advise the supervisor that a Tier II Response will be needed. Supervisor will contact NJDEP Hotline at 1-877-927-6337 (1-877-WARNDEP). NJDEP will notify the designated HAZMAT/CBRNE response entity for inspection. (See section 7 of this protocol.)

- **If possible, establish a single subject focus**

- A. Separate the driver from the vehicle or the person from their belongings.

- **Identify the Safety Zone**

- A. Monitor the Personal Radiological Device (PRD) to determine a safe distance from the source. A safety zone is a radiation field of 2 millirem/hour (2 mrem/hr) or less, if utilizing the Mini-Radiac or similar type pager. If the Radiological Pager S is used, back away from the source until the Radiological Pager S reads an "8" (equivalent to 2 millirem/hr (2 mrem/hr) a documented safe distance. Refer to Appendix 1 for additional health and safety guidelines.

- **Radiation Source Identification**

- A. If the determined safe distance is ten feet or less from the source - an approximate three-minute investigation may be conducted.
 - B. If the determined safe distance is beyond ten feet from the source - contact NJDEP Hotline at 1-877-927-6337 (1-877-WARNDEP). NJDEP will notify the designated HAZMAT/CBRNE response entity for inspection.
 - C. If the source identified is consistent with the list of Legitimate Radiation Sources (Appendix 4), and appears to be legitimate with no inherent danger, document the incident (Radioactive Material Incident Report Form Appendix 5). End the Source Identification effort.

NOTE: Question the individual (recent medical treatments, professions, etc.) to identify the possible cause of the alarm; however, always be cognizant of your safety (refer to Appendix 1 Emergency worker dose limits and time, distance and shielding method).

- D. Conveyance - If the source is on the conveyance, conduct a complete radiation survey of the conveyance to locate and determine the type of radiation. If the pager reading is consistent with the Legitimate Radiation Sources (Appendix 4), and the level and distribution of the radioactivity correlates with the materials described in the manifest for the conveyance, document the incident (Radioactive Material Incident Report Form Appendix 5). End the Source Identification effort.
- E. If the source is not consistent with the list of Legitimate Radiation Sources (Appendix 4), or the level and distribution of the radioactivity does not correlate with the materials described in the manifest for the conveyance, document (Radioactive Material Incident Report Form Appendix 5) and contact NJDEP Hotline at 1-877-927-6337 (1-877-WARNDEP). NJDEP will notify the designated HAZMAT/CBRNE response entity for inspection.

7.0 TIER II RESPONSE

7.1 Isotope Identification (HAZMAT/CBRNE, NJSP-HMRU, NJDEP)

- **Radiation Source Identification**

- A. If the determined safe distance is ten feet or less from the source - an approximate three-minute physical examination may be conducted and Isotope Identification Equipment may be used.
- B. If the determined safe distance is beyond ten feet from the source - use the Isotope Identification Equipment at this distance.

- **Specific Source Identification**

- A. If the existence of the suspected source is not confirmed by the Isotope Identification or survey equipment, and a cause of the alarm is not found and no inherent danger is discovered, document the incident on the Radioactive Material Incident Report Form (Appendix 5). End the Source Identification effort.
- B. If the source identified is not consistent with the list of Legitimate Radiation Sources (Appendix 4), no other isotopes are identified, and no apparent danger or threat is determined, document the incident (Radioactive Material Incident Report Form Appendix 5). End the Source Identification effort.

1. Occupant(s)/Traveler(s) - If the source is an occupant(s) or pedestrian(s), isolate the traveler(s) and question them with regard to recent medical treatments, professions, etc., to identify the possible cause of the alarm. If the individual's answer correlates with the reading from the Isotope Identifier and the Legitimate Radiation Sources (Appendix 4), document the incident on the Radioactive Material Incident Report Form (Appendix 5). End the Source Identification effort.
 2. Conveyance - If the source is on the conveyance, conduct a complete radiation survey of the conveyance to locate and determine the type of radiation. If the Isotope Identification is consistent with the Legitimate Radiation Sources (Appendix 4), and the level and distribution of the radioactivity correlates with the materials described in the manifest for the conveyance, document the incident (Radioactive Material Incident Report Form Appendix 5). End the Source Identification effort.
- C. If the source identified is not consistent with the list of Legitimate Radiation Sources (Appendix 4), or the level and distribution of the radioactivity does not correlate with the materials described in the manifest for the conveyance, document (Radioactive Material Incident Report Form Appendix 5) and contact NJDEP Hotline at 1-877-927-6337 (1-877-WARNDEP) and request Tier III Response. NJDEP will notify the designated HAZMAT/CBRNE response entity for inspection.
1. Occupant(s)/Traveler(s) - If the Isotope Identifier reading is not consistent with the Legitimate Radiation Sources (Appendix 4), or the readings do not match the verbal account given by the individual in question, document the incident on the Radioactive Material Incident Report Form (Appendix 5).
 2. Conveyance - If the Isotope Identification is not consistent with Legitimate Radiation Sources (Appendix 4) or the source cannot be identified, document the incident on the Radioactive Material Incident Report Form (Appendix 5).
- D. If the source is unidentified by the Isotope Identification Equipment, document the incident on the Radioactive Material Incident Report Form (Appendix 5) and contact the NJDEP Hotline at 1-877-927-6337 (1-877-WARNDEP) to request a Tier III Response.
- E. If neutrons are detected contact the NJDEP Hotline at 1-877-927-6337 (1-877-WARNDEP) to request a Tier III Response.

8.0 TIER III RESPONSE

In the event that a radiation source cannot be explained or the official discovering a questionable radiation situation needs further guidance, Tier III technical assistance will be provided through the NJDEP Hotline. The 24-hour number for NJDEP is 1-877-927-6337.

- A. Tier III involves state level response with high-purity germanium isotope identification capability with reach-back capability.
- B. If further technical assistance is warranted - the regional DOE Radiological Assistance Program (RAP) team will be contacted. If the RAP Team cannot resolve, NJSP/ROIC will contact the FBI.
- C. If at any point during the response, suspicious or criminal behavior is suspected or evident, or if no resolution of source identification is found, or if some level of suspicion exists and/or the equipment indicates a positive reading for suspected radiological material, request NJSP to call the FBI.
- D. If the Tier III RAP Team Representative determines the radiation source legitimate, the NJDEP will relay this information back to the initiating discovery official.
- E. If the Tier III RAP Team Representative determines the radiation source warrants further action or is an immediate threat, Tier III representatives will determine how to secure and isolate the radiation source.
- F. The RAP Team Representative will work with Tier III representatives to place the incident in the DOE Nuclear Triage System.
- G. ~~Once the triage system is initiated, the DOE Office of Emergency Response~~ will send radiation emergency response resources to the scene of the incident to determine the specific radiation source and level of threat.
- H. Tier III representatives will arrange to electronically send the isotope spectra to the DOE Office of Emergency Response for analysis.
- I. Once DOE emergency response resources are on-scene, they will work with the initiating organization to assess the situation and coordinate the necessary response.
- J. The Technical Representative will fully document the incident and place the information in a central database so all radiological inquiries/incidents are recorded.

9.0 TELEPHONE CONTACT INFORMATION

NJSP ROIC (609) 882-2000 extension 6090

NJSP Radiological Officer fax (609) 882-6523 and (609) 538-0345

OCT Leads Desk fax (609) 341-5006

NJDEP Bureau of Environmental Radiation fax (609) 984-5595

or (609) 633-2210

voice (609) 984-5462

NJDEP 24 hour dispatch (877) 927-6337

NJSP Calibration Laboratory (609) 924-5650

10.0 INCIDENT DOCUMENTATION

- A. Any PRD alarm requires the officer to immediately record the incident on the Radioactive Materials Incident Form (Appendix 5).
- B. The Radioactive Materials Incident Form shall be faxed as soon as possible to NJSP ROIC, NJDEP Bureau of Environmental Radiation and the OCT Leads Desk.
- C. All exposures to actual radiation shall be immediately logged on the Radiological Exposure Record.
- D. All readings will be taken and recorded every thirty minutes.

APPENDIX 1

RADIOLOGICAL HEALTH AND SAFETY EXPOSURE GUIDELINES

RADIOLOGICAL EXPOSURE GUIDANCE FOR EMERGENCY OPERATIONS

The primary concern after an alarm is triggered is to protect the public from unnecessary radiation exposure so that the dose received does not exceed the annual limit of 100 milliRem. A good rule of thumb for response personnel would be to set an exclusion zone so that the level measured by a radiation detection meter does not exceed two milliRem per hour. Under normal operating conditions, emergency response personnel who are monitored for exposure to radiation shall not exceed 5000 milliRem or 5 rem per year. Officers assigned a pager must complete a Radiological Exposure Record. This form can be found in Appendix 3.

Emergency Worker Dose Limits

Radiation dose limit is 1.25 R per incident. If more than one incident per year, use occupational dose limits.

This limit may incrementally be increased to 5 R with concurrence from the Department of Health and a maximum of 25 R with authorization by the Governor based upon Department of Health recommendation.

Doses > 25 R may be authorized for lifesaving activities or protection of large populations on a voluntary basis. Volunteers must be fully aware of the risks involved.

Radiation dose limit for extremities is 50 R.

Emergency Worker TURN-BACK VALUES

Do not remain in areas greater than 100 mR/hour (gamma or closed window) any longer than required for survey activities. Do not proceed into areas with dose rates greater than one R/hour (gamma or closed window) unless directed to do so by the Incident Commander or your supervisor.

Do not enter areas exceeding 10 R/hour (gamma or closed window).

RADIATION PROTECTION

Sources of radiation are natural background and manufactured.

NATURAL BACKGROUND SOURCES

Natural Background Sources include:

- Cosmic Radiation
- Terrestrial Radiation
- Internal Radiation

Cosmic Radiation

The earth, and all living things on it, is constantly bombarded by radiation from space, similar to a steady drizzle of rain. Charged particles from the sun and stars interact with the earth's atmosphere and magnetic field to produce a shower of radiation, typically beta and gamma radiation. The dose from cosmic radiation varies in time and in different parts of the world due to differences in elevation and the effects of the earth's magnetic field.

Terrestrial Radiation

Radioactive material is found throughout nature. It occurs naturally in the soil, water, and vegetation. The major isotopes of concern for terrestrial radiation are uranium and the decay products of uranium and thorium, such as radium, and radon. Low levels of potassium-40, uranium, thorium, and their decay products are found everywhere. Some of these materials are ingested with food and water, while others, such as radon, are inhaled. The dose from terrestrial sources varies in different parts of the world.

Locations with higher concentrations of uranium and thorium in their soil have higher dose levels.

Internal Radiation

In addition to the cosmic and terrestrial sources, all people also have radioactive potassium-40, carbon-14, lead-210, and other isotopes inside their bodies from birth. The variation in dose from one person to another is not as great as the variation in dose from cosmic and terrestrial sources.

MAN-MADE RADIATION SOURCES

Two distinct groups are exposed to man-made radiation sources:

- Members of the public
- Occupationally exposed individuals

Members of the Public

Man-made radiation sources that result in an exposure to members of the public:

- Tobacco
- Televisions
- Medical X-rays
- Smoke detectors
- Lantern mantles
- Nuclear medicine
- Building materials

By far, the most significant source of man-made radiation exposure to the public is from medical procedures, such as diagnostic X-rays; nuclear medicine, and radiation therapy. Some of the medical isotopes are Iodine-131, Technicium-99m, Cobalt-60, Iridium-192, Cesium-137.

In addition, members of the public are exposed to radiation from consumer products, such as tobacco (polonium-210), building materials, combustible fuels, (gas, coals, etc.), ophthalmic glass, televisions, luminous watches and dials (tritium), airport X-ray systems, smoke detectors (americium), road construction materials, electron tubes, fluorescent lamp starters, lantern mantles (thorium), etc.

The final sources of exposure to the public would be shipment of radioactive materials and residual fallout from nuclear weapons testing and accidents, such Chernobyl.

Occupationally Exposed Individuals

Occupationally exposed individuals work in the following environments:

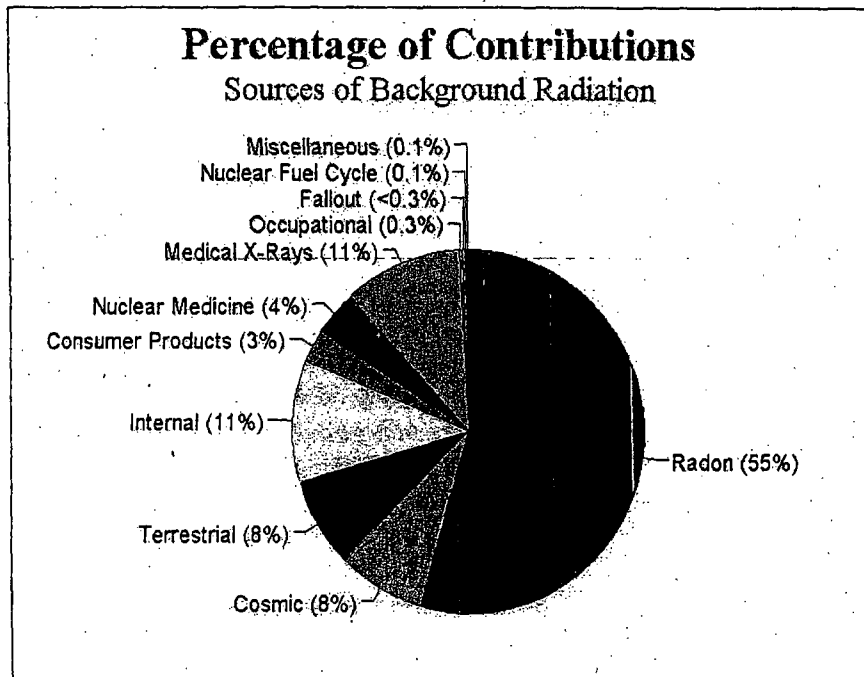
- Industrial Radiography
- Radiology Departments (Medical)
- Radiation Oncology Departments
- Nuclear Medicine Departments
- National (government) and University Research Laboratories

Individuals are exposed according to their occupations and to the sources with which they work. The exposure of these individuals to radiation is carefully monitored with the use of tiny instruments called dosimeters. Some typical isotopes are Cobalt-60, Cesium-137, Americium-241.

Ionizing Radiation Exposure to the Public

The average radiation dose to a person in the United States is approximately 360 milliRem/year; as shown in the figure below, natural sources of radiation account for about 82% of all public exposure, while man-made sources account for the remaining 18%.

The Federal Nuclear Regulatory Commission requires that its licensees limit maximum radiation exposure to individual members of the public to 100 milliRem per year, and limit occupational radiation exposure to adults working with radioactive materials to 1250 milliRem per calendar quarter. (NRC regulations and radiation exposure limits are contained in Title 10 of the Code of Federal Regulations under Part 20.)



Effects of Radiation

Radiation causes ionization within the molecules of living cells. These ionizations result in the removal of electrons from the atoms, forming ions or electrically charged atoms. The ions may go on to react with other atoms in the cell, causing damage. An example of this would be if water molecules near a cell's DNA absorb energy from radiation passing through the cell the ions formed might react with the DNA, causing it to break.

At low doses, such as what we receive every day from background radiation, the cells are believed to repair the damage rapidly. At higher doses (up to 100 rem), the cells might not be able to repair the damage, and the cells may either be changed permanently or die. Most cells that die are of little consequence, the body can just replace them. Cells changed permanently may go on to produce abnormal cells when they divide. Under the right circumstances, these cells may lead to cancer. This mechanism is believed to be the origin of increased risk of cancer, because of radiation exposure.

At even higher doses, the cells cannot be replaced fast enough and tissues fail to function. An example of this would be "radiation sickness." This is a condition that results after high acute doses to the whole body (>200 rem), the body's immune system is damaged and might not be able to fight off infection or disease.

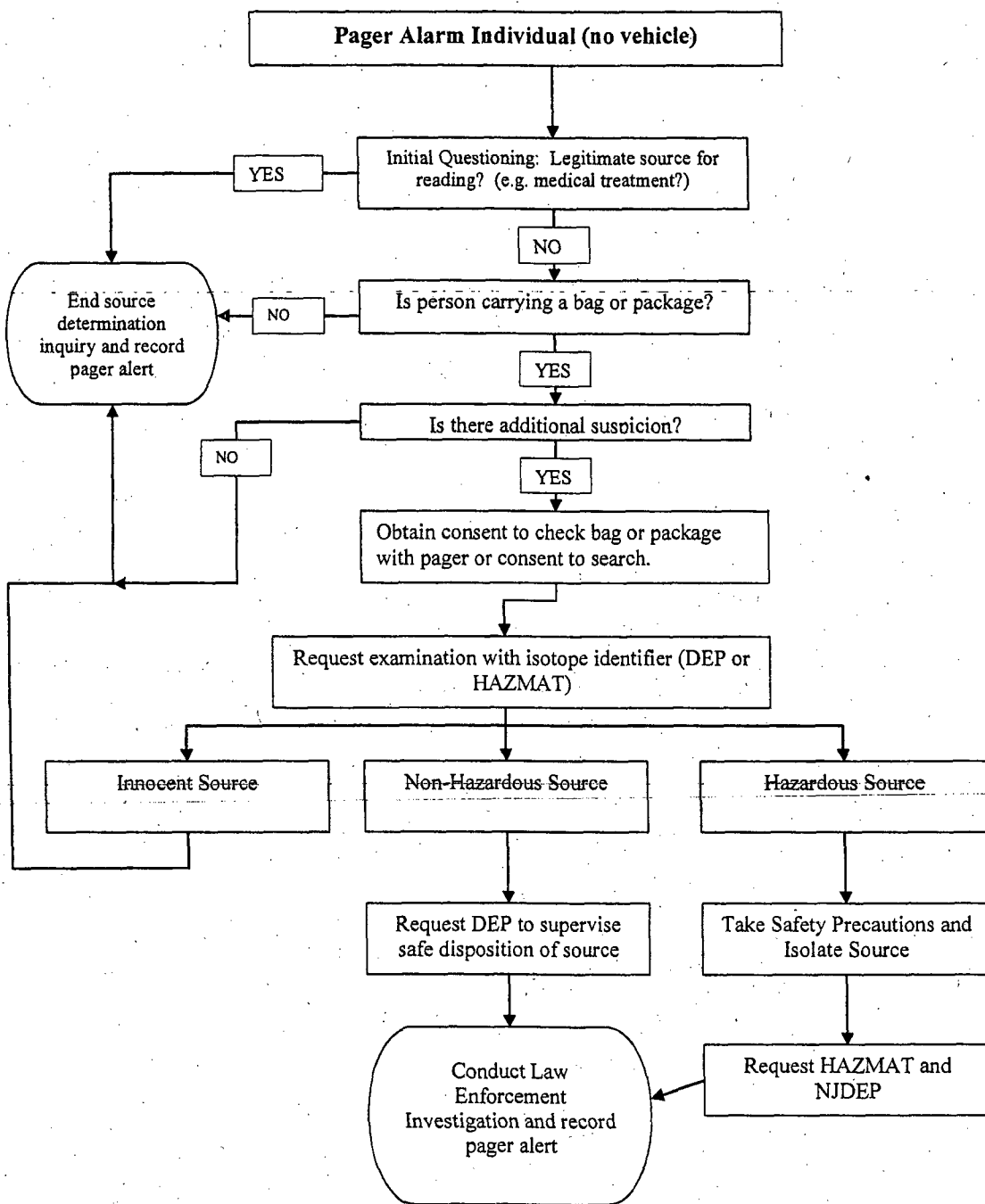
Several hours after such an exposure, nausea and vomiting occur, followed by diarrhea and general weakness. With higher whole body doses, the effects become progressively damaging and immediate. Above 450 rem, if no medical attention is given, about 50% of the people so exposed are expected to die within 30 days.

Although exposure to ionizing radiation carries a risk, completely avoiding exposure is impossible. Radiation has always been present in the environment and in our bodies. However, we can, avoid undue exposure. There are a number of simple, sensitive instruments capable of detecting minute amounts of radiation from natural and man-made sources. Radiation is very easily detected. The three principle protection methods are as follows:

- Time:** Limiting or minimizing the exposure time will reduce the dose from a radiation source.
- Distance:** In the same way that the heat from a fire is less intense the further away you are, so the intensity of the radiation decreases the further you are from the source of radiation. The dose decreases dramatically as you increase your distance from the source.
- Shielding:** Barriers of lead, concrete, or water give good protection from penetrating radiation, such as gamma rays and neutrons. This is why certain radioactive materials are stored or handled under water or by remote control in rooms constructed of thick concrete or lined with lead. There are special plastic shields, which stop beta particles, and a few inches air will stop alpha particles. Inserting the proper shield between you and the radiation source will greatly reduce or eliminate the extra radiation dose.

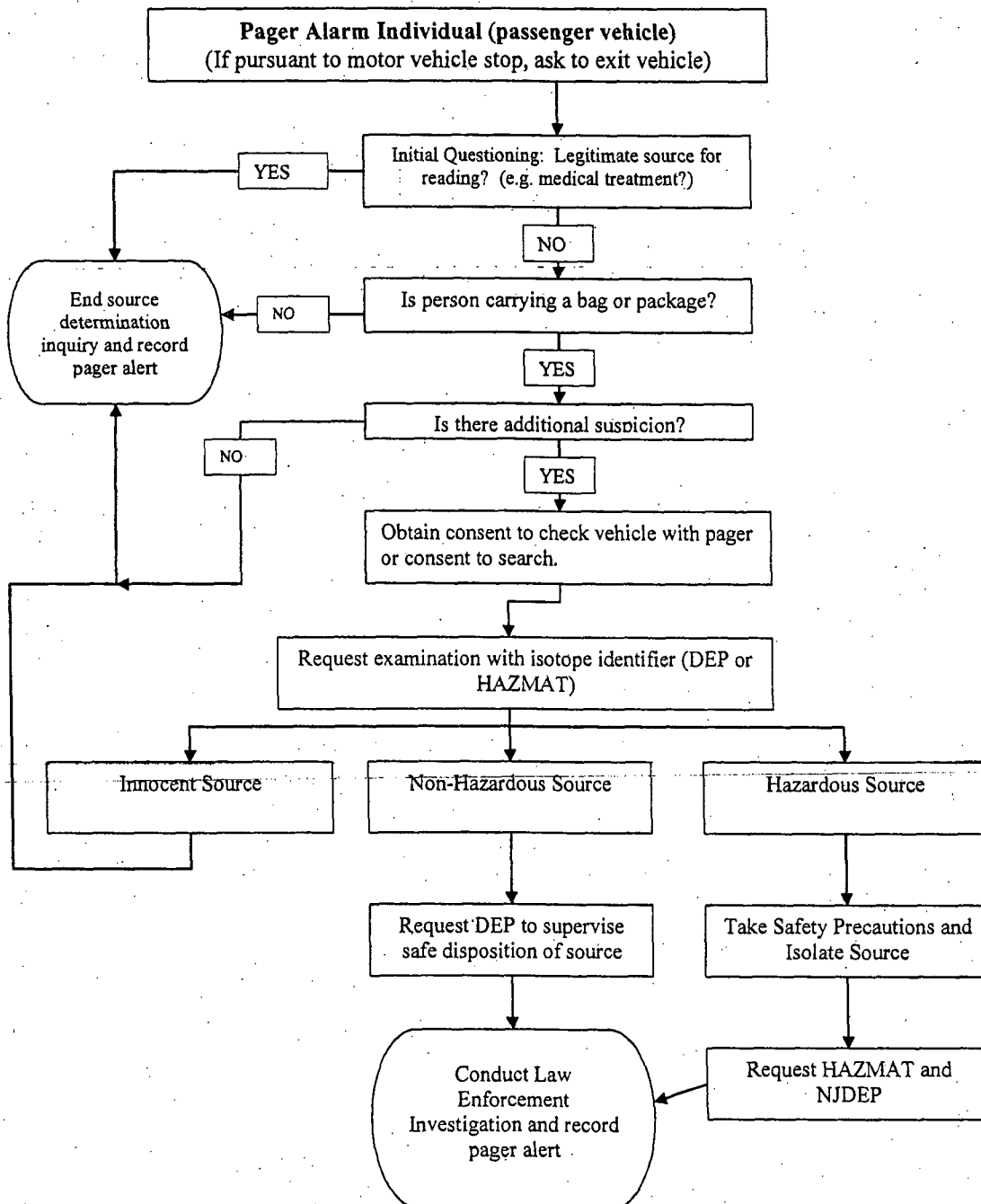
APPENDIX 2

FLOW CHART - NO VEHICLE



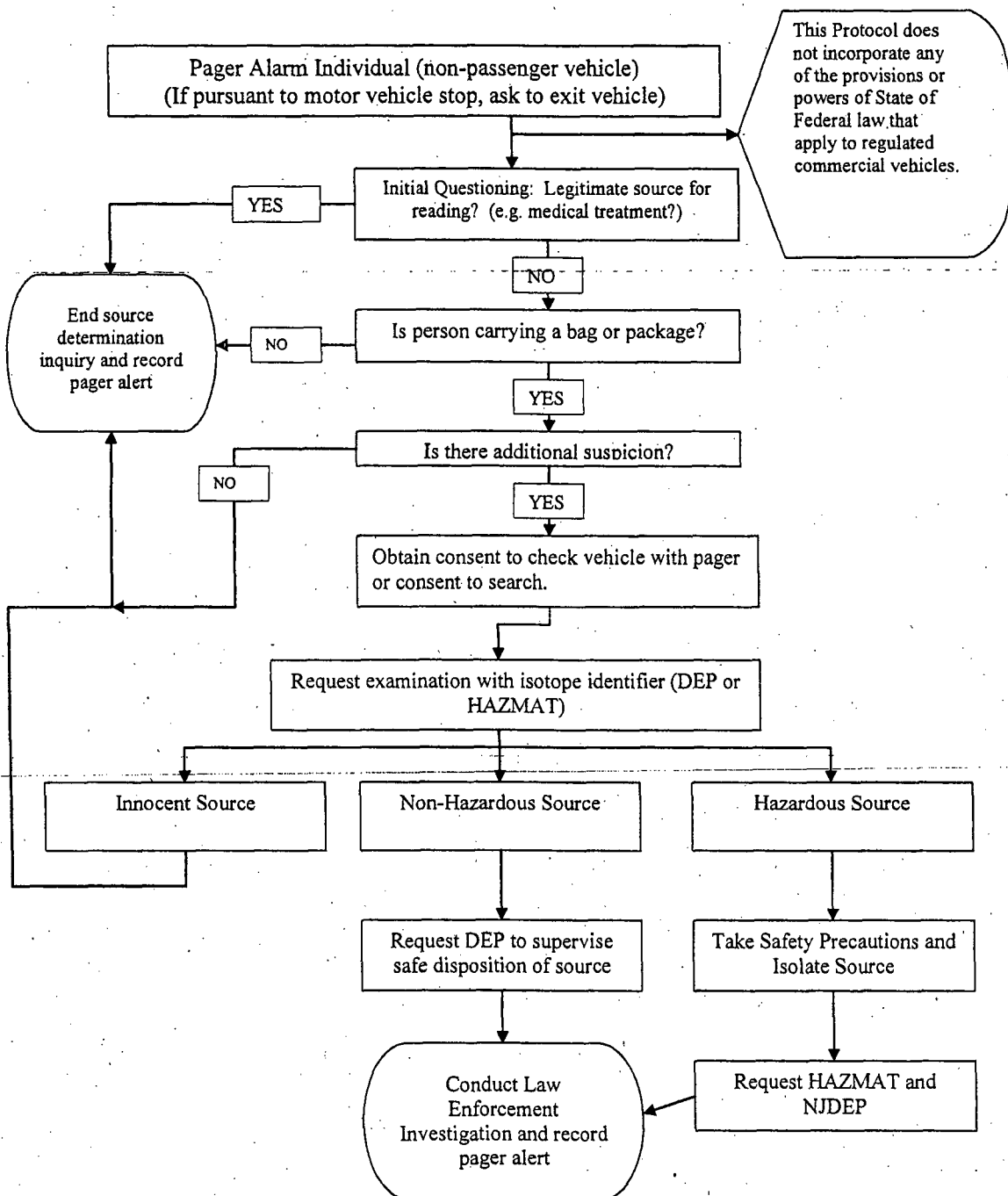
APPENDIX 2A

RESPONSE FLOW CHART PASSENGER VEHICLE



APPENDIX 2B

RESPONSE FLOW CHART NON-PASSENGER VEHICLE



APPENDIX 3

RADIOLOGICAL EXPOSURE RECORD

NAME _____ SS# _____

ADDRESS _____

CITY _____ STATE _____

TELEPHONE _____
(Home) (Work)

SAIC Pager Serial # _____ Mini Radiac Serial # _____

PAGER READINGS *

	Time	Date	Approx. Distance From Source
_____ μ R or mR** at _____	_____	_____	_____
_____ μ R or mR** at _____	_____	_____	_____
_____ μ R or mR** at _____	_____	_____	_____
_____ μ R or mR** at _____	_____	_____	_____
_____ μ R or mR** at _____	_____	_____	_____
_____ μ R or mR** at _____	_____	_____	_____
_____ μ R or mR** at _____	_____	_____	_____
_____ μ R or mR** at _____	_____	_____	_____
_____ μ R or mR** at _____	_____	_____	_____

* NOTE: To be taken at maximum one-half hour intervals.

** NOTE: Circle μ R or mR as appropriate.

Page _____

APPENDIX 4

LEGITIMATE RADIATION SOURCES AND MAJOR ISOTOPES OF CONCERN

COMMON NATURAL AND COMMERCIAL SOURCES OF GAMMA RADIATION

Medical Isotopes - These might be in a person's bloodstream or implanted as pellets. Someone who has received a nuclear medical treatment within the past couple of weeks might trigger your radiation alarm. Common Medical Isotopes are:

Gallium-67	Iridium-192	Thallium-201
Germanium-68	Molybdenum-99	Technetium-99m
Indium-111	Palladium-103	Xenon-133
Iodine-123	Samarium-153	Yttrium-90
Iodine-125	Strontium-82	Zinc-65
Iodine-131	Strontium-85	

ITEMS & PRODUCTS THAT MAY CONTAIN SUFFICIENT RADIOACTIVE MATERIALS TO PRODUCE A READING ON A PAGER OR PORTAL

Agricultural products (e.g., fruits & leafy vegetables; tobacco, marijuana, bananas (large quantities), because bananas contain Potassium-40; etc.)

Antique Items including: Ceramic-glaze products in orange, red, or yellow; e.g., antique cups & plates, decorative floor tiles, jewelry, pottery, and Vaseline glass (emerald green glass used in some antique cups, plates, etc.)

Some Camera lenses and any high quality optical lens system

Radio-Luminescent Products: Watches, clocks & instrument gauges.

Dental Ceramics

Irradiated gemstones

Some Lantern mantles (natural Thorium)

Abrasive and Polishing powders

Propane tanker trucks (from radon decay products deposits on tanker's interior walls)

Smoke detectors (Am-241)

Thoriated aluminum (an alloy containing Th-232)

Thoriated tungsten arc-welding electrodes (often labeled Thoriated welding rods)

Geological samples including certain ores (Marble, Feldspar, Slate & granite, Concrete, Sandstone, Monazite sand, Fertilizers; etc.)

COMMON NATURALLY OCCURRING RADIOACTIVE ISOTOPES

Potassium (K-40)
Radium (Ra-226)

Thorium (Th-232)
Uranium (U-238)

RADIOACTIVE SOURCES COMMONLY USED IN INDUSTRY (MAY BE OF CONCERN IF MISUSED)

Americium (Am-241)
Barium (Ba-133)
Cesium (Cs-137)

Cobalt (Co-57)
Cobalt (Co-60)
Iridium (Ir-192)

Radium (Ra-226)
Thorium (Th-232)

ISOTOPES ASSOCIATED WITH NUCLEAR WEAPONS OR SPECIAL NUCLEAR MATERIAL

Plutonium (Pu-239)
Enriched Uranium (U-235)
Uranium (U-233)
Neptunium (Np-237)

COMMON COMMERCIAL NEUTRON SOURCES AND ISOTOPES

Example Neutron Sources: Soil Density Gauges & Well Logging Sources.
Californium 252 (Cf-252)
Americium/Beryllium (Am/Be)
Polonium/Beryllium (Po/Be)
Plutonium/Beryllium (Pu/Be)
Radium/Beryllium (Ra/Be)

APPENDIX 5

RADIOACTIVE MATERIAL INCIDENT REPORT FORM

Name of Officer: _____ Date: _____ Time: _____

Incident Location: _____

Equipment Used Type _____ Serial # _____ Calibration Date: _____

Passenger or Pedestrian Information:

Last Name: _____ First Name: _____ MI: _____

Conveyance Type:

Vehicle Type: _____ License #: _____ State: _____

- 1). Has the location of the source been identified? Yes or No
- 2). Have the passengers been isolated from the vehicle? Yes or No

Source: Occupant Vehicle Truck Package Other

Description: _____

- 3). Is the integrity of the container breached? Y or N

If yes, solid ___ liquid ___ gas ___ unknown ___

- 4). Has the radiation source been isolated in secondary inspection? Yes or No

- 5). Radiation level: Gamma Alarm

Reading at contact: _____ Units: μ R, mR R

- 6). Has an isotope identification been performed? Yes or No

Isotope Identified: _____

Instrument _____ Serial # _____ Calibration Date _____

Manufacturer _____

7). Is the isotope identification consistent with a medical or industrial source that is listed in the innocent radiation checklist? Yes or No

8). Is the vehicle/person authorized to transport radioactive material? Yes or No

9). Does the radiation source detected match the declaration/placarding/shipping manifest? Yes or No

If "No" what is the discrepancy? _____

10). Request technical assistance? Yes or No

11). Made the following notifications:

NJ DEP Hotline Name: _____ Phone: _____
(877) 927-6337

NJSP ROIC Name: _____ Phone: _____
(609) 882-2000 X 6090

12). Technical Representative Recommendations:

13). Additional Remarks:

14). Total Dose Exposure: μR mR R

Report Completed By:

(Print)	Faxed to NJDEP (609) 984-5595	Yes	No
(Signature)			
Date:	Faxed to NJSP ROIC (609) 530-9269	Yes	No
Time:	Faxed to NJ OCT (609) 341-5006	Yes	No

APPENDIX 6

RADIATION ACCIDENT ACTION PLAN

Accidents Involving Manifested or Placarded Sources

- Refer to the DOT Emergency Response Guidebook
- Contact the NJDEP Hotline at **877-927-6337** (877-WARNDEP)
- Remember that a legal shipment of a RAD III package could possibly read up to 10 milliRem (mR)/hour at 1 meter away.

Accidents Involving Man-Manifested Sources

Contact the NJDEP Hotline at **877-927-6337** (877-WARNDEP)

Follow the guidelines below:

- Establish security and safety perimeters by isolating the radioactive source and setting up a restricted area surrounding the source based on the pager reading of 8 or less than 2 mR/hr. A security perimeter can be established at some distance beyond the restricted area. Deny entry to all but qualified and essential personnel.
- Check for the presence of radiation and injury to involved individuals.
- **LIFE SAVING ACTIONS SHOULD NOT BE DELAYED DUE TO THE PRESENCE OF RADIOLOGICAL CONTAMINATION.**
- Notify EMS responders and alert the nearest hospital capable of handling casualties from a radiation incident.
- Keep uninjured and potentially contaminated individuals in a separate area until they can be monitored for radiological contamination.
- Pregnant women, or women who suspect that they may be pregnant, may not be used in the securing, isolation or examination of radioactive sources. This is especially important during the first trimester of the pregnancy.

Chain of Custody - The Incident Commander will ensure that:

- Pertinent documents, identification, manifest, and other appropriate information is collected.
- A proper chain of custody of evidence is maintained.
- The identity of personnel exposed to radiation is recorded. Provide this information to health officers.

DISPOSAL OF RADIOACTIVE MATERIAL

State and Federal authorities are responsible for the decontamination, clean-up, and the proper disposal of the radioactive materials. The NJDEP will supervise the removal.

APPENDIX 7

CALIBRATION, TRAINING, RETURN, REPAIR, & REPLACEMENT

INSTRUMENT CALIBRATION

Portable instruments used for detection and measurement radioactive materials should be calibrated annually. Annual calibration is necessary to determine if an instrument is capable of accurately detecting radiation within a given range against a known radioactive source. It is important to remember to check the calibration date of every instrument prior to use.

All calibrations will be performed by the New Jersey State Police Laboratory located in Princeton, New Jersey and is a part of the Radiological Emergency Response Planning and Technical Unit. The RERP&T Unit will maintain a schedule for annual calibration of all radiological instruments and will make that schedule available at the beginning of each calendar year. It is incumbent upon the organization issued the instrument to exchange them with Laboratory when scheduled. Contact the Laboratory at (609) 924-5650 during work hours two days prior to delivery.

TRAINING CYCLE

The effectiveness with which individuals respond in emergency or accident situations is dependent upon their past experience and training. A training program will be established by the State to prepare the responsible agencies for radiological emergency response operations. Provisions for periodic re-training (at least once annually) will be central to the training program. Training schedules will be publicized in order to develop and maintain responder confidence in the efficiency and completeness of the Protocol.

~~This training program will be required of those responders who could become exposed to any radiation hazard and, in the course of their duties, could be required to make decisions related to radiological health.~~

RETURN, REPAIR, & REPLACEMENT

Malfunctioning portable instruments used for detection and measurement radioactive materials should be returned to the New Jersey State Police Calibration Laboratory located in Princeton, New Jersey. Contact the Laboratory at (609) 924-5650 during working hours and advise them of the specific nature of the malfunction and arrange a date when the equipment may be returned for repair or exchange.

APPENDIX 8

GLOSSARY

Agreement State

A state that has signed an agreement with the Nuclear Regulatory Commission under which the state regulates the use of by-product, source and small quantities of special nuclear material within that state.

Alpha particle

A positively charged particle ejected spontaneously from the nuclei of some radioactive elements. It has low penetrating power and a short range (a few centimeters in air). ~~The most energetic alpha particle will generally fail to penetrate the dead layers of cells covering the skin and can be easily stopped by sheet of paper.~~ Alpha particles represent much more of a health risk when emitted by radionuclides deposited inside the body.

Background radiation

Radiation from cosmic sources; naturally occurring radioactive materials, including radon (except as a decay product of source or special nuclear material) and global fallout. The typical average individual exposure from background radiation is 360 millirems per year.

Becquerel (Bq)

The unit of radioactive decay equal to 1 disintegration per second. The Becquerel is the basic unit of radioactivity used in the international system of radiation units, referred to as the "SI" units. 37 billion (3.7×10^{10}) Becquerels = 1 Curie (Ci).

Beta particle

~~A charged particle emitted from a nucleus during radioactive decay.~~ Exposure to large amounts of beta radiation from external sources may cause skin burns (erythema). Beta emitters can also be harmful if they enter the body. Beta particles may be stopped by thin sheets of metal or plastic.

Byproduct

Byproduct material is (1) any radioactive material (except special nuclear material) yielded in, or made radioactive by, exposure to the radiation incident to the process of producing or using special nuclear material (as in a reactor); and (2) the tailings or wastes produced by the extraction or concentration of uranium or thorium from ore. Byproduct material does not include accelerator produced material (e.g., Cobalt-57).

Contamination

Undesired radioactive material that is located on the surface of or inside structures, areas, objects or people.

Curie (Ci)

The Curie is a unit radioactivity used in the system of traditional units. The curie is equal to that quantity of radioactive materials in which the number of atoms decaying per second is equal to 37 billion (3.7×10^{10}).

Decay products (also called "Daughter products")

Nuclides formed by the radioactive decay of parent radionuclides. For example, for Radium-226 nine successive different radioactive decay products are formed in what is called a "decay chain". The chain ends with the formation of Lead-206, which is a stable nuclide.

Decontamination

The reduction or removal of contaminating radioactive material from structure, area, object, or person.

Depleted uranium

Uranium having a percentage of uranium-235 smaller than the 0.7 percent found in natural uranium. It is commonly used as shielding in packages used to transport radioactive material.

Dose

A general term used to refer to the effect on a material which is exposed to radiation. It is used to refer either to the amount of energy absorbed by a material exposed to radiation (see Dose, absorbed below) or to the potential biological effect in tissue exposed to radiation (see Dose, equivalent below).

Dose, absorbed

The amount of energy deposited in any substance by ionizing radiation per unit mass of the substance. It is expressed numerically in Rads (traditional units) or Grays (SI units).

Dose, equivalent

The product of absorbed dose in tissue multiplied by a quality factor, and then sometimes multiplied by other necessary modifying factors, to account for the potential for a biological effect resulting from the absorbed dose. (See Quality Factor below.) It is expressed numerically in Rems (traditional units) or Sieverts (SI units).

Dosimeter

A small portable instrument (such as a film badge, thermoluminescent or pocket dosimeter) for measuring and recording an individual's total accumulated dose.

Dose rate

The radiation dose delivered per unit time.

Element

One of the known chemical substances that cannot be broken down further without changing its chemical properties (e.g., hydrogen, nitrogen, gold, lead, and uranium).

Gamma radiation

High-energy, short wavelength, electromagnetic radiation emitted from the nucleus of an atom. Gamma rays are very penetrating and are best stopped or shielded by dense materials, such as lead or uranium. Gamma rays are similar to x-rays.

Gray (Gy)

The international system (SI) unit of radiation dose expressed in terms of absorbed energy per unit mass of tissue. The Gray is the unit of absorbed dose and has replaced the Rad. $1 \text{ Gray} = 1 \text{ Joule/kg} = 100 \text{ Rad}$.

Half-life

The time in which one half of the atoms of a particular radioactive substance disintegrates into another nuclear form. Measured half-lives vary from millionths of a second to billions of years. Also called physical or radiological half-life.

Half-life, biological

The time required for the body to eliminate, by biological processes, one half of the material originally taken in. The biological half-life can be longer or shorter than the radiological half-life.

Half-life, effective

The time required for a radionuclide contained in a biological system, such as a human or an animal, to reduce its activity by one-half as a combined result of radioactive decay and biological elimination.

HAZMAT

HAZMAT is an acronym for hazardous material. HAZMAT can be radiological, chemical, or biological.

Health physics

The science concerned with the recognition, evaluation, and control of health hazards to permit the safe use and application of ionizing radiation.

Isotope

One of two or more atoms with the same number of protons, but different numbers of neutrons in their nuclei. Thus, carbon-12, carbon-13, and carbon-14 are isotopes of the element carbon. Isotopes have very nearly the same chemical properties, but often have different physical properties.

Isotope Identifier

Equipment that is used to identify the specific radionuclide(s) present in a person or shipment undergoing radiation source identification. The isotope identifier should also be capable of transferring the radionuclide information to offsite technical experts.

Kilo

A prefix that multiplies a basic unit by 1,000 or 10^3 .

Mega

A prefix that multiplies a basic unit by 1,000,000 or 10^6 .

Micro

A prefix that divides a basic unit into one million parts (10^{-6}).

Milli

A prefix that divides a basic unit by 1,000 or 10^{-3} .

Nano

A prefix that divides a basic unit by one billion (10^{-9}).

Natural uranium

Uranium as found in nature. It contains about 0.7 percent uranium-235, 99.3 percent uranium-238, and a trace of uranium-234.

Neutron

An unchanged elementary particle with a mass slightly greater than that of the proton, and found in the nucleus of every atom heavier than hydrogen.

Nuclide

A general term that refers to any known isotope, either stable or unstable, of any element. Whereas a single element can have isotopes, when referring to the isotopes of more than one element, the proper term is nuclide. A radionuclide is an unstable nuclide.

Pico

A prefix that divides a basic unit by one trillion (10^{-12}).

Plutonium (Pu)

A heavy, radioactive, man-made metallic element with atomic number 94. Its most important isotope is fissile plutonium-239. It exists in only trace amounts in nature.

Personal radiation detector

A small detection instrument worn by an individual that directly measures the ionizing radiation exposure.

Quality factor

The multiplication factor to convert from absorbed dose (Rad or Gray) to effective dose (Rem or Sievert). The quality factors for different types of radiation are found in 10 CFR Part 20.1004

Rad

The unit for absorbed dose. The Rad has been replaced by the Gray in the SI system of units (100 Rad = 1 Gray).

Radiation Source

Usually a sealed source of radiation used in medical or industrial applications.

Radiation standards

Dose and dose rate limits, permissible concentrations, rules for handling, regulations for transportation, regulations for industrial control of radiation, and control of radioactive material established by legislative or regulatory means for the safe use and application of ionizing radiation.

Radiological Dispersal Device (RDD)

An RDD uses ordinary chemical explosives and radioactive material to disperse the radioactive material and cause contamination and radiation exposure. An RDD is not a nuclear weapon.

Radium (Ra)

A radioactive metallic element with atomic number 88. As found in nature, the most common isotope has a mass number of 226. It occurs in minute quantities associated with uranium in pitchblende, camotite, and other minerals.

Radon (Rn)

A radioactive element that is one of the heaviest gases known. Its atomic number is 86. It is a daughter of radium and thorium.

Rem (Roentgen Equivalent Man)

A unit in the traditional system that measures the effects of ionizing radiation on humans.

Safety zone

A safety zone is a perimeter established around a radiation source (actual or suspect) to minimize dose to workers and members of the public (during secondary procedures).

Shielding

Any material or obstruction that absorbs radiation and thus tends to protect personnel or materials from the effects of ionizing radiation.

Sievert (Sv)

The international system (SI) unit for dose equivalent. The Sievert has replaced the Rem. One Sv = 100 Rem.

Source material

Typically uranium or thorium ores. Source material does not include special nuclear material.

Special nuclear material (SNM)

Includes plutonium, uranium-233, or uranium enriched in the isotopes uranium-233 or uranium-235.

Survey meter

Any portable radiation detection instrument for inspecting an area or individual to establish the amount of radioactive material present.

Uranium

A radioactive element with the atomic number 92. The two principal natural isotopes are uranium-235 (0.7 percent of natural uranium), and uranium-238 (99.3 percent of natural uranium)

Weapons of Mass Destruction (WMD)

A nuclear, chemical, or biological weapon capable of causing significant death, destruction, and terror.

Whole-body counter

A device used to identify and measure radioactivity within the body of human beings.

NJSP (609) 882-2000 X 6090
NJSP Radiological Officer fax (609) 882-6523
or (609) 538-0345
OCT Leads Desk fax (609) 341-5006
NJDEP Bureau of Environmental Radiation
fax (609) 984-5595
or (609) 633-2210
voice (609) 984-5462
NJDEP 24 hour dispatch 877-927-6337

Pager Alert
Identify person or object causing alert
Safety concerns
Evaluate circumstances
Legitimate source?
Other suspicious Behavior / Circumstances?
Reading from package or vehicle?
Request NJSP and/or NJDEP assistance
Record alert and document exposure

MEMORANDUM

[Reimbursement Agreement modified Jan. 26, 2007]

Date: January 26, 2007
To: Radiation Control Program Directors
From: Ruth E. McBurney, CHP, Executive Director, CRCPD
Re: CRCPD National Orphan Radioactive Material Program

CRCPD can provide funds to state radiation control programs for their disposition of discrete orphan radioactive material, ~~i.e. material for which the owner cannot afford the cost of disposition or should not be held liable for disposition. This is~~ accomplished under an agreement between the state and CRCPD.

The following document contains alternative phrases as well as spaces for specific information, in highlight, to be edited by the State.

An outline of the documents required may be helpful to understand the agreement.

A. The State-CRCPD agreement on procedure.

B. For each batch of orphan material:

1. State's lists of orphan materials, to CRCPD for review
2. State invitation of bids for services,
including indemnification text, if required
3. State request to CRCPD for commitment of funds
per specifications in the agreement and sample letter (see Agreement Att. 1)
4. State contracts with service providers
5. Service providers' invoices to state, upon completion
6. ~~State request to CRCPD for reimbursement, or payment of service providers~~
per specifications in agreement and sample letter
7. CRCPD payments and notifications to state.

For additional information, phone Terry Devine, CRCPD, 502/227-4543 ext. 2223

**Reimbursement Agreement
for the
CRCPD National Orphan Radioactive Material Disposition Program**

[Passages to be edited by the State are in redline; choose Agency or Company reimbursement]

This AGREEMENT is made and entered into by and between the Conference of Radiation Control Program Directors, Inc. (CRCPD), 205 Capital Avenue, Frankfort, KY 40601, and the [State, office entering the agreement, its mail address].

Recitals

Radioactive material becomes an "orphan" and a candidate for CRCPD financial assistance when:

- ~~the possessor of such material cannot pay for the proper disposition of the material, or~~
- the individual or firm became the possessor of the material inadvertently, and should not be liable for such material. Examples of this circumstance are:
 - an individual or firm, not holding a radioactive material license, comes in possession of a radioactive material in the course of business, or
 - an individual or firm that is licensed to possess radioactive material, but comes in possession of radioactive material not authorized by the license,
- abandoned radioactive material has been taken into custody, with no traceability to the owner.

Orphan radioactive material poses a potential public health threat. Such material for which appropriate action is not taken for disposition could, over a long period of storage by the possessor of such material, result in radiation exposure to individuals close to the material and/or result in the spread of radioactive contamination to the environment.

Purpose

~~The overall purpose of this agreement is to financially assist, through the cooperation of state radiation control programs, persons that do not have sufficient funding or who should not be held liable to fund the safe disposition of orphan radioactive material.~~

NOW, THEREFORE, in consideration of the mutual promises and covenants set forth herein, the parties agree as follows:

**Article I
Definitions**

"Agreement" means this agreement.

"Agency" means the [State, Department, radiation control program].
["Agency" may be replaced throughout by "Department"]

"Company" means a person under contract with the Agency to provide disposition of orphan radioactive material or to assist with that disposition.

) ["Company" may be replaced throughout by "Vendor"]

["Contract" means the formal arrangement between the State and a company that will provide or assist with disposition of orphan material. [Replace this throughout with any suitable term other than Agreement, which is defined above, with another meaning.]

"CRCPD" means the Conference of Radiation Control Program Directors, Inc.

"Person" means any individual, corporation, partnership, firm, association, public or private institution, group, or Agency, but shall not include federal government agencies.

Article II Objectives

The specific objective of this program is for CRCPD to financially assist in the disposition of orphan radioactive material.

Article III Responsibilities of the Agency

3.1 Procurement Procedures

[The Agency hereby assures and represents to CRCPD its authority to enter into this Agreement to accept reimbursement for those costs contemplated hereunder.] The Agency will follow and apply its state procurement rules and regulations to assure that each Company selected to provide or assist with disposition of orphan material is qualified, licensed as appropriate, and selected at a competitive cost. In the event that competitive bidding is not employed, the Agency shall notify the CRCPD that competitive bidding was not used for the service, with an explanation as to why such competitive bidding was not employed in the selection process to assure the lowest reasonable cost.

3.2 Request for Financial Assistance

The Agency will request a written commitment from CRCPD to reimburse [*Agy.Alt.* the Agency.] [*Co.Alt.* the company (companies) chosen as stated in 3.1 above,] for the cost(s) incurred in the successful completion of disposition of the orphan radioactive material. The letter of request (see Attachment #1) shall contain the following:

- The radionuclides and current radioactivities;
- The type and description of each device involved, if applicable;
- The manufacturer and serial number of each device, if applicable;
- The proposal of each company chosen to perform a service, including any indemnification provision required by the Agreement; and
- An estimate of each anticipated cost to disposition these materials.

3.3 Program Implementation

Upon receipt of a written commitment from the CRCPD to honor the request of the Agency, the Agency shall [*Agy.Alt.* take the necessary steps for the disposition of the orphan radioactive material.] [*Co.Alt.* enter into a

Contract with each Company that was selected to participate in the disposition of the orphan radioactive materials, including in each Contract the limitation on CRCPD's liability and indemnification obligations as stated in 3.4.] Upon completion of such disposition, the Agency shall, by letter, notify the CRCPD that the orphan material has been disposed of at a licensed disposal facility or transferred to another licensed recipient, and that such disposal or transfer has been in accordance with the Agency's rules and regulations. [*Agy.Alt.* The Agency shall submit a single invoice, with supporting documentation reflecting payments to vendors, for the requested reimbursement.] [*Co.Alt.* A copy of each Company's invoice shall be enclosed with the Agency's letter of notification.]

3.4 Liability of the Parties

Agy.Alt. As between the parties to this agreement, the Agency agrees that it and it alone is responsible for the relocation and/or disposition of orphan radioactive material, and for any costs, expenses, liability and or damages arising out of the contemplated identification and/or relocation of orphan radioactive material. This agreement is an agreement to commit funds, provided all provisions of the Agreement are met, and shall not be construed to give the Agency or any third party or unrelated party a claim for costs, expenses, liability and or damages against CRCPD.

Co.Alt. CRCPD's reimbursement commitment shall not create a contractual or Agency relationship with a Company, and CRCPD shall not have any responsibility or liability for the relocation/disposition of the orphan material, or any damages resulting therefrom. This limitation on CRCPD's liability shall be included in any Contract entered into between the Agency and each Company regarding said disposition, and such Contract shall include a Limitation/Indemnification Clause substantially the same as Attachment #2, which is included herein as if fully set out.

Article IV Responsibilities of the CRCPD

4.1 CRCPD will be acting solely as a cost reimbursement source, and will not be responsible or liable for the identification and/or relocation of orphan radioactive material; CRCPD shall not in any way arrange for, manage, or direct the identification and/or relocation or disposition of such material.

4.2 CRCPD will only consider funding the relocation or disposition of the orphan material that has been identified and recommended for funding by the Agency.

4.3 Each Contract for disposal, relocation, or associated service shall be between the Agency and the Company providing the service. CRCPD shall not be a party to that Contract and shall have no duties or responsibilities thereunder.

4.4 Upon the request of the Agency, and at the discretion of the CRCPD, and provided the estimated costs are deemed reasonable, CRCPD will, pending the availability of funds, issue a letter to the Agency committing CRCPD to reimburse [*Agy.Alt.* the Agency for the disposition requested under paragraph 3.2] [*Co.Alt.* each Company selected by the Agency under paragraph 3.2 to provide the disposal service]. The commitment letter will state a maximum amount that CRCPD will reimburse *Agy.Alt.* the Agency [*Co.Alt.* the Company] for the service identified. Any claim or charge made by a Company in excess of the maximum amount under the commitment letter shall not be the responsibility of CRCPD.

4.5 Upon the successful completion of the service, and upon receipt of the Agency's written notification that the orphan radioactive material has been disposed of or transferred to a licensed recipient in accordance with the Agency's rules and regulations, and upon receipt of [Agy.Alt. an invoice from the Agency, CRCPD will reimburse the Agency, not to exceed the maximum amount identified in CRCPD's letter of commitment]. [Co.Alt. each Company's invoice to the Agency, CRCPD will reimburse each Company for the services rendered, not to exceed the maximum amount identified in the CRCPD's letter of commitment. The Agency will be notified when each Company has been reimbursed, and such notification will state the amount of such reimbursement.] CRCPD has the right to refuse commitment of funds to any vendor that has been suspended or debarred.

4.6 CRCPD will maintain records in accordance with its record retention policy relating to all transactions performed under this project.

Article V Termination of Agreement

5.1 Either party may terminate this Agreement upon notification of the other party at least 30 days prior to such termination. Any funding commitment made by CRCPD prior to termination will be honored.

[CRCPD recommends deletion of this Article
but the State may wish to retain it]

Article VI Term

6.1 This agreement will expire twenty-four months from its effective date.

[signature]
[printed name, title]
[agency]

[Date]

[signature]
Ruth E. McBurney, Executive Director
Conference of Radiation Control Program Directors, Inc.

[Date]

Attachment #1

Sample Funding Request

Date:

Ruth E. McBurney, Executive Director
Conference of Radiation Control Program Directors, Inc.
205 Capital Avenue
Frankfort, KY 40601

Dear Mrs. McBurney:

Pursuant to the Agreement between the State of [insert state] and the Conference of Radiation Control Program Directors, Inc. (CRCPD), dated [insert date], I am requesting the CRCPD to commit a maximum reimbursement amount of \$[insert amount] for the disposition of orphan radioactive material described, in Attachment A, per paragraph 3.2 of the Agreement. The Agency believes that this material meets the criteria as outlined in the above referenced Agreement.

In accordance with our agreement, this is to confirm that bids were obtained from commercial firms that offer services of managing radioactive materials. These bids were [were not, because...] obtained in accordance with state bidding policies. Attachment B to this letter provides information on the terms and conditions received from all bidders. [insert each company's name] was chosen because of [insert rationale for selecting each chosen company]. Upon receipt of confirmation from CRCPD to fund the disposition of the described radioactive material, the Agency will proceed to Contract the chosen company(ies) to perform the described services. The Agency shall ensure the limitation on CRCPD's liability and indemnification obligations as stipulated in paragraph 3.4 of the Agreement.

Should you have questions, please do not hesitate to contact [me] [other individual]
[phone number].

Sincerely,
[signature]

ATTACHMENT A FUNDING REQUEST

Revised December 03

Please fill out the following information, sign and date below.

Device Application	Mfg. and Model (if known)	Radionuclide	Radioactivity & Assay Date	Orphan ¹ Criteria met (insert a, b or c)	For OED Use Only	
					Appr. (Y or N)	Funding Source

¹Note: Please attach any additional information relative to the orphan radioactive material you feel will assist CRCPD in determining eligibility for funding.

This is to certify that the owners and/or the state radiation control agency/department do (does) not have sufficient resources to pay for the disposition of the identified sources.

Authorized Signature

Radiation Control Agency/Department

Date

¹ Orphan criteria: a) owner can't afford disposition; b) possessor should not be liable for disposition; or c) RCP has possession but owner unknown.

Attachment #2

**No Liability/Indemnification Clause
(To be included in each Agency Contract for disposition service)**

The Agency and the Company agree and recognize that this Contract is contingent upon the Agency obtaining a funding commitment for the relocation/disposition of orphan radioactive source(s) from the Conference of Radiation Control Program Directors, Inc. (CRCPD), which is located in Frankfort, Kentucky.

In the event the Agency obtains such a funding commitment from CRCPD and this Contract is undertaken, the Company agrees as follows:

- (1) The funding commitment by CRCPD shall not and does not create any responsibility or liability on the part of CRCPD related in any way to the performance of this Contract, including but not limited to arranging for, managing or directing the identification/relocation/disposition of the related materials.
- (2) The Company agrees to reimburse, indemnify and hold CRCPD harmless from any and all claims, causes of action, damages, and other liabilities (administrative and/or civil), and costs incurred (including reasonable attorney's fees) that might be made or imposed upon CRCPD as a result of the funding commitments made by CRCPD to the Agency, or payments made by CRCPD to the Company, as a result of this Contract and the corresponding funding commitment by CRCPD.
- (3) The limitation on CRCPD's liability and indemnification obligations set forth above will be included by the Company in any contract it might make with a third party regarding the identification/relocation/disposition of the radioactive material which is the subject of this contract.

Sample request for reimbursement of orphan material disposition

[State letterhead]

[Date]

REIMBURSEMENT REQUEST

Ruth E. McBurney, Executive Director
Conference of Radiation Control
Program Directors, Inc.
205 Capital Avenue
Frankfort KY 40601

Dear Mrs. McBurney:

Pursuant to the National Orphan Radioactive Material Disposition Agreement between the State of and the Conference of Radiation Control Program Directors Inc. (CRCPD) dated, the State's request for funding of material disposition dated and CRCPD's commitment of that funding dated, I am requesting the CRCPD to reimburse the State of in the amount of \$..... for the disposition of the orphan radioactive material described in the above referenced request. Copy of the vendors receipt for payment is attached.

The [RCP] confirms that the material identified in the above referenced request has been dispositioned as described in that request and according to all applicable State and Federal rules and regulations for the control of radiation sources.

Should you have any question regarding this request, please contact [individual, phone number].

Thank you.

[cognizant official]

Att: Vendor's receipt of payment
Documentation of disposition

January 23, 2007



U.S. Department
of Transportation

400 Seventh Street, S.W.
Washington, D.C. 20590.

**Pipeline and Hazardous
Materials Safety Administration**

DOT-SP 10656
(ELEVENTH REVISION)

EXPIRATION DATE: December 31, 2010

(FOR RENEWAL, SEE 49 CFR § 107.109)

1. GRANTEE: Shippers and carriers of scrap metal or other related metal recycle materials with low levels of external radiation who are approved by state radioactive material control officials registered with the Office of the Executive Director of the Conference of Radiation Control Program Directors (CRCPD), Frankfort, Kentucky.

2. PURPOSE AND LIMITATION:

a. This special permit authorizes the one-way transportation in commerce by highway or rail of shipments of scrap metal and related metal recycle materials (hereafter referred to as "scrap metal") which have been found, during or at the conclusion of transportation or during inspection of the shipment following its receipt, to contain unexpected and ~~unidentified radioactive material or contamination~~. The one-way transportation authorized by this special permit is exempted from the classification, packaging, and hazard communication requirements normally required for transportation of radioactive material.

The purpose of the transportation authorized by this special permit is to allow the scrap metal to be moved to a location deemed by the authorizing state official to be more appropriate for proper characterization and/or disposition of the discovered radioactivity. This special permit provides no relief from the Hazardous Materials Regulations (HMR) other than as specifically stated herein.

b. The safety analysis performed in the development of this special permit only considered the hazards and risks associated with transportation in commerce.

c. Party status will not be granted to this special permit.

3. REGULATORY SYSTEM AFFECTED: 49 CFR Parts 106, 107 and 171-180.
4. REGULATIONS FROM WHICH EXEMPTED: 49 CFR Part 172, Subparts C, D, E, F, G, and H as they pertain to required shipping papers, package marking and labeling, vehicle placarding, emergency response information and training; 49 CFR Part 173, Subpart B, § 173.22(a)(1) as it pertains to classification of hazardous materials; 49 CFR Part 173, Subpart I as it pertains to packaging and transport of radioactive material; Part 174, Subpart K as it pertains to detailed requirements for rail transport of radioactive materials; and Section 177.842 as it pertains to highway transport of radioactive materials.
5. BASIS: This special permit is based on the application of CRCPD dated December 12, 2007, submitted in accordance with § 107.109.
6. HAZARDOUS MATERIALS (49 CFR § 172.101):

Proper Shipping Name/ Hazardous Materials Description	Hazard Class/ Division	Identi- fication Number	Packing Group
Radioactive material, excepted package-limited quantity of material	7	UN2910	N/A
Radioactive Material, Type A package non-special form, non fissile or fissile-excepted	7	UN2915	N/A
Radioactive Material, Type A package, special form non fissile or fissile-excepted	7	UN3332	N/A
Radioactive Material, Type B(U) package non fissile or fissile- excepted	7	UN2916	N/A
Radioactive Material, low specific activity (LSA-I) non fissile or fissile-excepted	7	UN2912	N/A
Radioactive Material, low specific activity (LSA-II) non fissile or fissile-excepted	7	UN3321	N/A

Proper Shipping Name/ Hazardous Materials Description	Hazard Class/ Division	Identi- fication Number	Packing Group
Radioactive Material, low specific activity (LSA-III) non fissile or fissile-excepted	7	UN3322	N/A
Radioactive Material, surface contaminated objects (SCO-I or SCO-II) non fissile or fissile- excepted	7	UN2913	N/A

7. SAFETY CONTROL MEASURES:

- a. PACKAGING - The shipments are excepted from the packaging and transport requirements for radioactive materials of Part 173, Subpart I and may be transported by motor vehicle or rail provided it is evident that radioactive material will not be released from the conveyance during transit and that the transport conditions in the shipment approval form specified in paragraph 7(d) of this special permit are satisfied.
- b. CLASSIFICATION AND TESTING - The shipments are exempted from the classification and description requirement of § 173.22(a)(1) provided that the measured radiation levels at the external surface of the conveyance do not exceed 0.50 mSv/h (50 mrem/h).
- c. COMMUNICATIONS - The packages and conveyances transported under this special permit are exempted from the communications requirements of 49 CFR Part 172, Subpart C (shipping papers), D (marking), E (labeling), and F (placarding) provided the communications provisions in the shipment approval form specified in paragraph 7(d) of this special permit are satisfied.
- d. SHIPMENT APPROVAL by STATE RADIATION OFFICIAL - Prior to shipment of the scrap metal, the state radiation control official of the state where the radiation was detected must evaluate the radiological risk associated with the transport of the material, under the conditions of this special permit, to a location where the radioactive material can be identified and properly treated. If the official believes that these risks are no greater than the risk associated with the transport of these materials within the regulations, he may authorize the shipment by completing and signing the shipment approval form shown in Annex A. Any

January 23, 2007

additional or special conditions required as a condition of safe transport may be included in the approval.

e. SHIPMENT APPROVAL FORM DISTRIBUTION - Copies of the shipment approval form must be provided, in advance of the shipment, by the issuing official to the following:

- (1) the Office of the Executive Director, CRCPD, Frankfort, KY;
- (2) the cognizant person at the facility where the radioactive material was discovered;
- (3) the cognizant person at the facility from which the scrap metal was shipped prior to detection;
- (4) the cognizant person at the facility to which the scrap metal will be shipped for identification and/or treatment;
- (5) the state radiation official having authority over the facility receiving the shipment (after detection);
- (6) the state radiation official having authority over the facility from which the shipment originated (before detection).

f. SHIPMENT APPROVAL for CARRIERS - The cognizant person at the facility where the radioactive material was discovered must provide the operator of the highway vehicle with a copy of the shipment approval. For shipments by rail, he must provide the shipment approval to the railroad management or dispatch office.

g. IDENTIFICATION AND DISPOSITION OF RADIOACTIVE MATERIAL TRANSPORTED UNDER THIS SPECIAL PERMIT - Once the radionuclides in the scrap metal are identified and appropriate disposition is arranged, the identification and disposition portion of the shipment approval form must be completed and sent to the following:

- (1) the Office of the Executive Director, CRCPD;
- (2) the state official at the state of origin (prior to detection);

(3) the state official issuing the shipment approval;
and

(4) the state official of the state where
identification and disposition occurred

8. SPECIAL PROVISIONS:

a. Shipment Approval Assigned Number - One official in each state must assign and maintain a list of shipment approval numbers for all shipment approvals issued by that state under DOT-SP 10656. The eight figures in the shipment approval number should be determined as follows: the first two characters are the abbreviation of the state of origin; the third and fourth characters must be the abbreviation of the state of destination; the fifth and sixth characters must be the last two digits of the year of issue; the seventh and eighth characters must be the sequential number of the shipment approved for that year between those states. For example AR-KY-99-04 would be the fourth shipment from Arkansas to Kentucky that was approved by the official during 1999.

b. Additional modifying symbols may be added to the U. S. postal designation for the state of origin only, in order to distinguish among multiple originating state offices if necessary, if written permission is first obtained from the CRCPD. In these cases each originating state office must assign its own sequential numbers (the seventh and eighth characters in paragraph 8.a) for each year, starting with 01.

c. Each state radioactive material official approving shipments must have a copy of this special permit and a copy of Title 49 of the Code of Federal Regulations. This official should also provide a copy of this special permit and their implementing instructions to all managers of scrap metal facilities that have installed radiation monitoring systems within their state.

9. MODES OF TRANSPORTATION AUTHORIZED: Rail freight and motor vehicle.

10. MODAL REQUIREMENTS:

a. A current copy of the shipment approval document must be carried in the cab of the motor vehicle. For shipments by rail, the railroad management will provide to train crews the identity of the rail car and its position in the train.

b. Each carrier must ensure that the shipment described on the shipment approval document is transported over the most appropriate route without unnecessary or avoidable delay.

c. The shipment approval form and other provisions of this special permit satisfy: the Emergency Information and Training requirements of 49 CFR Part 172, Subpart G and Subpart H, and the modal Class 7 material requirements of Part 174, Subpart K and Part 177, Subpart B.

11. COMPLIANCE: Failure by a person to comply with any of the following may result in suspension or revocation of this special permit and penalties prescribed by the Federal hazardous materials transportation law 49 U.S.C. 5101 et seq:

- o All terms and conditions prescribed in this special permit and the Hazardous Materials Regulations, 49 CFR Parts 171-180.
- o Persons operating under the terms of this special permit must comply with the security plan requirement in Subpart I of Part 172 of the HMR, when applicable.
- o Registration required by § 107.601 et seq., when applicable.

Each "Hazmat employee", as defined in § 171.8, who performs a function subject to this special permit must receive training on the requirements and conditions of this special permit in addition to the training required by §§ 172.700 through 172.704.

No person may use or apply this special permit, including display of its number, when the special permit has expired or is otherwise no longer in effect.

Under Title VII of the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) - 'The Hazardous Materials Safety and Security Reauthorization Act of 2005' (Pub. L. 109-59), 119 Stat. 1144 (August 10, 2005), amended the Federal hazardous materials transportation law by changing the term 'exemption' to 'special permit' and authorizes a special permit to be granted up to two years for new special permits and up to four years for renewals.

12. REPORTING REQUIREMENTS: Shipments or operations conducted under this special permit are subject to the Hazardous Materials Incident Reporting requirements specified in 49 CFR §§ 171.15 - Immediate notice of certain hazardous materials incidents, and 171.16 - Detailed hazardous materials incident reports. In addition, the grantee(s) of this special permit must immediately notify the Associate Administrator for Hazardous Materials Safety -- OHMSPA, by calling the National Response Center at 1-(800)424-8802 of any incident under this special permit. A call must also be made to the state official signing the shipment approval as identified in paragraph 7(d). These telephonic notices should identify that the shipment is under DOT-SP 10656 and the eight-digit shipment approval identification number.

Issued in Washington, D.C.:

Deane LaBelle

for Bob Richard
Deputy Associate Administrator
for Hazardous Materials Safety

Address all inquiries to: Associate Administrator for Hazardous Materials Safety, Pipeline and Hazardous Materials Safety Administration, Department of Transportation, Washington, D.C. 20590. Attention: PHH-31.

Copies of this special permit may be obtained by accessing the Hazardous Materials Safety Homepage at http://hazmat.dot.gov/sp_app/special_permits/spec_perm_index.htm. Photo reproductions and legible reductions of this special permit are permitted. Any alteration of this special permit is prohibited.

PO: RB/FF/sln

Annex A

DOT-SP 10656 SHIPMENT APPROVAL FORM

Approval Number _____ (Refer to SP 10656, paras. 8a-8b)

This shipment of scrap metal or related materials for recycle contains unidentified radioactive material causing low levels of radiation outside the transport vehicle. Shipment is under Special permit DOT-SP 10656 without a determination of materials meeting or not meeting the regulatory definition of radioactive material. The shipment is a minor radiological concern based on considerations of the U.S. Department of Transportation and the state official signing this shipment approval document.

=====

DETAILS of DETECTION SITE, MATERIALS, and ORIGIN

Facility: Name _____ Type: _____

Address: _____

① Contact person: _____ Ph. _____ Fax. _____

☐ Highway or ☐ Rail Vehicle Type: _____ Id.No.: _____

Owner: _____ Operator name: _____

② Contact person: _____ Ph. _____ Fax. _____

Description of scrap and release risks: _____

Radiation Measurement

Date/time performed: _____

mrem/h (max) _____ location on vehicle _____

Inst. Mfgr./type/model _____ Bkg. mrem/h _____

Surveyor name: _____ Ph. _____

Shipment Origin Company: _____ Location: _____

③ Contact person: _____ Ph. _____ Fax. _____

=====

RADIATION CONTROL OFFICIALS (Detection, Origin, Destination States)

Detection State Official (receiving radiation detection info) Name: _____

④ Organization _____ Ph. _____ Fax. _____

Origin State Official (prior to detection)

Name: _____

⑤ Organization _____ Ph. _____ Fax. _____

Destination State Official (after detection) Name: _____

⑥ Organization _____ Ph. _____ Fax. _____

=====

DESTINATION for RADIOACTIVE MATERIAL IDENTIFICATION and DISPOSITION

If carrier and shipper to this location are different than ② and ③, show info in REMARKS

Company Name: _____ Location: _____
⑦ Contact person: _____ Ph. _____ Fax. _____

SP-10656 Approval Number _____

Page 2

=====

APPROVAL of SHIPMENT and SPECIAL CONDITIONS Date: _____

Conditions: _____

⑧ Signature: _____ Ph. _____ Fax. _____

Title _____ Organization _____ Date _____

=====

IDENTIFICATION of RADIOACTIVE MATERIAL and DISPOSITION INFORMATION at DESTINATION

⑨ Name: _____ Title: _____ Date: _____

Organization: _____ Ph. _____ Fax. _____

=====

RECORD of TRANSMITTALS (Shipment Approvals and identification/disposition)
(Circumstances may influence distribution)

Shipment Approvals (Sent by ④ or ⑧) to (Show date sent)

OED CRCPD _____ ① _____, ② _____, ③ _____,
⑤ _____, ⑥ _____, ⑦ _____, OTHER _____

Record of Identification and Disposition (Sent by ⑥, ⑦, ⑨, or) to

③ _____, ④ _____, ⑤ _____, ⑨ _____, OED CRCPD _____

OTHER _____

=====

REMARKS, OTHER INFORMATION

In case of an emergency, notify the National Response Center ((800)424-8802) and
the (⑧) authorizing official and give the Special permit No. and Approval No.

May 5, 2006



U.S. Department
of Transportation

400 Seventh Street, S.W.
Washington, D.C. 20590

Pipeline and
Hazardous Materials
Safety Administration

DOT-SP 11406
(SEVENTH REVISION)

EXPIRATION DATE: April 30, 2010

(FOR RENEWAL, SEE 49 CFR § 107.109)

1. GRANTEE: Shippers and carriers of liquid or solid waste (henceforth called "waste") with low levels of external radiation who are approved by state radioactive material control officials registered with the Office of the Executive Director of the Conference of Radiation Control Program Directors (CRCPD), Frankfort, Kentucky.

2. PURPOSE AND LIMITATION:

a. This special permit authorizes the one-way transportation in commerce by highway or rail of shipments of waste which have been found, during or at the conclusion of transportation or during inspection of the shipment following its receipt, to contain unexpected and unidentified radioactive material or contamination. The one-way transportation authorized by this special permit is exempted from the classification, packaging, and hazard communication requirements normally required for transportation of radioactive material.

The purpose of the transportation authorized by this special permit is to allow the waste to be moved to a location deemed by the authorizing state official to be more appropriate for proper characterization and/or disposition of the discovered radioactivity. This special permit provides no relief from the Hazardous Materials Regulations (HMR) other than as specifically stated herein.

b. The safety analysis performed in the development of this special permit only considered the hazards and risks associated with transportation in commerce.

May 5, 2006

c. Party status will not be granted to this special permit.

3. REGULATORY SYSTEM AFFECTED: 49 CFR Parts 106, 107 and 171-180.

4. REGULATIONS FROM WHICH EXEMPTED: 49 CFR Part 172, Subparts C, D, E, F, G, and H as they pertain to required shipping papers, package marking and labeling, placarding, emergency response information, and training. Part 173, Subpart B, § 173.22(a)(1) as it pertains to classification of hazardous materials.

Part 173, Subpart I as it pertains to packaging and transport of radioactive material. Part 174, Subpart K as it pertains to detailed requirements for rail freight transport of radioactive materials. Section 177.842 as it pertains to highway transport of radioactive materials.

5. BASIS: This special permit is based on CRCPD's application dated January 30, 2006, submitted in accordance with § 107.109.

6. HAZARDOUS MATERIALS (49 CFR § 172.101):

Proper Shipping Name/ Hazardous Materials Description	Hazard Class/ Division	Identi- fication Number	Packing Group
Radioactive material, excepted package-limited quantity of material	7	UN2910	N/A
Radioactive Material, Type A package <i>non-special form, non fissile or fissile-excepted</i>	7	UN2915	N/A
Radioactive Material, Type A package, special form <i>non fissile or fissile-excepted</i>	7	UN3332	N/A
Radioactive Material, Type B(U) package <i>non fissile or fissile- excepted</i>	7	UN2916	N/A
Radioactive Material, low specific activity (LSA-I) <i>non fissile or fissile-excepted</i>	7	UN2912	N/A
Radioactive Material, low specific activity (LSA-II) <i>non fissile or fissile-excepted</i>	7	UN3321	N/A
Radioactive Material, low specific activity (LSA-III) <i>non</i>	7	UN3322	N/A

Proper Shipping Name/ Hazardous Materials Description	Hazard Class/ Division	Identi- fication Number	Packing Group
Radioactive material, excepted package-limited quantity of material	7	UN2910	N/A
<i> fissile or fissile-excepted</i>			
Radioactive Material, surface contaminated objects (SCO-I or SCO-II) <i>non fissile or fissile- excepted</i>	7	UN 2913	N/A

7. SAFETY CONTROL MEASURES:

a. PACKAGING - The shipments are excepted from the packaging and transport requirements for radioactive material of Part 173, Subpart I and may be transported by motor vehicle or rail freight provided it is evident that radioactive material will not be released from the conveyance during transit and that the transport conditions in the shipment approval form specified in paragraph 7(d) of this special permit are satisfied.

b. CLASSIFICATION AND TESTING - The shipments are exempted from the classification and description requirement of 49 CFR § 173.22(a)(1) provided that the measured radiation levels at the external surface of the conveyance do not exceed 0.50 mSv/h (50 mrem/h) and, in the case of a highway vehicle, the ~~dose rate in any occupied space is no greater than 0.02 mSv/h~~ (2 mrem/h).

c. COMMUNICATIONS - The packages and conveyances transported under this special permit are exempted from the communication requirements of 49 CFR Part 172, Subpart C (shipping papers), D (marking), E (labeling), and F (placarding) provided the communication provisions in the shipment approval form specified in paragraph 7(d) of this special permit are satisfied.

d. SHIPMENT APPROVAL BY STATE RADIATION OFFICIAL - Prior to shipment of the waste, the state radiation control official of the state where the radiation was detected must evaluate the radiological risk associated with the transport of the material, under the conditions of this special permit, to a location where the radioactive material can be identified and properly treated. If the official believes that these risks

May 5, 2006

are no greater than the risk associated with normal transport of radioactive material in compliance with the regulations, he/she may authorize the shipment by completing and signing the shipment approval form shown in Annex A. Any additional or special conditions necessary for safe transport must be included in the approval. Note: This special permit is not required in order to transport radioactively contaminated household wastes, since according to DOT Letter of Interpretation Ref. No. 04-0197, dated Oct. 8, 2004, radioactively contaminated household wastes are not regulated in transport by DOT under its hazardous materials regulations.

e. SHIPMENT APPROVAL FORM DISTRIBUTION - Copies of the shipment approval form must be provided, in advance of the shipment, by the issuing official to the following:

- (1) the Office of the Executive Director, CRCPD, Frankfort, KY;
- (2) the cognizant person at the facility where the radioactive material was discovered;
- (3) the cognizant person at the facility from which the waste was shipped prior to detection;
- (4) the cognizant person at the facility to which the waste will be shipped for identification and/or treatment;
- (5) the state radiation official having authority over the facility receiving the shipment (after detection);
- (6) the state radiation official having authority over the facility or company from which the shipment originated (before detection).

f. SHIPMENT APPROVAL FOR CARRIERS - The cognizant person at the facility where the radioactive material was discovered must provide a copy of the shipment approval to the operator of the vehicle used for highway shipments and to the railroad management or dispatch office for rail freight shipments.

g. IDENTIFICATION AND DISPOSITION OF RADIOACTIVE MATERIAL TRANSPORTED UNDER THIS SPECIAL PERMIT - Once the radionuclides in the waste are identified and disposition is arranged, the person responsible for the identification must complete the identification and disposition portion of the shipment approval form and provide the completed form to:

- (1) the Office of the Executive Director, CRCPD;

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(2) the state official at the state of origin (prior to detection);

(3) the state official issuing the shipment approval; and

(4) the state official of the state where identification and disposition occurred, if different from g(2).

8. SPECIAL PROVISIONS:

a. Shipment Approval Assigned Number - One official in each state must assign and maintain a list of shipment approval numbers for all shipment approvals issued by that state under DOT-SP 11406. The eight figures in the shipment approval number should be determined as follows: the first two characters are the abbreviation of the state of origin; the third and fourth characters must be the abbreviation of the state of destination; the fifth and sixth characters must be the last two digits of the year of issue; the seventh and eighth characters must be the sequential number of the shipment approved for that year between those states. For example PA-NJ-00-02 would be the second shipment from Pennsylvania to New Jersey that was approved by the official during 2000.

b. Each state radioactive material official approving shipments must have a copy of this special permit and a copy of Title 49 of the Code of Federal Regulations. This official should also provide a copy of this special permit and their implementing instructions to all managers of landfill, incineration or other waste processing facilities that have installed radiation monitoring systems within the state.

9. MODES OF TRANSPORTATION AUTHORIZED: Rail freight and motor vehicle.

10. MODAL REQUIREMENTS:

a. A current copy of the shipment approval document must be carried in the cab of the motor vehicle. For shipments by rail freight, the railroad management will provide train crews with the identity of the rail car and its position in the train.

b. Each carrier must ensure that the shipment described on the shipment approval document is transported over the most appropriate route without unnecessary or avoidable delay.

May 5, 2006

c. The shipment approval form and other provisions of this special permit satisfy: the Emergency Information and Training requirements of 49 CFR Part 172, Subpart G and Subpart H, and the modal Class 7 material requirements of Part 174, Subpart K and Part 177, Subpart B.

11. COMPLIANCE: Failure by a person to comply with any of the following may result in suspension or revocation of this special permit and penalties prescribed by the Federal hazardous materials transportation law 49 U.S.C. 5101 et seq:

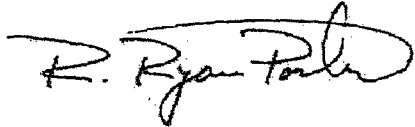
- o All terms and conditions prescribed in this special permit and the Hazardous Materials Regulations, 49 CFR Parts 171-180.
- o Persons operating under the terms of this special permit must comply with the security plan requirement in Subpart I of Part 172 of the HMR, when applicable.
- o Registration required by § 107.601 et seq., when applicable.

Each "Hazmat employee", as defined in § 171.8, who performs a function subject to this special permit must receive training on the requirements and conditions of this special permit in addition to the training required by 49 CFR 172, Subpart H.

No person may use or apply this special permit, including display of its number, when the special permit has expired or is otherwise no longer in effect. Under Title VII of the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU)- 'The Hazardous Materials Safety and Security Reauthorization Act of 2005' (Pub. L. 109-59), 119 Stat. 1144 (August 10, 2005), amended the Federal hazardous materials transportation law by changing the term 'exemption' to 'special permit' and authorizes a special permit to be granted up to two years for new special permits and up to four years for renewals.

12. REPORTING REQUIREMENTS: In addition to the reporting requirements of §§ 171.15, 171.16, and 174.750 or 177.854, a carrier must report, as soon as practicable, any incident involving a shipment in transportation under this special permit to the Associate Administrator for Hazardous Materials Safety by calling the National Response Center at 1-(800)424-8802. A call must also be made to the state official signing the shipment approval as identified in paragraph 7(d). These telephonic notices should identify that the shipment is under DOT-SP 11406 and the eight-digit shipment approval identification number.

Issued in Washington, D.C.:



for Robert A. McGuire
Associate Administrator
for Hazardous Materials Safety

Address all inquiries to: Associate Administrator for Hazardous
Materials Safety, Pipeline and Hazardous Materials Safety
Administration, Department of Transportation, Washington, D.C.
20590. Attention: PHH-31.

Copies of this special permit may be obtained by accessing the
Hazardous Materials Safety Homepage at
http://hazmat.dot.gov/special_permits/spec_perm_index.htm.

Photo reproductions and legible reductions of this special permit
are permitted. Any alteration of this special permit is
prohibited.

PO: FDF/sln

Approval No _____ (Refer to SP 11406, para. 8a)

This shipment of waste or recycle materials contains unidentified radioactive material causing low level radiation outside the vehicle. Shipment is under Special permit DOT-SP 11406 without a determination of materials meeting or not meeting the regulatory definition of radioactive material. The shipment is a minor radiological concern based on considerations of the U.S. Dept. of Transportation and the state official signing this shipment approval document.

DETAILS of DETECTION SITE, MATERIALS, and ORIGIN

Facility: Name _____ Type: _____

Address: _____

① Contact person: _____ Ph. _____ Fax. _____

☐ Highway or ☐ Rail Vehicle Type: _____ Id.No.: _____

Company: _____ Operator name: _____

② Contact person: _____ Ph. _____ Fax. _____

Description of waste and release risk factors: _____

Radiation Measurement Date/time performed: _____

mrem/h (max) _____ location on vehicle _____

Inst.Mfgr./type/model _____ Bkg. mrem/h _____

Surveyor name: _____ Ph. _____

Shipment Origin Company: _____ Address: _____

Waste Origin: _____

③ Contact person: _____ Ph. _____ Fax. _____

RADIATION CONTROL OFFICIALS (Detection, Origin, Destination States)

Detection State Official (receiving radiation detection info) Name: _____

④ Organization _____ Ph. _____ Fax. _____

Origin State Official (prior to detection) Name: _____

⑤ Organization _____ Ph. _____ Fax. _____

Destination State Official (after detection) Name: _____

⑥ Organization _____ Ph. _____ Fax. _____

DESTINATION for RADIOACTIVE MATERIAL IDENTIFICATION and/or DISPOSITION

If carrier and shipper to this location are different than ② and ③, show info in REMARKS

Company Name: _____ Location: _____

⑦ Contact person: _____ Ph. _____ Fax. _____

May 5, 2006

SP 11406 Approval No _____

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APPROVAL of SHIPMENT and SPECIAL CONDITIONS

Conditions: _____

⑧ Signature: _____ Ph. _____ Fax. _____

Title _____ Organization _____ Date _____

IDENTIFICATION of RADIOACTIVE MATERIAL and DISPOSITION INFORMATION at DESTINATION

⑨ Name: _____ Title: _____ Date: _____

Organization: _____ Ph. _____ Fax. _____

RECORD of TRANSMITTALS (Shipment Approvals and identification/disposition)
(Circumstances may influence distribution)

Shipment Approvals (Sent by ④ or ⑧) to (Show date sent)

OED CRCPD _____, ① _____, ② _____, ③ _____,

⑤ _____, ⑥ _____, ⑦ _____, OTHER _____

Record of Identification and Disposition (Sent by ⑦, ⑨, or other _____) to

OED CRCPD _____, ③ _____, ⑤ _____, ⑥ _____,

④ or ⑧ _____, OTHER _____

REMARKS, OTHER INFORMATION

In case of an emergency, notify the National Response Center ((800)424-8802) and the (⑧) authorizing official and give the Special Permit No. SP 11406 and Approval No.

In April 2004, New Jersey's Department of Environmental Protection's Radiation Protection and Release Prevention Element (RPRP), entered into an agreement with the Conference of Radiation Control Program Directors (CRCPD), and became a member of the National Orphan Radioactive Material Disposition Program. The goal of this program is to reduce the number of discrete radioactive sources and devices that are abandoned or improperly disposed of and thereby reduce the risk of unnecessary radiation exposure to the public and/or contamination of the environment. These radioactive sources are generally discovered in scrap metal or other waste handling facilities, and it is important that they be disposed of quickly. CRCPD provides the financial assistance when the individual or firm inadvertently becomes the possessor of such material and cannot pay for the proper disposition of the material.

In May 2002, during an investigation at a scrap yard for suspected radioactive materials, inspectors from the RPRP Radioactive Materials Section (RMS) discovered a radioactive device containing a 35 millicurie source of Strontium 90. The previous owner of the device could not be found and the scrap yard could not pay for the proper disposal of the source. As a result, the source remained at the scrap yard for over 2 years, risking the potential of radiation exposure to individuals who could have accidentally come in contact with the device.

During the week of August 23, 2004, the RPRP successfully managed the proper disposition of the radioactive device.

MANAGEMENT OF ALLEGATIONS

1. Initial Contact

Receipt of an Allegation

An "alleger" is any individual or organization that makes an allegation to DEP. Any DEP employee may receive an allegation, either by telephone, in person, via the Internet;¹ during an inspection, investigation, or enforcement conference; or in the mail. Treat the alleger courteously in all contacts and be responsive to the alleger, irrespective of the reason the alleger came to DEP. The safety significance of an allegation should not affect the treatment of the alleger, although it may affect the timing of DEP follow up actions. The way DEP staff treat an alleger is an important indicator of how the alleger, DEP staff, and the public view the allegation process.

Questions To Be Asked During Contact With the Alleger (Allegation Contact Form - Attached)

First obtain as much information as possible from the alleger, including:

- The alleger's full name, position or relationship to the facility or activity involved, home mailing address (not business), telephone number
- The alleger's employer, the facility, and activity involved
- Nature and details of the allegation
- Potential safety impact
- How the alleger found out about the concern(s)
- Other individuals DEP should contact for additional information
- Records DEP should review Whether the alleger raised the concerns with his or her management
If not, why not
If yes, what action has been taken
- Whether the alleger has any objection to referring issues to the licensee.
- Whether the alleger objects to having his or her identity released
- The alleger's preference for method and time of contact
- The reason the alleger contacted DEP (e.g., licensee's corrective action program is unresponsive, individual fears retaliation)
- Whether the alleger has contacted any other State agency

If the information appears to be classified or safeguards information, inform the alleger that DEP will contact him or her to arrange a personal interview with a staff member knowledgeable in the safeguards or classified information area of the alleger's concerns.

¹ Because of the current lack of security in Internet communications between the public and DEP, the inability to verify the identity of the sender, and the possibility that messages sent to company e-mail addresses can be read by the company, **all** allegations received via the Internet will be treated as anonymous. Anyone submitting an allegation via the Internet who desires a personal response from the DEP must call the safety hotline, verify that they are the party who sent the allegation via the Internet, and provide their address so that a response can be sent to them via the U.S. Postal Service. This information is provided to allegers on the allegations web page.

If the alleged attempts to provide off-the-record information, advise him or her that DEP does not recognize off-the-record information and that all information received will be accepted officially and appropriately acted upon.

If the alleged does not object to being contacted again, inform the alleged that he or she will be contacted again, either by telephone, a personal visit, or a letter, within 30 days of the allegation. Inform the alleged that DEP will acknowledge receipt at a designated address.

This process will permit the alleged to review the information with DEP to confirm that the information has been correctly interpreted and understood. Also inform the alleged that he or she will be contacted when the allegation is resolved. All contacts should be documented in the appropriate allegation file.

If the DEP contact does not have the capability to evaluate the information, determine follow up action, or establish DEP jurisdiction, the contact should inform the alleged that it may be necessary for someone else to contact him or her for additional information.

If during contact with an alleged, the alleged becomes hostile and/or abusive, the DEP employee is not required to continue the discussion and withstand the abuse. In this type of situation, the DEP employee should politely end the conversation and either offer to recontact the alleged, or provide the alleged the opportunity to recontact DEP, after he or she has had an opportunity to collect himself or herself.

2. Protecting an Alleged's Identity

Before the end of the initial discussion in which the alleged has presented his or her concerns, inform the alleged of the degree to which his or her identity can be protected. Inform the alleged that his or her identity, or information that would reveal his or her identity, will be withheld from DEP staff except on a need-to-know basis.

It is DEP's practice to neither confirm nor deny to the licensee or the public that an individual is an alleged or confidential source, except when necessary in the furtherance of an investigation. Whether confidentiality has been granted or not, the following points apply:

- Do not tell a licensee (even if the licensee asks) that an inspection is based on an allegation
- Inspection-related documents should address relevant issues without acknowledging that the issue was raised in the context of an allegation.
- Do not include information that could lead to the identification of the alleged or confidential source in DEP-generated documents related to an allegation, except in cases in which the alleged has indicated that he or she has no objection to the release of his or her name to the licensee and this lack of objection has been documented in writing. This type of information includes inspection reports or referrals and correspondence to licensees, Agreement States, Federal agencies, the Occupational Safety and Health Administration (OSHA), the military, or other organizations or individuals.
- Do not refer to the identity of an alleged or confidential source during internal DEP staff discussions. Redact the alleged's name and other identifying information from allegation documents before they are distributed to assigned staff.

- If necessary, to protect the identity of an alleged or confidential source, reword and retype an alleged's written allegation before it is made available to a licensee.
- Do not reproduce allegation files and documents that could reveal the identity of an alleged or confidential source
- Correspondence may be issued by any designated staff as long as the Assistant Director and/or Director, as appropriate, reviews and concurs in the letter.
- Internal correspondence containing information that could reveal the identity of an alleged or confidential source must be transmitted in a sealed envelope marked "To Be Opened by Addressee Only"

3. Disclosing an Alleged's Identity

In accordance with N.J.S.A. 47:1A et seq., (commonly known as the Open Public Records Act or OPRA) members of the public may seek access to government records that are made or maintained by the Department of Environmental Protection. There are statutory exemptions to OPRA which are listed at N.J.S.A. 47:1A-1.1 (e.g., legislative; deliberative process; trade secrets; attorney-client privilege, etc) that could also apply in case specific situations. The DEP's OPRA Policy and Procedure is Attachment 1.

Inform an alleged of the limitations on the protection of his or her identity. Tell the alleged that his or her identity will not be disclosed outside DEP, except as follows:

- The alleged has clearly indicated no objection to being identified.
- Disclosure is necessary because of an overriding health or safety issue.
- Disclosure is necessary pursuant to an order of a court or DEP adjudicatory authority

For allegations involving wrongdoing (e.g., allegations involving record falsification, willful violations, or other deliberate conduct in violation of DEP regulatory requirements), an alleged's identity may be disclosed at the DEP's discretion in order to pursue the investigation.

Notify an alleged if his or her name or other personal identifier is to be, or has been, released.

Advising an Alleged About Confidentiality

If the alleged declines to provide sufficient information, attempt to establish the reason(s) for the reluctance, using the following guidance:

- Explain that confidentiality can be provided under certain circumstances but not for concerns involving discrimination.

4. Recipient of the Allegation

A DEP employee receiving an allegation will inform his or her supervisor. The DEP employee needs to complete the Radioactive Material Section Allegation Report Form (Attachment 2) and perform an immediate assessment to determine if there is an overriding safety issue.

An allegation should be screened using the following questions: (c)

- Is there an immediate safety concern that must be quickly addressed?
- Is the allegation a specific safety or quality issue or a generalized concern?

- Has the staff previously addressed the issue?
- Have a substantial number of allegations on similar concerns been received?
- What is the time sensitivity of the allegation, and what immediate actions are necessary?
- What is the potential for wrongdoing and will investigative assistance be needed?
- Does the allegation package contain sufficient information for a thorough evaluation? If not, identify the additional information needed.
- Is the identity of an alleged necessary for a thorough evaluation?
- Can the issues be adequately addressed by a technical inspection? If not, determine the best way to address the issues.
- Identify any peripheral issues that could develop.
- Are any licensing actions, enforcement actions, or other allegations pending that could be affected by the allegation?
- Can inspection resources be effectively utilized pursuing the issue or is the allegation too vague or frivolous?
- Is further consideration of the allegation required? If not, inform the alleged or confidential source in a courteous and diplomatic manner of the rationale for not considering it further.
- Can licensee resources reasonably be used in resolving the allegation to conserve staff resources? Consider potential problems associated with involving the licensee in the resolution process.
- Does the allegation have the potential to require escalated enforcement action?
- Determine if other DEP offices should be notified.
- Establish a schedule for the resolution of each allegation that is consistent with the licensing schedule, if applicable.

Any time there is a referral to another organization, whether it is internal to DEP or external, the alleged must be notified. However, for an allegation not within the jurisdiction of DEP, tell the alleged that the allegation will be forwarded to the appropriate organization(s) and that he or she, subsequently, should directly contact the organization(s). In this case, in which DEP forwards an allegation not within its jurisdiction to another organization(s), DEP should not act as a middle-man between the alleged and the other organization(s). The alleged should be told to contact the new organization(s) directly, and DEP will terminate its involvement in the case.

Allegations should be addressed according to the guidelines listed below:

- Overriding safety issue – shall be addressed immediately
- High safety significance – should be addressed expeditiously, usually within 30 working days
- Low safety significance – should be addressed as priorities and resources permit, usually within 6 months of receipt.

5. Closure of Allegations

Documentation of Resolution of the Allegation

A final report will be prepared to set forth the facts about the allegation and its resolution. This report can be a memorandum (including a closeout letter) for a relatively minor matter, a report of an investigation, an inspection report, material inspector field notes, or a technical paper for a complex or major generic issue.

The final closure report should include a summary of the concern, a description of the evaluation performed, and the conclusions drawn. It also should inform the allegor which concerns were substantiated and which were not. However, if the closure document is an inspection report, it will address the relevant issue without acknowledging that the issue was raised in the context of an allegation.

The closure report officially closes the allegation and must be placed in the allegation file.

Send to the allegor or confidential source and, if appropriate, to the affected organizations a copy of the final report, appropriately redacted to protect the identity of the allegor or confidential source and/or other people related to the allegation and to protect proprietary information. However, do not send materials inspector field notes, instead, summarize the information in the closure letter. A transmittal letter may be needed to summarize the matter after civil and criminal enforcement actions, if any, have taken place.

Notification When No Enforcement Action Is Intended

Following the issuance of a report, the staff determines whether enforcement is warranted. If enforcement is not warranted, staff issues a memorandum stating that it does not appear that enforcement is warranted and forwards report to management. If management agrees letter is sent to allegor providing findings of the investigation.

Notification When an Enforcement Action Is Pending

When an enforcement action is pending, the allegor cannot normally be informed of the results of the investigation until the licensee is informed. The licensee is informed of the results through the issuance of a letter informing the licensee that DEP is considering an issue for escalated enforcement and inviting the licensee to an enforcement conference or offering the licensee the choice of responding in writing. A copy of the letter to the licensee and the synopsis of the report shall be sent to the allegor at the time it is sent to the licensee. The concurrences on the letter to the licensee are those required by the enforcement process and they also serve as the approval to provide the synopsis to the allegor.

Staff-Identified Potential Wrongdoing

Allegations that involve failure to meet requirements have the potential for being willful violations (wrongdoing). The staff should remain alert to implicit allegations and indicators of wrongdoing that may emerge.

Allegations regarding suspected improper conduct by DEP employees or DEP contractors will be brought to the attention of appropriate management for referral to Labor Relations.

It is very possible that information considered to be an allegation might be received at enforcement conferences. In these cases, this information will be treated as staff-identified allegations because the person making the statement may not consider that they made an allegation and they are not likely to be expecting a response. In cases of this type, the staff will evaluate or inspect the issue but DEP will not issue an acknowledgment or closure letter to the person who made the statement.

ATTACHMENT 1

Open Policy Records Act (OPRA) Requests

I. PURPOSE

To state the policy and procedure governing access to, and inspection and copying of Department government records pursuant to written requests made under the New Jersey Open Public Records Act, non-OPRA requests, and subpoenas.

II. AUTHORITY

N.J.S.A. 13:1B-3
N.J.S.A. 13:1B-4
N.J.S.A. 13:1D-2
N.J.S.A. 47:1A-1 et seq.
Executive Order No. 9 (1963)
Executive Order No. 11 (1974)
Executive Order No. 79 (1979)
Executive Order No. 21 (2002)
Executive Order No. 26 (2002)
N.J.A.C. 7:1-1.1 (http://www.state.nj.us/dep/legal/rules/njac7_1.pdf)

III. SUPERSEDES

Policy and Procedure No. 1.56 dated 04/27/94.
Policy and Procedure No. 3.14 dated 09/09/03

IV. DEFINITIONS

Assistant Commissioner Records Custodian (ACRC) – shall mean the person in each Assistant Commissioner area who assigns requests to appropriate File Officers and oversees the processing of the request by the program to ensure the request is being handled properly.

Central File Unit - shall mean the Office of the Records Custodian, Central File Unit, located on the first floor, west wing of 401 East State Street.

Confidential Records - shall mean all government records that are exempted by law from public inspection (see Section V, Policy).

Department Records Custodian – shall mean the officer officially designated by formal action of the agency Commissioner to coordinate and maintain government records. (see Section VI. Responsibilities).

File Officer – shall mean the program person who retrieves files from units within their responsibility that maintain ownership of files. Reports findings to the ACRC.

Form ADM-101 – shall mean the “Records Billing Statement” to be completed by the Office of the Records Custodian to bill requesters for copies made prior to their release.

Form SONJ-DEPRRF-V2 – shall mean the “State of New Jersey, Department of Environmental Protection, Government Records Request Form” to be completed by anyone requesting a government record pursuant to the New Jersey Open Public Records Act. (available online at http://depnet.dep.state.nj.us/opra/NJDEP_OPRA_Request_Form.pdf)

Government Record – shall mean any paper, written or printed book, document, drawing, map, plan, photograph, microfilm, data processed or image processed document, information stored or maintained electronically or by sound-recording or in a similar device, or any copy thereof, that has been made, maintained or kept on file in the course of official business.

Office of Legal Affairs – shall mean, for purposes of this policy and procedure, the office on which subpoenas for records are to be served, pursuant to N.J.A.C. 7:1-1.3(f). The Office of Legal Affairs is located on the fourth floor, west wing, 401 East State Street.

Office of the Records Custodian – shall mean the custodian of the Department's records, as designated under the OPRA, located on the first floor, west wing, 401 East State Street.

Open Public Records Act (OPRA) – shall mean the statute concerning public access to government records, N.J.S.A. 47-1A-1 et. seq. (available online at <http://www.nj.gov/grc/act.html>)

Requester - shall mean any person seeking access to government records.

Subpoena – shall mean a legal request for access to government records.

V. POLICY

A. Access to Government Records

1. The Department will retain all originals of government records in accordance with the State Records Retention Schedule. (available online at <http://www.njarchives.org/links/pdf/g100000-905.pdf>)
2. The Department will provide access to government records for inspection upon a written request under OPRA on Form SONJ-DEPRRF-V2, and in response to a properly served subpoena.
3. The Department will provide copies or provide facilities for a requester to make copies of government records upon written request under OPRA on Form SONJ-DEPRRF-V2, and in response to a properly served subpoena.
4. Written requests under OPRA to inspect, copy or obtain a copy of any government record required to be made available under OPRA, shall be sent or referred to:

Chief
Office of the Records Custodian
New Jersey Department of Environmental Protection
PO Box 442
401 East State Street
Trenton, New Jersey 08625-0442

5. The Department will provide copies of government records, and certify, when requested, that same are true and accurate copies.
6. A request for a government record received in the Department other than the Office of the Records Custodian and that references OPRA, shall be forwarded immediately (seven-day time frame starts from the time the request is received in the Department) to the ORC for processing.
7. Requests received for government records that do not reference OPRA may be responded to directly by the program. Prior to releasing any government records, confidential information (see Section V. B. Confidential Records) must be removed or redacted.
8. The Department will provide copies or provide facilities for a requester to make copies of government records in response to a properly served subpoena. Pursuant to N.J.A.C. 7:1-1.3(f), anyone serving a subpoena for the production of Department records and/or testimony from Department employees must serve the subpoena on the Office of Legal Affairs. No Department employee outside the Office of Legal Affairs is authorized to accept service of a subpoena.

B. Confidential Records – OPRA Requests

1. Government records are confidential, and are not subject to public inspection or copying under OPRA if they are:
 - a. A Department record that consists of inter-agency or intra-agency advisory, consultative, or deliberative material;
 - b. Information received by a member of the Legislature from a constituent or information held by a member of the Legislature concerning a constituent, including but not limited to, information in written form or contained in any e-mail or computer data base, or in any telephone record whatsoever, unless it is information the constituent is required by law to transmit;
 - c. Any memorandum, correspondence, notes, report or other communication prepared by, or for, the specific use of a member of the Legislature in the course of the member's official duties, except that this provision shall not apply to an otherwise publicly-accessible report that is required by law to be submitted to the Legislature or its members;
 - d. Any copy, reproduction or facsimile of any photograph, negative or print, including, instant photographs and videotapes of the body, or any portion of the body, of a deceased person, taken by or for the medical examiner at the scene of death or in the course of a post mortem examination or autopsy made by or caused to be made by the medical examiner except:
 - i. When used in a criminal action or proceeding in this State that relates to the death of that person,
 - ii. For the use as a court of this State permits, by order after good cause has been shown and after written notification of the request for the court order has been served at least five days before the order is made upon the county prosecutor for the county in which the post mortem examination or autopsy occurred,
 - iii. For use in the field of forensic pathology or for use in medical or scientific education or research, or
 - iv. For use by any law enforcement agency in this State or any other State or Federal law enforcement agency.
 - e. Criminal investigatory records;
 - f. Victim's records, except that a victim of a crime shall have access to the victim's own records;
 - g. Trade secrets and proprietary commercial or financial information obtained from any source. For the purposes of this paragraph, trade secrets shall include data processing software obtained by a public body under a licensing agreement that prohibits its disclosure;
 - h. Any record within the attorney-client privilege. This paragraph shall not be construed as exempting from access attorney or consultant bills or invoices except that such bills or invoices may be redacted to remove any information protected by the attorney-client privilege;
 - i. Administrative or technical information regarding computer hardware, software and networks, including but not limited to source code, operating protocols, and manuals created by employees or consultants for the use of

the Department, which, if disclosed, would jeopardize computer security;

- j. Emergency or security information or procedures for any buildings or facility which, if disclosed, would jeopardize security of the building or facility or persons therein;
- k. Security measures and surveillance techniques which, if disclosed, would create a risk to the safety of persons, property, electronic data or software;
- l. Information which, if disclosed, would give an advantage to competitors or bidders;
- m. Information generated by or on behalf of public employers or public employees in connection with any sexual harassment complaint filed with a public employer or with any grievance filed by or against an individual or in connection with collective negotiations, including documents and statements of strategy or negotiating position;
- n. Communication between the Department and its insurance carrier, administrative service organization or risk management office;
- o. Information that is to be kept confidential pursuant to court order;
- p. That portion of any government record that discloses the social security number, credit card number, unlisted telephone number or driver license number of any person; except for use by the Department in carrying out its functions, or any private person or entity acting on behalf thereof, or any private person or entity seeking to enforce payment of court-ordered child support; except with respect to the disclosure of driver information by the Division of Motor Vehicles as permitted by N.J.S.A. 39:2-3.4; and except that a social security number contained in a government record required by law to be made, maintained or kept on file by the Department shall be disclosed when access to the document or disclosure of that information is not otherwise prohibited by State or federal law, regulation or order or by State statute, resolution of either or both houses of the Legislature, Executive Order of the Governor, rule of court or regulation promulgated under the authority of any statute or executive order of the Governor.
- q. A government record that pertains to an investigation or inspection in progress by the Department, if the inspection, copying or examination of such record or records is inimical to the public interest; provided, however, that this provision shall not be construed to allow the Department to prohibit access to a record of the Department that was open for public inspection, examination, or copying before the investigation or inspection commenced;
- r. The personnel or pension records of any individual, including but not limited to records relating to any grievance filed by or against an individual, except:
 - i. An individual's name, title, position, salary, payroll record, length of service, date of separation and the reason therefor, and the amount and type of any pension received;
 - ii. When such personnel or pension records are required to be disclosed by another law, when disclosure is essential to the performance of official duties of a person duly authorized by this State or the United States, or when authorized by an individual in interest; or
 - iii. Data contained in information that disclose conformity with

specific experiential, educational or medical qualifications required for Department employment or for receipt of a public pension, but not including any detailed medical or psychological information;

- s. Test questions, scoring keys and other examination data pertaining to the administration of any examination or an application for public employment or licensing;
 - t. In addition, OPRA continues any existing exception from public access to a government record made under:
 - i. Resolution of either or both houses of the Legislature;
 - ii. Regulation promulgated under the authority of any statute or Executive Order of the Governor;
 - iii. Executive Order of the Governor;
 - iv. Rules of Court; or
 - v. Any Federal law, Federal regulation, or Federal order.
2. Government records are confidential, and are not subject to public inspection or copying under OPRA if they are among the following, which are, in accordance with paragraph 4 of Executive Order 21 (July 8, 2002), Department-specific categories of documents, as proposed by the Department in the New Jersey Register on July 2, 2002 with modifications subsequently imposed upon issuance of Executive Order 26 (August 13, 2002).
- a. Information related to Green Acres and Natural Lands Trust land acquisitions, program offerings and active projects, including appraisals, valuations and title investigations shall be made available for public inspection, examination and copying no later than 48 hours before formal action is to be taken on any land transaction, program offering or active project unless the land transaction, program offering or active project is actively under negotiation, a binding contract has not been executed, or disclosure of the information would jeopardize the land transaction, program offering or active project.
 - b. Records relating to mediation proceedings conducted by or on behalf of the Department, except that any records that were open for public inspection, examination or copying prior to mediation shall continue to be available for public inspection, examination or copying during and after mediation. Final agreements resulting from mediation shall be available for public inspection, examination or copying;
 - c. Records that reveal the identity of a complainant;
 - d. The following information shall be withheld if the Department determines that the inspection, examination or copying of that record would substantially interfere with the State's ability to protect and defend the State and its citizens against acts of sabotage or terrorism, or which, if disclosed, would materially increase the risk or consequences of potential acts of sabotage or terrorism:
 - i. Any inventory of enforcement resources, including standard operating procedures, compiled and any policies or plans compiled by the Department pertaining to the mobilization, deployment, or tactical operations involved in responding to emergencies,

including employee emergency contact information;

- ii. Information related to a nuclear power plant, which, if disclosed, would jeopardize the public health, safety and welfare or the security of the plant;
- iii. Listing of Low Level Radioactive Waste generators including amounts of waste generated and shielding designs for sources of radiation;
- iv. National defense related information from Lockheed Martin's Aegis Radar System facility;
- v. Environmental Emergency Procedures detailing plans such as emergency procedures for wastewater treatment facilities pursuant to N.J.A.C. 7:14A-6.12(D); and
- vi. Inundation maps submitted as part of Emergency Action Plans pursuant to N.J.A.C. 7:20-1.7(f) and 1.11(i);
- vii. Discharge Prevention Containment and Countermeasures and Discharge Cleanup;
- viii. Removal Plans and related general site plans;
- ix. Off-Site Consequence Analyses developed pursuant to the Toxic Catastrophe Prevention Act;
- x. Radioactive Materials Licenses issued by the Nuclear Regulatory Commission and advisories issued by the Nuclear Regulatory Commission that address lessons learned, security or enforcement issues;

3. Government records are confidential, and are not subject to public inspection or copying under OPRA if they are among the following, identified in Executive Order 26 (August 13, 2002):

- a. No public agency shall disclose the resumes, applications for employment or other information concerning job applicants while a recruitment search is ongoing. The resumes of successful candidates may be disclosed once the successful candidate is hired. The resumes of unsuccessful candidates may be disclosed after the search has been concluded and the position has been filled but only where the unsuccessful candidate has consented to such disclosure.
- b. Records of complaints and investigations undertaken pursuant to the Model Procedures Complaints Alleging Discrimination, Harassment or Hostile Environments in accordance with the Policy Prohibiting Discrimination, Harassment or Hostile Environment in the Workplace and Executive Order No. 106 (Whitman 1999), whether open, closed or inactive.
- c. Information concerning individuals as follows:
 - i. Information related to medical, psychiatric or psychological history, diagnosis, treatment or evaluation; Information related to a nuclear power plant, which, if disclosed, would jeopardize the public health, safety and welfare or the security of the plant;
 - ii. Information in personal income or other tax return;

- iii. Information describing a natural person's finances, income, assets, liabilities, net worth, bank balances, financial history or activities, or creditworthiness, except as otherwise required to be disclosed;
- d. Test questions, scoring keys and other examination data pertaining to the administration of an examination or an application for public employment or licensing;
- e. Records of another Department or agency allocated to that Department in the possession of this Department or any agency allocated to this Department when those records are made confidential by a regulation of that Department or agency allocated to that Department adopted pursuant to N.J.S.A. 47:1A-1 et seq. and Executive Order No. 9 (Hughes 1963), or pursuant to another law authorizing the Department or agency to make records confidential or exempt from disclosure; and
- f. Records of this Department or any agency allocated to this Department held by the Office of Information Technology, the State Records Storage Center of the Division of Archives and Record Management (DARM), in the Department of State, or an offsite storage facility outside of the regular business office of the agency. Such records shall remain the legal property of this agency and be accessible for inspection or copying only through a request to the proper custodian of this Department or agency allocated to this Department. In the event that records of this Department or any agency allocated to this Department have been or shall be transferred to and accessioned by the State Archives in the Division of Archives and Records Management, all such records shall become the legal property of the State Archives, and requests for access to them shall be submitted directly to the State Archives.

C. Confidential Records – Subpoenas

- 1. Government records are confidential, and are not subject to public inspection or copying under a subpoena if they are:
 - a. Within the attorney-client privilege. This paragraph shall not be construed as exempting from access attorney or consultant bills or invoices except that such bills or invoices may be redacted to remove any information protected by the attorney-client privilege;
 - b. Prepared for or in anticipation of litigation to which the Department is a party;
 - c. A Department record that consists of inter-agency or intra-agency advisory, consultative, or deliberative material;
 - d. That portion of any government record that discloses the social security number, credit card number, unlisted telephone number or driver license number of any person. The government record can be produced, but the confidential information must be redacted; or
 - e. Protected by any other judicially-recognized protection or privilege.

VI. RESPONSIBILITIES

A. In response to a government records request under OPRA the Office of the Records Custodian shall:

- 1. Receive and respond to written requests and schedule appointments for requesters to review government records and/or to provide copies of government records by:

- a. Reviewing the request to ensure that the records requested are subject to public inspection;
 - b. Forwarding the request to the appropriate ACRC(s) who will forward the request to the appropriate file officer(s);
 - c. Scheduling appointments for requesters to review government records and/or to coordinating requests for copies;
 - d. Maintaining and updating the OPRA tracking system to ensure the tracking system always reflects the most current information;
 - e. Mailing forms granting or denying OPRA requests;
 - f. Calculating cost of copying records according to the attached schedule, completing Form ADM-101 "Records Billing Statement", and forwarding to the requester for copies of government records prior to the release of records;
 - g. Receiving and recording payment received, if copying done by the Department, and forwarding payment as outlined in Policy and Procedure 3.07 "Control of Revenue Receipts."
2. Coordinate with the ACRC(s) or file officer(s) when requested information has not been forwarded or there are questions regarding the processing of an OPRA request.

B. In response to service of a subpoena, the Office of Legal Affairs shall:

1. Receive and respond to subpoenas by:
 - a. Reviewing the subpoena to ensure that the subpoena is properly served and the records or testimony requested are clearly identified, and communicating with the requester to clarify the subpoena, as necessary;
 - b. Notifying subpoenaed employees of their obligation to attend a deposition or testify in court;
 - c. Through the OPRA tracking system, forwarding the request to the appropriate ACRC(s) who will forward the request to the appropriate file officer(s);
 - d. Requesting legal advice from the Office of the Attorney General, as necessary;
 - e. Scheduling appointments for requesters to review government records and/or to coordinating copying of subpoenaed government records;
 - f. Maintaining and updating the OPRA tracking system regarding subpoenas for records to ensure the tracking system always reflects the most current information;
 - g. Corresponding with the requester;
 - h. Calculating cost of copying records according to the attached schedule, and notifying the requested of the cost of copies of subpoenaed government records prior to the release of records;
 - i. Receiving and recording payment received, if copying is done by the Department, and forwarding payment as outlined in Policy and

Procedure 3.07 "Control of Revenue Receipts."

2. Coordinate with the ACRC(s) or file officer(s) when requested information has not been produced or there are questions regarding the processing of a subpoena.

C. File Officer(s) shall:

1. Control all government records under their jurisdiction by:
 - a. Maintaining a list of all records in OPRA tracking system;
 - b. Maintaining a list in the OPRA tracking system of exempt records;
 - c. Maintaining government records that include information concerning all matters within their jurisdiction;
 - d. Adhering to records retention schedules.
2. Receive requests for inspection of government records under OPRA from the Office of the Records Custodian and under subpoenas from the Office of Legal Affairs, and respond by:
 - a. With regard to record requests through the Office of the Records Custodian, scheduling appointments with the requester to inspect public records;
 - b. Maintaining sufficient security to ensure that public records are not altered, destroyed, damaged or removed during the inspection period;
 - c. Notifying the Office of the Records Custodian when the request to inspect public records has been satisfied, and the Office of Legal Affairs when the subpoenaed records have been inspected;
3. Receive from the Office of the Records Custodian, if under OPRA, and from the Office of Legal Affairs, if by subpoena, and respond to requests for copies of government records by:
 - a. Copying or providing facilities for the requester to make copies of public records requested;
 - b. Notifying the Office of the Records Custodian when the request to copy public records has been satisfied, of the Office of Legal Affairs when the request to copy subpoenaed records has been satisfied;

VII. PROCEDURES

A. Requests to Inspect Government Records under OPRA

1. Office of the Records Custodian reviews the request and sends it to the appropriate ACRC(s).
2. File Officer(s)
 - a. Ensures that the requested government records have been located;
 - b. Ensures that the government records requested are not exempt by law from public disclosure;
 - c. Enters detailed information into the OPRA tracking system regarding the records found and not found;

- d. Notifies the Office of the Records Custodian when Steps 2 and 3 have been completed through the OPRA tracking system;
- e. Provides a suitable location for the requester to review the records;
- f. Returns government records to the proper location;

B. Requests for Copies of Government Records under OPRA

- 1. File Officer(s)
 - a. Ensures that the requested government records have been located;
 - b. Ensures that government records requested are not exempted by law from public disclosure;
 - c. Copies government records requested or provide facilities for the requester to make copies of the records;
 - d. Forwards original or copies of government records to the Office of the Records Custodian;
 - e. Enters detailed information into the OPRA tracking system regarding the records found and not found;
 - f. Notifies the Office of the Records Custodian when the request has been completed through the OPRA tracking system;
 - g. Returns government records to the proper location;
- 2. Office of the Records Custodian
 - a. Calculates cost of Department copied records according to Section IX, Costs, below, completes Form ADM-101 and forwards to the requester prior to the release of records;
 - b. Receives and records payment then processes payment as outlined in Policy and Procedure 3.07 "Control of Revenue Receipts";
 - c. Forwards copies to the requester.

C. Subpoena of Government Records

- 1. Office of Legal Affairs:
 - a. Reviews the subpoena and forwards the request for records through the OPRA tracking system to the appropriate ACRC(s);
 - b. Calculates cost of Department copies records according to Section IX, Costs, below and notifies the requester of the approximate costs, to determine if the requester wishes to inspect the records, or receive copies of the records;
 - c. If payment is made directly to the Department, rather than to the Treasury copy service, receives and records payment, then processes payment as outlined in Policy and Procedure 3.07 "Control of Revenue Receipts";
 - d. Forwards copies of records to the requester, if records have not been produced through the Treasury copy service or through the individual ACRC.

2. File Officer(s):

- a. Ensures that the requested government records have been located;
- b. Ensures that the government records requested are not confidential records in accordance with Subsection V.C. Confidential Records – Subpoenas, above;
- c. Enters detailed information into the OPRA tracking system regarding the records found and not found;
- d. Notifies the Office of Legal Affairs when Steps 2 and 3 have been completed through the OPRA tracking system;
- e. Depending on instructions from the Office of Legal Affairs:
 - i. Provides a suitable location for the requester to review the records;
 - ii. Copies government records requested or provides facilities for the requester to make copies of the records, or forwards original government records to the Treasury employee on the 6th floor of 401 East State Street, identifies the requester on a copy slip, marks the copy slip "Shop 7," and certifies the copies as true copies;
 - iii. Notifies the Office of Legal Affairs when the request has been completed through the OPRA tracking system;
 - iv. Returns government records to the proper location.

VIII. VIOLATIONS

- A. Violation of this policy may result in the initiation of formal disciplinary action. The Department is not limited in its discretion to determine penalties up to and including removal.
- B. Pursuant to OPRA, "A public official, officer, employee, or custodian who knowingly and willfully violates OPRA and is found to have unreasonably denied access under the totality of circumstances shall be subject to a civil penalty of \$1,000 for an initial violation, \$2,500 for a second violation, and \$5,000 for a third violation that occurs within 10 years of an initial violation. The penalty shall be collected and enforced in proceedings in accordance with the Penalty Enforcement Law of 1999."
- C. Failure to respond to a properly issued subpoena could result in imposition of a penalty, damages in a civil suit, and punishment for contempt of Court.

IX. COSTS

Payment for copies must be made in advance. Anonymous requests, when permitted, may require a deposit against the costs for reproducing the documents whenever the anticipated cost of producing the government records will exceed \$5.00.

PHOTOCOPYING/MICROFILM REPRODUCTION WITH DEP EQUIPMENT (16mm)

First page to tenth page	\$0.75 per page
Eleventh page to twentieth page	\$0.50 per page
All pages over Twenty	\$0.25 per page

FAXING DOCUMENTS

First page	\$3.00
All additional pages	\$1.50

SPECIAL REPRODUCTIONS

\$5.00 each plus cost for use of external vendors as warranted.

MAPS

\$5 per map

NOTE: Map charges apply only to documents stored by the Central File Unit and/or program area and do not pertain to the Maps and Publications Store price schedule.

MICROFICHE CARDS

\$1.00 each

MICROFILM REELS

\$10 per reel

COMPUTER REPORTS - HARD COPY

Photocopying page cost.

ELECTRONIC COPIES

3 ½" Diskettes	\$ 0.55 each
Compact Disc	\$15.44 each

EMAIL – WHEN AVAILABLE

No Cost

ATTACHMENT 2

NJ Department of Environmental Protection
RADIOACTIVE MATERIALS SECTION ALLEGATION REPORT FORM

LICENSEE/FACILITY AND/OR EMPLOYEE NAME:

Alleger: _____

Address: _____

Home Phone: _____

Work Phone: _____

Alleger's preference for method of contact (mail, phone, etc.)
And time of contact:

Date Received: _____

Received by: _____

Title: _____

Identity Protection Requested: Y or N

Disclosure of Alleger's Identity:

The Individual receiving the Allegation: Inform the alleger of the degree to which their identity can be protected. This is necessary since some allegers may incorrectly assume that the NJDEP can or will protect their identity under all circumstances

Confidentiality Protection Requested: Y or N

What is the allegation or concern?

How did alleger find out about the allegation or concern?

Where did alleged action or activity occur?

When did allegation or concern occur?

Who is involved/witnessed action or activity?

How or why did it occur?

What evidence or records, if any, can be examined?

Did the individual express a concern to the licensee, facility or Agreement State involved?

What is the status of the licensee's, facility's, or State's action?

What is this an issue of? (Circle all applicable): (a) Safety; (b) Safeguards; (c) Drugs; (d) Falsification; (e) Discrimination; (f) DEP personnel wrongdoing; (g) DEP performance; (h) Licensee.

The alleged informed verbatim of the limitations on the protection of identity as described in Part I (A)(1)(b) through (e) of the allegations handbook 8.8 of Protection of Allegor Identity: Yes or No

PREPARED BY:

DATE PREPARED:

Certification Examination Results
Exam date: September 13, 2007

Exam Type	Total	Pass	Fail	Pass rate
MES	0	0	0	N/A%
MIS	0	0	0	N/A%
MET	7	4	3	57%
MIT	0	0	0	N/A%

REQUEST FOR TRAVEL EXCEPTION

DEPARTMENT NAME: _____ DATE SUBMITTED: _____

NAME/LOCATION OF EVENT: _____

DATES: From _____ Through _____

	PARTICIPANTS' NAMES	TITLE
1		
2		
3		
4		
5		
6		
7		
8		
9		
10		

FUNDING BREAKDOWN:

Federal \$ 0.00 , State \$ _____ , Other \$ 0.00 , Total Cost \$ _____

NJCFS APPROPRIATION ACCOUNT NUMBER (S) _____

JUSTIFICATION (Use additional sheets if needed):

ATTACHMENT CHECKLIST:

NJCFS Appropriation Screen Prints _____ Agenda _____ Federal Grant Language _____
 Travel Authorizations (TE/TH) _____

DEPARTMENTAL AUTHORIZATION:

Chief of Staff's Signature _____

Telephone _____ Fax _____

GOVERNOR'S OFFICE DETERMINATION

APPROVED _____ DENIED _____

REQUIRES FURTHER DISCUSSION _____ SIGNATURE _____

SECTION 4.7.1
BER PROCEDURES FOR
INCIDENTS INVOLVING
RADIOACTIVE
MATERIALS

Section 4.7.1

The New Jersey DEP's Radioactive Materials Radiological Assessment Team's (RAMRAT) mission is to respond to incidents involving radioactive materials not associated with nuclear power plant facilities. The primary responsibility is to protect the first responders as well as the public from any unnecessary radiation exposures. This response includes providing radiological expertise to first responders, monitoring for radiation to determine the extent of the affected area, assessing the radiological impact and recommending protective actions, requesting federal assistance if necessary, decontamination, and reentry and recovery activities if required.

SOP RR-101 Notification, Initial Response and Mobilization

1.0 OBJECTIVE

To describe the initial notification and mobilization of the Radioactive Materials Radiological Assessment Team (RAMRAT). The Team Supervisor is the individual who will stay at his/her initial post (either at home or in the office) and assess the situation. The Team Leader will go to the scene, if necessary, and direct the response from there. A list of RAMRAT members is provided in Attachment RR101-1.

2.0 INITIAL RESPONSE

2.1 Fill Out Initial Contact Message Form

Fill out the Initial Contact Message Form (ICMF) (Attachment RR101-2). Obtain as much information as possible, but you must complete the top portion of the form. You may not be able to complete the entire form because the caller does not have sufficient information. However, be sure to get a name and number of someone to contact for further information. If that individual cannot give the requested information, then obtain a name and number for someone who can.

2.2 Call For Further Information (if necessary)

If the call did not come from an individual with sufficient knowledge, then call for further information, e.g. call the first responder, if appropriate. Complete as much as possible on the remainder of the ICMF (Attachment RR101-2).

2.3 Analyze Information

Check to see if the nuclides involved are Nuclear Regulatory Commission (NRC)-regulated materials (Attachment RR101-3). If this is true, contact the NRC using Attachment RR101-4 for phone numbers and attachment RR101-5 for a phone log.

If one is unsure about how to handle the event, or one wants a second opinion, call a manager (Attachment RR101-6). Take one of the following actions:

- 2.3.1 Handle the situation over the telephone. The first responders at the scene may be able to perform readings, obtain packaging information, etc. This may allow closure of the incident without further response. For example, they may be able to determine that none of the radioactive material packaging was damaged in a transportation accident.

- 2.3.2 Delay response until working hours. If the call is received during off-hours and it is determined that the situation is not an emergency, responders can be sent during normal working hours. If readings are less than 20 mR/hr on contact, the response can be delayed as long as the material is isolated and secured. The owner of the facility/site where the material is located is responsible for maintaining security and keeping personnel from the immediate vicinity.
- 2.3.3 Mobilize a RAMRAT member(s) immediately (Attachment RR101-1). Protective action recommendations may be made simultaneously or delayed until the situation is assessed at the scene. Responsibility for contacting team members may be assigned to a member of the team.
- 2.3.4 Initiate Protective Actions. A situation may occur where there is not enough time to initiate a response before one makes a protective action. Depending on the situation, the appropriate authority to give the protective action recommendation to may be the State Police, the Bureau of Emergency Response (BER), the radiation safety officer of the licensed facility, or the first responders: firefighters, rescue workers, or county emergency management personnel. If the State Police are at the scene, then the appropriate authority is always the State Police.
- ☐ Isolate and secure the area.
 - ☐ Have personnel keep at least 150 feet and upwind of the incident to a point where the radiation level drops below 2 mrem per hour.
 - ☐ Identify personnel that may have been in contact with radioactive material and ask State or local authorities to detain for further questions and contamination surveys.
 - ☐ Ask State or local authority to detain personnel that may have knowledge of the incident.

2.4 Notify Management

NJDEP Management is to be notified whenever an incident is reported. A phone list for the NJDEP Management Chain of Command is provided in Attachment RR101-6. Use Attachment RR101-5 as a phone log.

2.5 Call for Assistance

If a significantly hazardous situation exists, assistance from State or Federal agencies may be warranted. RAMRAT members may need management assistance in determining hazard significance. A Team Supervisor, Team Leader, or a management representative may request assistance. A phone list for these agencies is provided in Attachment RR101-4. Use Attachment RR101-5 as a phone log.

3.0 MOBILIZATION

- 3.1 Field team members may be dispatched directly to the site, or to 25 Arctic Parkway to pick up equipment and/or other field team members. A pool vehicle with the equipment listed in Attachment RR101-7 will be available at the office. If the available vehicle does not have equipment, then use Attachment RR101-7 as a checklist and load the equipment into the vehicle. The keys and sign-out sheet are located at the RPRP-BER Bureau Chief's secretary's desk.
- 3.2 The first member to arrive that is assigned a key to the building, will unlock the building according to Attachment RR101-8.
- 3.3 The team leader, if present, or the senior team member, will assign tasks to prepare for dispatching. These tasks may include signing out the pool vehicle, locating the license in the Radioactive Materials filing cabinets, loading additional emergency response kits, or locating other specialized reference materials or instrumentation based on the incident and nuclide(s) involved. A list of available instruments and their detection capabilities are listed in Attachment RR101-9. Pre-operational instrument checks should be performed enroute, or as soon as possible upon arrival at the scene, according to Attachment RR101-10.
- 3.4 Follow the procedures outlined in SOP RR102 after arriving on the scene.

Attachment RR101-1

RAMRAT TEAMS

Team A	Name	Work Phone	Home Phone	Pager	Cell Phone	Radio
Supervisor	Rich Peros	609-984-5522	732-565-0272	888-580-6236	609-309-1772	8
Leader	Cathy Biel	609-984-5663	609-387-1081	888-341-6118	609-309-1773	11
Member	Ed Truskowski	609-984-5542	908-526-0183	888-364-4236	-	37
Member	Al Orlandi	609-984-5891	609-737-3929	888-364-4306	-	32
Member	Pat Mulligan	609-984-7536	973-398-3093	888-364-4315	609-309-1767	5
Member	Karen Tuccillo	609-984-7443	215-752-6949	888-364-4189	609-309-1776	13

Team B	Name	Work Phone	Home Phone	Pager	Cell Phone	Radio
Supervisor	William Csaszar	609-984-5555	732-873-2723	888-341-6762	609-309-1771	12
Leader	James McCullough	609-984-5480	267-205-6130	888-210-6354	609-313-2073	47
Member	Nancy Stanley	609-984-5452	732-516-0181	888-364-4454	609-309-1775	36
Member	Kent Tosch	609-984-7701	609-587-6950	888-364-4380	609-309-1763	2
Member	Nick DePierro	609-984-7442	732-741-9151	888-364-4460	609-309-1764	3

Technical Support

Name	Work Phone	Home Phone	Pager	Cell Phone
Patricia Gardner	609-984-5405	609-581-2227	888-364-4399	609-309-1774
Jenny Goodman	609-984-5498	609-924-9218	888-364-4368	-
Debbie Wenke	609-984-5521	732-297-6708	888-364-4197	609-206-8516

* Trainees will be supervised at all times

RAMRAT INITIAL CONTACT MESSAGE FORM

RAMRAT INITIAL CONTACT MESSAGE FORM					
Person receiving notification Name: Title: Date: Time:			Person making the notification Name: Title: Affiliation: Phone Number: Fax Number:		
Location of Incident Name: Address:			Contact person at the site Name: Title: Phone Number: Fax Number:		
Start of incident (date and time): ____(mo)/____(day)/____(yr); ____:(mil. time)			Radioactive Materials License State NRC (If NRC contact Region 1 State Liaison Officer)		
Termination of incident (date and time): ____(mo)/____(day)/____(yr); ____:(mil. time)					
Did a release occur? No Yes (if yes, check below) <input type="checkbox"/> Solid <input type="checkbox"/> Liquid <input type="checkbox"/> Gas <input type="checkbox"/> Unsure			Release information Start of release (date and time): ____(mo)/____(day)/____(yr); ____:(mil. time)		
Contaminant Identified: No Yes (if yes, list) _____			Termination of release (date and time): ____(mo)/____(day)/____(yr); ____:(mil. time)		
Radiation Measurements: Date _____ Time _____ Instrument make & model _____ Background Measurement _____ Location _____ Measurement _____ Performed by: _____					
Meteorological Conditions: Wind speed _____ Wind Direction _____ Stability Class _____					
Description of incident, include contaminants involved: 					

Directions to control scene, reduce or eliminate hazards until arrival of RAMRAT:

Forward Command Post:

Established Phone Number _____ Location: _____
Name of person in charge: _____ Title: _____

List of Agencies at the Scene:

Notify DEP Chain of Command: (start with Manager BER)

Manager BER Assistant Director RPRP Director DESH Assistant Commissioner ER
(If a BER Manager cannot be contacted, go to the next manager listed.)

<u>Further Action</u>	<u>Comments</u>
None –incident terminated	
DOT Exemption Issued	
Monitor from office	
Dispatch personnel to scene	
Notify federal agencies	
Other	

Additional Information

Attachment RR101-3

NRC AND/OR STATE REGULATED MATERIAL

Nuclide	Element	Regulator	Nuclide	Element	Regulator	Nuclide	Element	Regulator
Ag-105	Silver	State	Hf-175	Hafnium	NRC	Rb-84	Rubidium	NRC/State
Ag-110	Silver	State	I-123	Iodine	State	Rb-86	Rubidium	NRC
Am-241	Americium	NRC	I-124	Iodine	State	Re-183	Rhenium	State
Am-243	Americium	NRC	I-125	Iodine	NRC	Re-188	Rhenium	NRC
Am-243	Americium	NRC	I-129	Iodine	NRC	Ru-103	Ruthenium	NRC
Ba-133	Barium	NRC	I-131	Iodine	NRC	S-35	Sulphur	NRC
Be-7	Beryllium	NRC/State	In-111	Indium	State	Sb-125	Antimony	NRC
Bi-207	Bismuth	State	Ir-192	Iridium	NRC	Sc-46	Scandium	NRC
C-14	Carbon	NRC	Kr-81m	Krypton	NRC	Se-75	Selenium	NRC
Ca-45	Cadmium	NRC	Kr-85	Krypton	NRC	Se-85	Selenium	NRC
Cd-109	Cadmium	NRC/State	La-140	Lanthanum	NRC	Si-87	Silicon	State
Ce-141	Cerium	NRC	Mn-54	Manganese	NRC/State	Sn-113	Tin	NRC
Ce-144	Cerium	NRC	Mo-99	Molybdenum	NRC	Sr-85	Strontium	NRC
Cl-34m	Chlorine	State	Na-22	Sodium	State	Sr-89	Strontium	NRC
Cl-36	Chlorine	NRC	Nb-94	Niobium	NRC	Sr-90	Strontium	NRC
Cm-147	Curium	NRC	Nb-95	Niobium	NRC	Ta-179	Tantalum	State
Cm-242	Curium	NRC	Ni-59	Nickel	NRC	Tb-157	Terbium	NRC
Cm-243	Curium	NRC	Ni-63	Nickel	NRC	Tb-158	Terbium	NRC
Cm-244	Curium	NRC	Np-237	Neptunium	State	Tc-96	Technetium	State
Co-56	Cobalt	State	O-14	Oxygen	State	Tc-99	Technetium	NRC
Co-57	Cobalt	State	Os-182	Osmium	NRC	Tc-99m	Technetium	NRC
Co-58	Cobalt	NRC/State	Os-185	Osmium	NRC	Te-131	Tellurium	NRC
Co-60	Cobalt	NRC	P-32	Phosphorus	NRC	Te-132	Tellurium	NRC
Cr-47	Chromium	State	Pb-201	Lead	State	Th-232	Thorium	NRC
Cr-51	Chromium	NRC/State	Pb-210	Lead	State	Th-233	Thorium	NRC
Cs-134	Cesium	NRC	Pd-109	Palladium	NRC/State	Tl-201	Thallium	State
Cs-137	Cesium	NRC	Pm-147	Promethium	NRC	Tl-204	Thallium	NRC
Cu-67	Copper	NRC	Po-210	Polonium	NRC	U(nat.)	Uranium	State
Dy-159	Dysprosium	State	Pr-143	Praeseodymium	NRC	U-234	Uranium	NRC
Dy-165	Dysprosium	NRC	Pu-238	Plutonium	NRC	U-235	Uranium	NRC
Eu-152	Europium	NRC	Pu-239	Plutonium	NRC	U-238	Uranium	NRC
Eu-154	Europium	NRC	Pu-240	Plutonium	NRC	Xe-133	Xenon	NRC
Fe-55	Iron	NRC/State	Pu-241	Plutonium	NRC	Y-88	Yttrium	State
Fe-59	Iron	NRC	Pu-242	Plutonium	NRC	Y-90	Yttrium	NRC
Ga-67	Gallium	State	Ra-226	Radium	State	Zn-65	Zinc	NRC
Ga-67m	Gallium	State	Rb-81	Rubidium	State	Zr-95	Zirconium	NRC
Gd-153	Gadolinium	NRC	Rb-82	Rubidium	State			
H-3	Hydrogen	NRC	Rb-83	Rubidium	State			

Attachment RR101-4
STATE & FEDERAL EMERGENCY RESPONSE SUPPORT AGENCIES PHONE LIST

- **NJ Department of Environmental Protection "Hotline"** (Trenton Dispatch)
(877) 927-6337 24 hours
- **NJ Department of Environmental Protection Bureau of Emergency Response**
(973) 973-669-6385 Northern
(609) 584-4130 Southern
- **NJ State Police**
(609) 882-2000 24 hours
- **NJ State Police Regional Operations Intelligence Center (ROIC)**
(609) 882-2000 x6090
- **NJ Office of Homeland Security & Preparedness**
(609) 584-4000
- **US Nuclear Regulatory Commission - Office of Nuclear Security and Incident Response**
(301) 816-5100 24 hours
(301) 951-0550 Back-up
(301) 415-0550 Second Back-up
- **US Nuclear Regulatory Commission, Region I Office, King of Prussia**
(610) 337-5000 Work hours
(800) 432-1156 Work hours toll free
- **US Department of Energy**
Radiological Assistance Program (RAP), Brookhaven National Laboratory
(631) 344-2200 24 hour hotline
~~(631) 344-7309~~ ~~Region I, (Steve Centori) (his pager: 631-453-4564)~~
Federal Radiological Monitoring and Assessment Center
(301) 903-3558 National Nuclear Security Administration, Nevada Operations Office
Oakridge Institute for Science and Education
Radiation Emergency Assistance Center/Training Site
REACT/TS 24 hour (865) 576-1005 Office hours (865) 576-3131
- **US Environmental Protection Agency - Radiological Emergency Response**
(732) 548-8730 24 hour for Region II (NJ, NY, Puerto Rico, Virgin Islands)
(212) 637-4010 NYC office
(202) 564-3850 Headquarters
- **US Federal Emergency Management Agency**
(212) 680-3600 NYC regional office for Region II (NJ, NY, Puerto Rico, Virgin Islands)
(202) 566-1600 Washington DC Headquarters office

- **US Food and Drug Administration**
(888) INFO-FDA or (888) 463-6322 Rockville, MD Headquarters
- **National Response Center and Terrorist Hotline**
(800) 424-8802 24 hour hotline
(202) 267-2675 24 hour hotline
- **Chemtrec Operations Center**
(800) 424-9300 24 hour number (703) 527-3887

COMMUNICATION LOG

RAMRAT person making call:

Phone call to : _____ Affiliation: _____ Phone number: _____

Date and Time: : ____ (mo.) / ____ (day) / ____ (yr.); ____:____ (military time)

Action Items:

RAMRAT person making call:

Phone call to : _____ Affiliation: _____ Phone number: _____

Date and Time: : ____ (mo.) / ____ (day) / ____ (yr.); ____:____ (military time)

Action Items:

Attachment RR101-6

NJDEP MANAGEMENT CHAIN OF COMMAND & TELEPHONE NUMBERS

- Patricia Gardner, Manager, Bureau of Environmental Radiation

Office: (609) 984-5405
Pager: 1 (888) 364-4399
Radio: RAD 22

Home:
Cell:

- Paul Baldauf, Assistant Director Radiation Protection and Release Prevention

Office: (609) 984-5636
Pager: 1 (888) 364-4004
Radio: RAD 1

Home:
Cell:

- Jill Lipoti, Ph.D., Director, Division of Environmental Safety and Health

Office: (609) 633-7964
Pager: 1 (888) 364-4350
Radio: RAD ALPHA

Home:
Cell:

- Nancy Wittenberg, Assistant Commissioner, Environmental Regulation

Office: (609) 292-2795
Pager: (888) 452-6643

Home:
Cell:

- Lisa P. Jackson, Commissioner, Department of Environmental Protection

Office: (609) 292-2885

Home:
Cell:

RAMRAT EMERGENCY EQUIPMENT CHECKLIST

Mark each item that is included in the emergency kit taken to the incident.

Individual Equipment

Initials of checker: _____ Date of check: _____

Low Range Dosimeter (0-200 mR)	
High Range Dosimeter (0-20R)	
Dosimeter Charger	
Batteries for Charger	
TLD whole body dosimeter	
TLD extremity dosimeter	
Digital self-reading dosimeter (SAIC -PD10i)	
Tyvek Suit	
Safety Glasses	
Hard Hat	
Latex Gloves	
Cloth Gloves	
Disposable Booties	
Emergency Worker Exposure Record	

Comments: _____

General Supplies

Initials of checker: _____ Date of check: _____

Lantern flashlight	
(2) 6V Lantern Batteries	
Duct Tape	
Radiac Wash	
Paper Towels	
Rad Waste Disposal Bags	
Flashlight	
Flashlight batteries	
Buckets for sample storage	
Lids for sample buckets	
Calculator	
Permanent Markers	
Pens/Pencils	
Rope (for hotline setup)	
Labels	
Site Area County Map(_____ County)	
Map of New Jersey	
RAMRAT SOP Manual	
Masking/Scotch Tape	
Clipboards	
Perform Vehicle Radio Check	
Check Gas Level in Vehicle	
GPS system (may not be available)	
Magenta and Yellow Tape	
Barrier Cones	

Comments: _____

Attachment RR101-7 (page 2 of 2)

Instrumentation

Initials of checker: _____ Date of check: _____

Ludlum Kit includes: Model 19 NaI microR meter Model 17 ion chamber Model 3 survey meter w/44-9 and 44-38 probes	
Thermo Kit includes: FH40GL Digital Survey Meter FHT 752 Neutron Tracking Probe FHZ 612 High Energy Gamma Probe FHZ 732GM Probe FHZ 512A NaI Probe FHZ 672 High Sensitivity Plastic Scint Probe FHZ 380AB (100 cm ²) ZnS/Plastic Scint Probe	
Thermo Teleprobe (13-ft. extension)	
ORTEC HPGe Gamma Spec/Neutron Detector	
IdentiFINDER Ultra Gamma Spec/Neutron Detector/ Dose Rate Meter	
InSpector 1000 Gamma Spec/Neutron Detector	

Comments:

Wipe Sample Supplies

Initials of checker: _____ Date of check: _____

Planchets	
Templates	
Smear Discs	
Zip Lock or Whirl pak plastic bags	
Wipe Sample Activity Calculation Form	

Comments:

Environmental Sampling Supplies

Initials of checker: _____ Date of check: _____

Request for Analysis/Chain of Custody Forms	
Trowel	
Grass Shears	
Top Soil Cutter/Shovel	
Portable Scale	
Ruler	
Disposable Tape Template	
Plastic Bags for Samples	
Plastic Funnel	
Cubitainers	
Air Sampler*, Charcoal, Filter	
Nails	
Pocket Knife	
Hammer/Mallet	
Buckets for Samples	
Lids for Sample Buckets	

Comments:

* this sampler requires AC power

ENTRY INTO 25 ARCTIC PARKWAY

1. These instructions apply to the front entrance to 25 Arctic Parkway.
2. Unlock the front door. You will hear a high pitch tone coming from the keypad.
3. Unlock the second front door with one's electronic ID badge.
4. Proceed into the building and bear left to the keypad located on the wall at the top of the small staircase.
5. Enter your personnel code number on the keypad. If you entered this number correctly, the high-pitched tone will stop and the status LED will be a solid green.
6. If something goes wrong, i.e. the high-pitched tone does not stop, you forgot your code number, etc. then contact one of the following:
 - ☐ Aetna Alarm – Al Romarino 609-896-1990
 - ☐ Ewing Police 911 or 609-882-1313
 - ☐ Building Management – Dave Stewart 609-771-5484 (pager)
7. Sign in. The sign-in sheets are located on table in waiting area.

EXIT PROCEDURE FROM 25 ARCTIC PARKWAY

1. Check the sign-in sheet to make sure no one else is in the building. Also do a walk around and call out to see if anyone is still inside.
2. Make sure that all interior building doors are closed and locked.
3. Check the keypad, the status light should be solid green. If the status LED is blinking green, make sure everyone is out of the building and check all the doors again to make sure they are closed and locked.
4. Enter your code into the keypad, the armed/alarm LED will be red.
5. Leave the building quickly and make sure you lock the entrance door behind you.

RAMRAT INSTRUMENTATION CHECKLIST

Inventory date: ____ (mo.) / ____ (day) / ____ (yr.), checked by ____

Instrument	Detection Capabilities	Serial #	Last calib. Date
RAMRAT Kits (6 available):			
Ludlum Model 19 NaI(Tl) microR meter	Gamma only. Higher energy gamma (>80 Kev), low emission rates (0-5000uR/hr)		
Ludlum Model 17 ion chamber	Beta/Gamma, sliding window. 0-50R/hr.		
Ludlum Model 3 survey meter	Alpha, Beta, Gamma with 44-9 Detector , 0-600K cpm. Beta/Gamma with 44-38 Detector , 0-200mR/hr.		
THERMO Kits (4 available):			
FH40GL Multipurpose Digital Survey Meter w/internal proportional detector-AND-teleprobe 13-ft. extension	Internal proportional counter, 1uR/hr-10 R/hr. Neutron 0.01-100000 cps with FHT 752 SH Neutron Tracking probe . High Energy Gamma 10 uR/hr-1000R/hr with FHZ 612 Gamma, Hx . Alpha, Beta, Gamma 0.1-10000 cps with FHZ 732GM . FHZ512A 1.5"x1.5" NaI Probe		
THERMO Kits Expanded (8 available):			
FH40GL Multipurpose Digital Survey Meter w/internal proportional detector-AND- teleprobe 13-ft. extension	Internal proportional counter, 1uR/hr-10 R/hr. Neutron 0.01-100000 cps with FHT 752 SH Neutron Tracking probe . High Energy Gamma 10 uR/hr-1000R/hr with FHZ 612 Gamma, Hx . Alpha, Beta, Gamma 0.1-10000 cps with FHZ 732GM . FHZ512A 1.5"x1.5" NaI Probe FHZ 672 Plastic scintillator 1 uR/hr-10mR/hr - high sensitivity for Gamma and Beta sources. FHZ 380AB (100cm²) ZnS/plastic scintillator -Alpha and Beta in cps.		
SAIC Model PD-10I Dosimeter (25 available)	Gamma and x-rays, personal dose and dose rate monitoring		
Ludlum Model 77-6 telescopic uR meter (1 available)	X/Gamma rays in remote locations. As low as 35 Kev (I-125) (0-5000uR/hr)		
Exploranium (2 available)	Portable gamma spec		
IdentiFINDER (3 available)	Portable gamma spec/dose rate meter		
ORTEC Detective-EX HPGe (2 available)	Portable neutron detector/gamma spec		
Ludlum Model 3 (2 available)	Alpha Scintillator 43-5 Detector		
Reutor-Stokes	Pressurized ionization chamber		
InSpector 1000 (2 available)	Portable neutron detector/gamma spec		
IdentiFINDER Ultra (8 available)	Portable neutron detector/gamma spec/dose rate meter		
Total Teletector (1 available)	High range GM telescopic		

Preoperational Instrument Check

1.0 Purpose

The purpose of this procedure is to establish requirements for conducting operational checks of radiation and contamination survey instruments.

2.0 Procedure

Observe radiation safety procedures when handling radioactive material contained in check sources and standards. Use all instruments in accordance with the operating instructions provided in the instrument manual.

Inspection:

- ☐ A current calibration sticker indicating that it has been calibrated within the last year.
- ☐ Operability, including conditions for broken or frayed HV power cable, dented detector casing, broken meter face, and cleanliness.
- ☐ If instrument is dirty, wipe it down using damp paper towels.

Operation:

- ☐ Turn the instrument on and check battery conditions (see instrument manual for specific instruction). Replace batteries if necessary.
- ☐ Turn scale knob down to lowest range setting and turn audio on.
- ☐ Perform a response check by observing instrument response to a check source.
- ☐ Note if the background readings are within reason.¹
- ☐ If the instrument is not responding or the background is not consistent, do not use the instrument and remove it from service.

¹ Higher background readings can be expected in the Reading Prong area of New Jersey. Background readings as high as 100 uR/h have been observed.

SOP RR-102 On-Scene Radiological Response

Purpose

To provide guidance on mitigating the consequences of a non-nuclear power plant accident involving radioactive materials, and implementing response actions at the scene.

1. Alert DEP management that RAMRAT responder has arrived at the scene. Establish contact with the on-scene coordinator, if present.
2. Approach the scene cautiously and resist the urge to "rush in." Where there is the potential for release of radioactive material, the approach to the scene should be upwind. Assess the situation. Observe possible signs that radiation may be present and may have spread, such as:
 - placard with radiation symbol
 - information from witnesses who may know something about the nature of the hazard
 - packages bearing the radiation symbol
 - spill, fire or explosion.

CAUTION

Alpha particles, low energy beta particles and neutrons cannot be measured with beta/gamma survey meters.

Limit time spent in the immediate hazard area. Try to avoid direct contact with damaged or leaking containers.

Alpha emitters represent a significant inhalation hazard and, if airborne, response would require respiratory protection. The Bureau of Emergency Response personnel will perform tasks that require respiratory protection. The RAMRAT team members will provide technical support.

3. Turn on survey meter while approaching the scene to provide first indication of encountering radiation. Measure dose rate and check for contamination. Do not approach the area of the source without the dose rate being measured. A self reading dosimeter should be worn if dose rates in the area are over 1 mrem/h.

Emergency Worker DOSE LIMITS

Radiation dose limit is 1.25 R per incident. If more than one incident per year, use occupational dose limits.

This limit may be incrementally increased to 5 R with concurrence from the Department of Health and Senior Services and a maximum of 25 R with authorization by the Governor based upon Department of Health and Senior Services recommendation.

Doses $\geq 25 R$ may be authorized for lifesaving activities or protection of large populations on a voluntary basis. Volunteers must be fully aware of the risks involved.

Radiation dose limit for extremities is 50 R.

Emergency Worker TURN-BACK VALUES

Do not remain in areas greater than 100 mR/hour (gamma or closed window) any longer than required for survey activities or other essential activities.

Do not proceed into areas with dose rates greater than 1 R/hour (gamma or closed window) unless directed to do so by the Team Supervisor or management.

Do not enter areas exceeding 10 R/hour (gamma or closed window). Volunteers may enter to perform lifesaving activities if authorized.

4. If not already accomplished, assist with the removal of non-essential personnel and members of the public from the accident area. Have someone record names and addresses of all persons involved in the incident.
5. If persons involved in the accident appear to be injured:
 - Ensure that Emergency Medical responders are aware that the victim may be contaminated with radioactive material.
 - Have qualified personnel remove the injured person from the hazardous area as soon as possible. [Injuries may prevent this so as soon as possible would mean when the medical responders arrive]
 - **LIFE SAVING ACTIONS SHOULD NOT BE DELAYED DUE TO THE PRESENCE OF RADIATION!**

6. Request assistance from law enforcement personnel to detain potentially contaminated individuals. Depending on the numbers of affected individuals, request State Police to establish a regional decontamination center or wait for additional RAMRAT members to monitor for contamination and set up the decon station.
7. Evaluate the need for immediate protective actions (e.g. evacuation) for the public using the Guidance Levels below.

Guidance Levels (GL) for Radiological Emergencies Based on Ambient Dose Rate Measurements from Gamma-Emitting Radionuclides

Major Exposure Conditions	GL	Main Actions
External Radiation from a point source or from ground contamination over a small area or in the case of not very disruptive evacuation.	10 mrem/h	Isolate the area. Recommend evacuation of cordoned area. Control access and egress.
External radiation from ground contamination over a wide area or in the case of very disruptive evacuation.	100 mrem/h	Recommend evacuation or substantial shelter.
External radiation from air contamination with an unknown radionuclide(s).	100 uR/h	Isolate the area (if possible). If practical, consider recommending evacuation of cordoned area or downwind in case of open area.

8. Determine approximate safe distance from the source using a maximum exposure rate of 2 mR/hr¹. Establish security and safety perimeters using the magenta and yellow barrier tape and safety cones and control public and personnel access and egress at an initial safe distance. Set up Hotline if necessary according to Attachment RR102-1. Use Attachment RR102-2 for monitoring individuals for contamination and for procedures on decontamination.
9. Survey the affected area. Record results on First Responder Worksheet Attachment RR102-3. Take wipes if deposition has occurred using procedure in Attachment RR102-4.
10. Locate transportation records (bill of lading), license, or labeling to help identify the radionuclide. If no records are available, use the portable gamma spectrometer to identify any gamma emitting nuclides. See Attachment RR102-5 thru 102-9 for operating procedures.
11. Contain any spill and mitigate the spread of contamination by utilizing the following: SWIM – Stop, Warn others, Isolate the spill, and Minimize exposure.

¹ If the distance to establish a 2 mR/h barrier is too great and impractical, consider using 5 mR/h, up to a maximum of 10 mR/h.

12. Once the radionuclide(s) has (have) been identified, use Attachment RR102-10 to determine the quantity present.
13. Perform Assessment tasks in SOP RR-103. If necessary, make or modify protective action recommendations.
14. Periodically brief on-scene coordinator and RPRP headquarters.
15. Go to SOP RR-104, Recovery and Reentry for recovery operations.

Objective

This procedure is to ensure that personnel are appropriately equipped and protected to prevent the spread of contamination when entering and exiting contaminated areas. A step-off pad is an integral element of this procedure. The step off pad is considered "clean".

Procedure

1.0 Prepare the Step-off Pad

- 1.1 Establish barriers so access to the contaminated area is through the step-off pad. Vehicles, fencing, tables, chairs and rope may be used to control access.
- 1.2 The step-off pad is typically an area of 8-10 foot wide by 12-20 foot long that separates the contaminated from the uncontaminated area. Professional judgement is used to determine the size of a step-off pad. Figure A is a typical lay out of a hotline.
- 1.3 The buffer zone in the step-off pad may contain a bench to assist personnel while doffing outer coveralls and shoe covers. The waste containers can be plastic bags secured to a stand or a piece of furniture.
- 1.4 A monitor is usually assigned to provide assistance to personnel in the contaminated area and to monitor them as they exit.

2.0 Entering the Contaminated Area through the Step-off Pad

2.1 A worker should possess the following before entering the step-off pad area:

- Personnel dosimetry including a zeroed rechargeable unit
- Appropriate instrumentation for the suspected contaminants
- Clipboard, pad, and pens
- Sample bags and markers if necessary
- Wipe test kits if necessary
- Additional tools or equipment as necessary and a receptacle to carry them

2.2 A worker must wear the following before entering the step-off pad area:

- Safety shoes
- Coveralls
- Outer shoe covers

- Outer tyvek coveralls with hood
- Surgical gloves
- Outer cotton or rubber gloves
- Hard hat, if necessary
- Safety glasses, if necessary
- Respiratory protection, if necessary
- Place duct tape over all seams: junction of outer boots and outer coveralls, junction of outer gloves and outer coveralls. Liquids and dust flow downward, therefore have outer coveralls overlap boots and gloves.
- Rechargeable self-reading dosimeters should be worn where they can be viewed by the user.

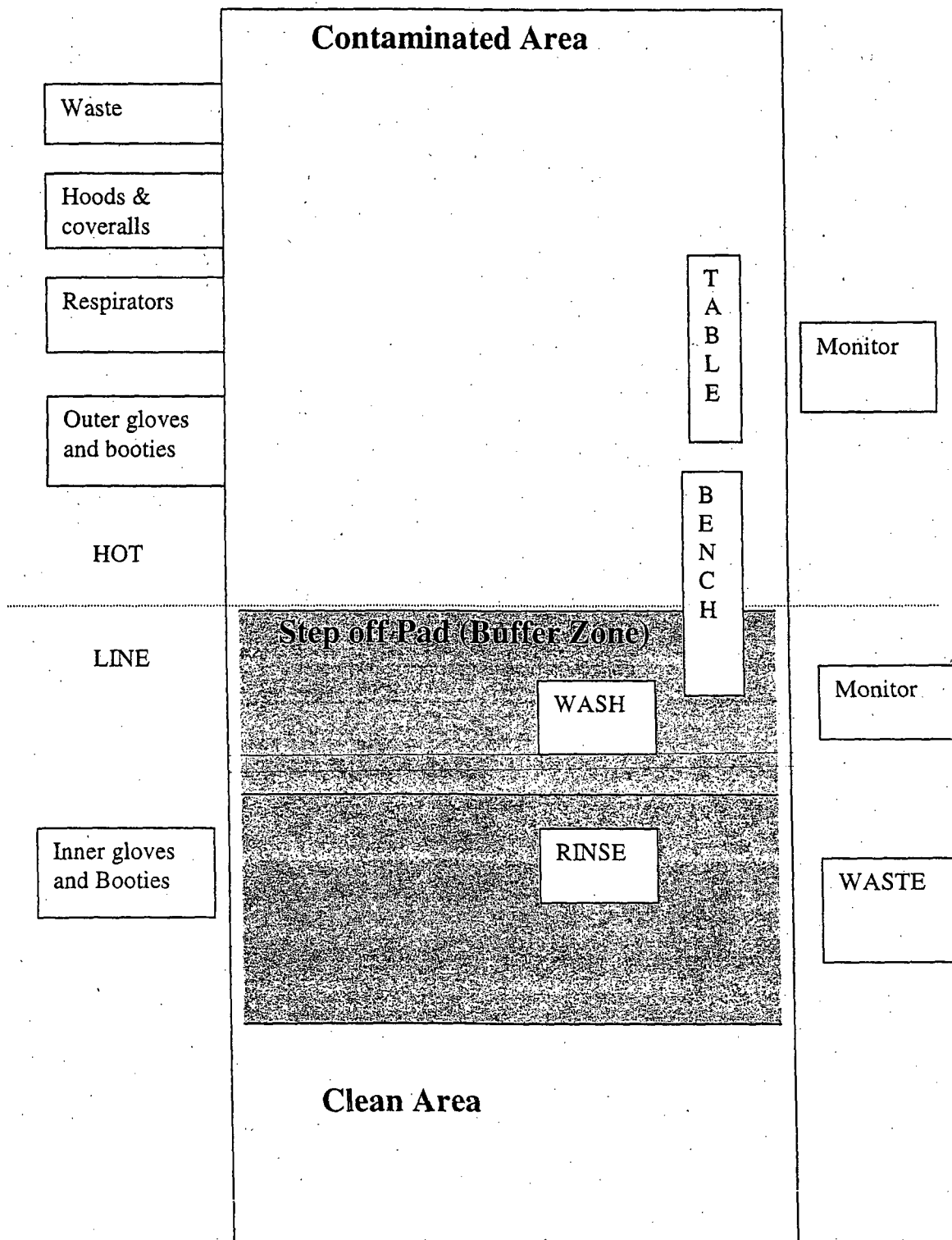
2.3 As personnel pass through the step-off pad, a monitor should evaluate readiness to enter the contaminated area. Monitors may also survey entering personnel for positive radiation readings due to contamination or a nuclear medicine procedure.

3.0 Leaving the Contaminated Area

- 3.1 Step onto the step-off pad, but stay on the contaminated side of the buffer zone.
- 3.2 Place instrumentation on the table on the contaminated side of the hotline.
- 3.3 Read Self Reading Dosimeter prior to leaving the contaminated area.
- 3.4 Place samples on the table on the contaminated side of the hotline. The monitor will double bag the sample and transfer it to the clean area.
- 3.5 Remove duct tape from clothing seams and place the tape in designated waste container.
- 3.6 Remove outer gloves and place into designated waste container.
- 3.7 Remove hard hat and place in designated container.
- 3.8 Remove hood, if detachable, and place in designated waste container.
When removing hood, lean head backwards and remove to avoid possible facial contamination.
- 3.9 Remove respirator and place in designated container.

- 3.10 Remove outer coveralls, tyvek suit, to below the buttocks.
- 3.11 Sit on bench with feet on hot side.
- 3.12 Remove outer coveralls completely and place in designated waste container.
- 3.13 Remove outer shoe cover and place in designated waste container.
- 3.14 Place uncovered shoe and foot on "clean" side (in buffer area).
- 3.15 Remove remaining outer shoe cover and place in designated waste container.
- 3.16 Place second uncovered shoe and foot on "clean" side (in buffer area).
- 3.17 Remove inner gloves and place in designated waste container.
- 3.18 Monitor should survey personnel for contamination of face, hair, neck, back, buttocks, hands, knees, and feet.

Figure A: Hotline Lay-out



Using Hand-Held Survey Instruments for Personnel Contamination Surveys

Using a hand-held survey instrument to conduct a personnel contamination survey is the first step in determining which individuals need to be decontaminated. In the field, surveying will be done with hand-held instruments. The recommended instrument for this task is a survey meter with a sensitive probe that can detect alpha, beta, and gamma radiation. The Model 3 Geiger-Mueller Meter (or equivalent) with the pancake probe should be used to detect low levels of contamination on people or equipment.

When surveying personnel or equipment, the pancake probe should be held as close as practical from the surface being surveyed without actually touching. Remember that an alpha particle travels only 1/4 inch to two inches in air, so if the probe is further away, it will not detect alpha contamination. Also, a thin layer of blood, water, dirt, bandages, clothing, etc., will block the alpha radiation and prevent the alpha-emitting contamination from being detected. In addition, the probe should be moved very slowly over the surface being surveyed. A general guideline is one-probe diameter per-second or one to two-inches per second. If personnel are being surveyed, the most likely places for contamination are the feet and hands. Be careful not to put the probe under the surface being surveyed, or contaminated dirt, etc., may fall onto the probe and contaminate the probe itself. After the hands and arms are checked, survey the rest of the body, beginning at the top of the head and working down. The front side of the person is checked first and then the back side. **NOTE: The responder with the radiation detection instrument should direct the movements of the person being surveyed. The responder operating the instrument should never move. Always begin the survey with the meter setting on the lowest scale.**

If equipment or vehicles are being surveyed, the "hands and feet principal" applies, meaning the tires/wheel wells should be checked first. Then a logical sequence is door handles, floorboards, steering wheel, etc. Pay special attention to any areas where people place their hands or feet.

Surveying Requirements

1. Check the survey meter prior to use. Verify that the instrument is in service, set to the proper scale (the lowest or most sensitive setting), and check if the audio output can be heard during surveying. Try to limit handling of the meter and probe until you have checked your hands for contamination (See Step 2).

For the Ludlum Model 3 Geiger-Mueller (or equivalent) Detector:

- A. Set the knob to the battery test (BAT) and check that batteries are good.
 - B. Set the knob to the lowest scale (X0.1).
 - C. Set Fast/Slow switch to Fast ("F").
 - D. Set the Audio switch to ON. You should be able to hear an occasional audio click, even when the meter is measuring "clean/uncontaminated" background levels.
2. Check your hands for contamination before handling the probe.
- A. Leave the probe attached to the holder on the meter, and remove the cover from the pancake probe. (The cover can be placed on the backside of the pancake probe so that the cover is not misplaced).
 - B. Place the palm of one hand up to the sensitive area of the probe for approximately five seconds. Then move the hand slowly in front of the probe to scan the fingers and the back of the hand.
 - C. Repeat this procedure with the other hand.
3. Cover the probe with a plastic baggie and secure with tape.
4. Take a background measurement for reference.

If you are not given pre-established contamination limits for surveying (such as those given in the sample table below), then take a background measurement in a clean area. Use this background reading as your reference, and use **twice** this background reading as the contamination limit. **If any measurement is greater than twice the background reference reading, then consider the person or item contaminated.**

- A. Set the knob to the battery test (BAT) and check the battery level.
- B. Set the knob to the lowest scale (X0.1).
- C. Set Fast/Slow switch to Slow ("S").
- D. Measure the background radiation level to approximately 60 seconds. It is normal for the value to vary some during the measurement. Write down what appears to be the average value or most common reading during the 60-second interval.
- E. Use this average value as the background reference. Typical background readings are about 40 to 100 cpm or 5 to 20 $\mu\text{R/hr}$ (0.005 to 0.02 mR/hr). For example, with the meter range knob set to the X 0.1-scale, the dial

needle may show 1 kcpm, which is a reading of 100 cpm ($1 \text{ kcpm} \times 0.1 = 1000 \text{ cpm} \times 0.1 = 100 \text{ cpm}$). When using a probe that can detect gamma alpha or beta radiation, make the reading in units of counts per minute. Use the mR/hr readings only when the probe can only detect gamma radiation.

- F. **Use a twice-background value as the contamination level.** Write down these two values with the units (cpm or mR/hr) for future reference. For example:

Background	35 cpm (or 0.035 kcpm)
Contamination level	70 cpm (or 0.070 kcpm)

- G. Return the **Fast/Slow** switch to Fast ("F") before the meter is used for surveying.

Scanning should be performed after the responder removes SCBA or respirator, and outer protective clothing.

5. To scan a responder, hold the probe less than 1/2 inch from the person being surveyed for beta and gamma contamination, approximately 1/4 inch for alpha contamination (or for alpha, beta, and gamma contamination). If it is not possible to maintain a 1/4 inch separation, then hold the probe as close as possible without touching or dragging the probe across the surface. Remember that even a thin layer of water, dirt, blood, or clothing will block alpha radiation and prevent detection of the alpha source contamination.
6. Move the probe slowly above the surface, approximately one probe diameter per second, or about two inches per second.
7. If the count rate increases during surveying, pause for five to ten seconds over the area to provide adequate time for instrument response. If a more accurate measurement is needed, place the **Fast/Slow** switch to Slow ("S") and hold the probe over the contaminated area for 30 seconds. Return the switch to Fast ("F") before continuing the search.
8. If you can hear the audible clicks from the meter, then you can focus your attention on the probe and surveying technique while you listen for an increase in the clicking rate. If the clicking rate increases, pause and look at the meter dial.

9. If the count rate increases to a value greater than twice-background, then the person will need to be decontaminated. (Nasal swabs and mouth included.) Page 11 of this attachment outlines the steps to be taken for decontamination.
10. The whole-body survey should take at least two to three minutes to check one person.

In performing a personnel survey, the individual to be monitored stands with legs spread and arms extended. The responder should begin the survey at the head, subsequently surveying the upper trunk, arms, lower trunk, and legs. The individual being surveyed is asked to turn to the back, and the procedure is repeated. As in equipment and area surveys, care must be taken not to permit the detector probe to touch any potentially contaminated surfaces. If it is suspected that contamination may have entered a body opening or wound, swabs (Q-tips) may be used to collect surface material. If they are available, have medical personnel perform the sample collection using the swabs to avoid injuring the victim. These swabs may then be checked with a radiation detector.

It is not necessary to perform the personnel contamination survey in exactly the order listed below, but a consistent procedure should be followed to help prevent accidentally skipping an area of the body. Tell the person to stand erect, with feet spread slightly, and arms extended with palms up and fingers straight out. Pause the probe for about five seconds at locations most likely to be contaminated.

Perform the personnel contamination survey in the following recommended order:

1. Hands (pause at palms for approximately five-seconds)
2. Arms
3. Turn hand and arms over
4. Backside of hands and arms (pause at each elbow)
5. Top and sides of head, face (pause at mouth and nose for approximately five seconds; this may indicate internal contamination)
6. Front of the neck and shoulders
7. Arms (pause at each elbow)
8. Chest and front abdomen

9. Front of the legs (pause at each knee)
10. Shoe tops
11. Shoe bottoms (pause at sole and heel)
12. Have the person being surveyed turn around
13. Back of the head and neck
14. Back and rear of abdomen (pause at the seat of pants)
15. Back of the legs
16. Any dosimeters worn by the person being surveyed. If the dosimeter is not contaminated, give it back to the person.

Return the probe to its holder on the meter when finished. Do not set the probe down on the ground. The probe should be placed in the holder with the sensitive side of the probe facing to the side so that the next person to use the meter can monitor his/her hands before handling the probe.

The most common mistakes made during the survey are:

- Holding the probe too far away from the surface (should be about 1/2 inch or less)
- Moving the probe too fast (should be about one-probe diameter per second or 1 to 2 inches per second)

Personnel Contamination Log

Name of person suspected of being contaminated: _____

Address & Phone number of person: _____

Date and time of survey: : ____ (mo.) / ____ (day) / ____ (yr.); ____: ____ (military time)

Survey performed by: _____

Where was person and what was person doing during incident:

Body contamination data

Instrument number	Time	Location on diagram	Results

Instruments used:

#	Manufacturer	Model	Serial #	Check source reading	Probe, if separate Manufact./Model#
1					
2					
3					
4					

Bioassay Collected? _____ Yes _____ No

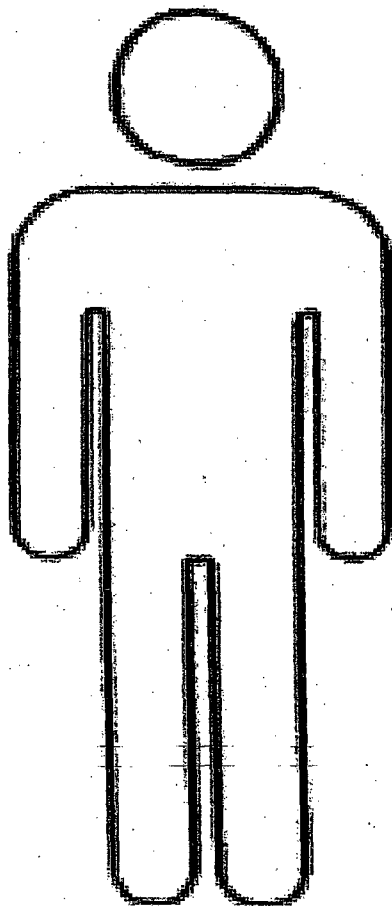
Background Reading: _____

Contamination Trip Level: _____

Personnel Contamination Log

Mark diagram below with letters to designate areas of the body that are contaminated

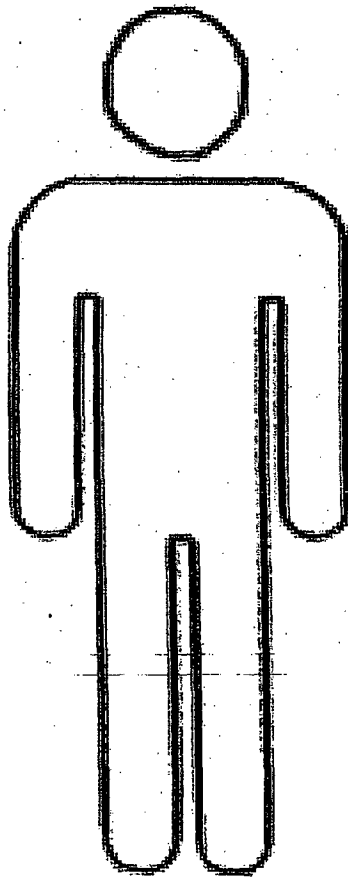
FRONT



Personnel Contamination Log

Mark diagram below with letters to designate areas of the body that are contaminated

BACK



Vehicle Contamination Survey Sheet

Name _____ Date/Time: _____ Team: _____

Mark contamination locations on the diagrams below

Measurements: Inside/Outside

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____

Monitored By: _____

Instrument Type: _____

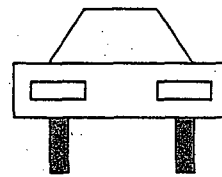
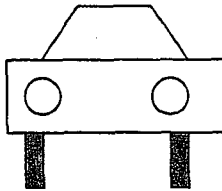
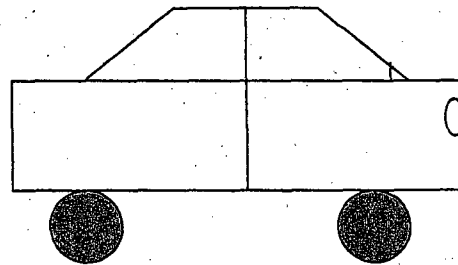
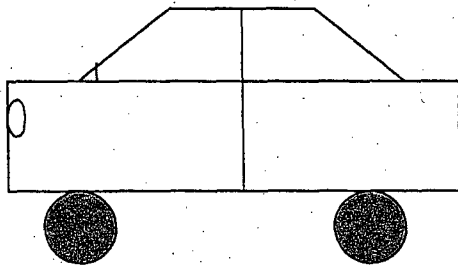
Serial Number: _____

Probe Type: _____

Background Reading: _____

Contamination Trip Level: _____

(Comments on back of form)



Vehicle Contamination Survey Sheet

Name _____ Date/Time: _____ Team: _____

Mark contamination locations on the diagrams below

Measurements: In/Out

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____

Monitored By: _____

Instrument Type: _____

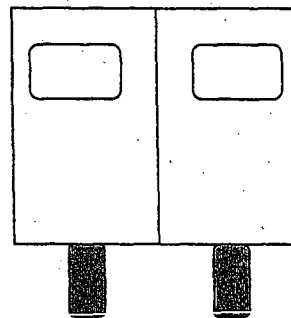
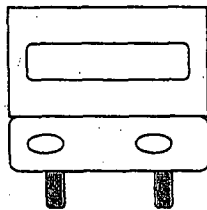
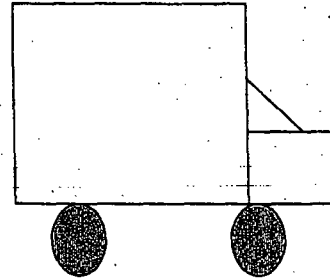
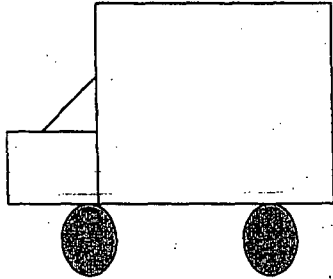
Serial Number: _____

Probe Type: _____

Background Reading: _____

Contamination Trip Level: _____

(Comments on back of form)



Method	Body Part	Action	Technique	Advantages	Disadvantages
1. Masking Tape (It is acceptable to skip this step and start with soap and water)	Clothes Skin and hands unless the area is sensitive or has a lot of hair	Removes contaminated dust and dirt	Use the "sticky" side of a reverse rolled piece of masking tape to remove dirt and any loose contamination If a meter shows the contamination was not removed, then cleanse the area with moistened paper towels. Lukewarm water should be used, if possible. Do not use hot water (it opens pores in the skin)	Quick and effective for most radioactive contamination. Only generates very small amounts of contaminated liquid waste compared to washing.	some areas of skin are sensitive and can become irritated by the tape being pulled off. Will not work on liquid contamination.
2. Soap and Water	Skin and hands	Emulsifies and dissolves contaminants.	Wash 2 to 3 minutes and monitor. Do not wash more than 3 to 4 times. Do not use hot water (if opens pores in the skin). Use lukewarm water.	Readily available and effective for most radioactive contamination.	Continued washing will defat the skin. Indiscriminant washing of other than affected parts may spread contamination.

PERSONNEL DECONTAMINATION (continued)

Begin with the first listed method for that body part and then proceed step by step to the more severe methods, as necessary

METHOD	BODY PART	ACTION	TECHNIQUE	ADVANTAGES	DISADVANTAGES
3. Soap and Water	Hair	Same as above	Wash several times. Close eyes and mouth, and avoid getting runoff in eyes and mouth. If contamination is not lower to acceptable levels shave the head and apply skin decontamination methods	Same as above	Same as above. Any shaving must be done with care, preferably by medical personnel. Get permission of victim if possible.
4. Lava soap, soft brush, water	Skin and Hands	Emulsifies, dissolves, and erodes contaminates.	use light pressure with heavy lather. Wash for 2 minutes, 3 times. Rinse and monitor. Use care not to scratch or erode the skin. Apply lanolin or hand cream to prevent chapping.	Readily available and effective for most radioactive contamination.	Continued washing will abrade the skin Must be used with care, preferably by medical personnel.
5. Tide™ or other detergent (plain)	Skin and Hands	Same as above	Make into a paste. Use with additional water with a mild scrubbing action. Use care not to erode the skin.	Same as above.	Continued washing will abrade the skin. Must be used with care, preferably by medical personnel.

PERSONNEL DECONTAMINATION (continued)

Begin with the first listed method for that body part and then proceed step by step to the more severe methods, as necessary

METHOD	BODY PART	ACTION	TECHNIQUE	ADVANTAGES	DISADVANTAGES
6. Mixture of 50% Tide TM and 50% Cornmeal	Skin and Hands	Same as above	Make into a paste. Use with additional water with mild scrubbing action. Use care not to erode the skin.	Slightly more effective than washing with soap.	Will defat and abrade the skin. Must be used with care, preferably by medical personnel.
7. Sweating	Skin and hands and feet	Physical removal by sweating	Place hand or foot in plastic glove or boot. Tape shut. Place near source of heat for 10 to 15 minutes or until hand is sweating profusely. Remove glove and wash using standard techniques. Or gloves can be worn for several hours using only body heat.	Cleansing action is from the inside out. Hand does not dry out.	If glove or boot is not removed shortly after profuse sweating starts and parts washed with soap and water immediately, contamination may seep into the pores.

PERSONNEL DECONTAMINATION (continued)

Begin with the first listed method for that body part and then proceed step by step to the more severe methods, as necessary

METHOD	BODY PART	ACTION	TECHNIQUE	ADVANTAGES	DISADVANTAGES
8. Flushing	Eyes, ears, nose, and mouth. (NOTE: This is the first method to use for the eyes, ears, nose, and mouth)	Physical removal by flushing.	Roll back the eyelids as far as possible, flush with large amounts of water. If isotonic irrigants are available, obtain them without delay. Apply to eye continually and then flush with large amounts of water. (Isotonic irrigant [0.9% NaCl solution]: 9 grams NaCl in beaker, fill to 1,000 cc with water). Can be purchased from drug suppliers, etc.	If used immediately will remove contamination. May also be used for ears, nose, and throat.	When using for nose and mouth, contaminated individual should be warned not to swallow the rinses. Must be used with care, preferably by medical personnel.

Attachment RR102-3

RAMRAT Team Member(s):

Notified RAMRAT Lead of arrival at the scene:

Date:

Time:

Location of Incident:

Contact person:

Name & Address:

Type of location:

Industrial

Commercial

Residential

Public place

Conventional Hazards:

Fire

Chemicals

Explosives

Other

Nature of Emergency:

Lost source

Damaged Source

Found Source

Unknown

Transport

Other

Emergency Responders On Scene:

NJDEP BER

Police

Fire Dept.

County HAZMAT

Other

Current status:

Is access being controlled? Y N

Actions to prevent exposure:

Source Details:

Radionuclide(s)

Sealed:

Unsealed:

Other

Radiological hazards:

Significant radiation dose

Release to the environment

Inhalation hazard

Contaminated areas

Potential for dispersion

Radiation Survey Measurements

Instrument Type _____ Model _____ Serial # _____

Background Measurement _____

DistanceMeasurementUnits

Contact

1 foot

1 meter

Other

Instrument Type _____ Model _____ Serial # _____

Background Measurement _____

DistanceMeasurementUnits

Contact

1 foot

1 meter

Other

Instrument Type _____ Model _____ Serial # _____

Check Source Measurement _____ Background Measurement _____

Distance Measurement Units

Contact

1 foot

1 meter

Other

Diagram of the Source and Surrounding Area

Nuclide Identification

Instrument: (Make, Model and Serial #)

Nuclide(s)

Nuclide Identification

Instrument: (Make, Model and Serial #)

Nuclide(s)

Person(s) Interviewed:

Name	Affiliation	Phone Number

Comments:

Signature:	Date:
-------------------	--------------

Wipe Sample Collection and Analysis (taken from BNE SOP-361)

1.0 Objective

The purpose of this procedure is to describe the proper methodology for detecting removable contamination and the gross activity of the samples from exposed surfaces after a radiation incident.

2.0 Instructions, Equipment and Instrument Checks

2.1 Wipe samples should be collected at all sampling sites where deposition may have collected (e.g. top of cars, picnic tables or horizontal surfaces).

2.2 The Team Leader must ensure that the proper sampling equipment has been secured and all equipment is operable. The following specific equipment is needed for wipe sampling:

- ☐ Smear discs and sample envelopes
- ☐ Template (100 cm²)
- ☐ Sample Labels

2.3 Instrument Pre-operations Checks: Pre-operational instrument and response checks should be conducted prior to dispatching into the field; use SOP RR104-20.

2.4 Wipe Sample Procedure

2.4.1 Obtain smear discs, template and sample envelopes.

2.4.2 Using a wipe smear disc, select a horizontal surface such as a vehicle hood or roof to obtain a sample of 100 cm². A 100 cm² sample may be obtained by the following methods:

- ☐ Wipe a smear disc in a lazy "S" pattern approximately 16 " long.
- ☐ Smear an area of approximately 4 inches by 4 inches.
- ☐ Use a template with an inside area of 100 cm².

2.4.3 After the required sample amount is collected, place the wipe sample in the plastic sample bag (bag #1), point the opening of the bag away from you and compress the excess air out of the bag. Seal the opening by folding the end of the bag and sealing it with duct tape or a twist tie.

2.4.4 Attach a completed preprinted label to the bag (bag #1) with the following information.

- ☐ Sample location
- ☐ Sample type
- ☐ Sample number
- ☐ Sample size/weight/volume
- ☐ Geographic coordinates (recorded from GPS units, if available)
- ☐ Sample team
- ☐ Current date and time

2.4.5 Upon entering the field vehicle, place the labeled sample (bag #1) into another plastic bag (bag #2) and seal with tape.

- 2.4.6 A Request for Analysis and Chain of Custody Record and any other required forms must be completed for each sample collected. The form must accurately identify each sample and be verified by another RAMRAT team member. All completed forms will be kept together until the samples are transferred.
- 2.4.7 For convenience during transportation, multiple samples already double bagged may be placed in a container. However, each time a sample is transferred to another person, the sample's Request for Analysis and Chain of Custody Record must be signed.
- 2.4.8 Upon transferring the sample to the sample custodian at the Remote Radiological Environmental Assessment Laboratory (RREAL) or other facility, each double bagged sample should be placed in another plastic bag (bag #3) and sealed with tape by the sample custodian.
- 2.4.9 The appropriate Request for Analysis and Chain of Custody Record must be signed and transferred to the sample custodian along with each sample.
- 2.4.10 After the last sample is taken in the area, clean and decontaminate all equipment using the supplied clean water, wash and paper towels (refer to BNE SOP-363, Field Equipment Decontamination). Tools should then be placed in a plastic bag. Dispose all contaminated materials (tape, paper towels etc.) in a large plastic bag designated for radioactive waste.
- 2.4.11 Contaminated clothing (gloves and booties) should be disposed with other radioactive waste materials and replaced with clean sets.
- 2.4.12 Contact the RAMRAT Supervisor to report sampling location and information and request further instructions.

Proceed to the next sampling location or deliver all samples as directed by the RAMRAT Supervisor.

OPERATING THE GR-130 "Exploranium" GAMMA-RAY SPECTROMETRY SYSTEM

CONTROL BUTTON (CB) ACTION

The GR-130 has only one operating control – the rubber-covered control button (CB) with four actions – UP (forward-toward front of unit); DOWN (backward-toward rear); LEFT and RIGHT. A short, quick CLICK UP or CLICK DOWN is used to move the cursor and highlight desired menu items. A LONG DOWN (backward for one-second) activates the selection.

TIME-OUT

Unit has an automatic time-out function, which will turn the unit off if left in any menu position 2.5 minutes. To continue where you left off use a LONG DOWN (backward for one-second) and unit returns to the menu you were working in and you can continue from that point.

1. TO TURN ON SYSTEM

A CLICK DOWN (backward) of the CB toward the position on the handle marked ON will activate the unit and identify either the Main Menu or Analysis Menu at top of listed items. If in Analysis mode, highlight Main Menu and press LONG DOWN.

2. TO STABILIZE UNIT

Highlight STABILIZATION by scrolling through Main Menu. Then use a LONG DOWN to display stabilization instructions using the Cs-137 source. Insert source in hole of yellow boot at front of analyzer with source label facing instrument. Press LONG DOWN. When display reads "Stabilization OK" use a LONG DOWN to return to main menu. Stabilization takes from ~ 0.5 to 2.0 minutes.

3. TO ANALYZE SAMPLE

Scroll through menu if necessary to highlight ANALYSIS. With the GR-130 detector facing the radiation source, use a LONG DOWN to acquire a spectrum. The screen will show peaks forming, followed by Analysis Menu.

4. TO SEE SPECTRUM

Highlight SEE SPECTRUM and use LONG DOWN to display peaks. Shaded peaks identify sample energies). Left or right movement of the CB can be used to position the cursor over a peak and read the energy in KeV (denoted as EN). Up or down movement of the CB can be used to increase or decrease peak height.

5. TO PERFORM PEAK ANALYSIS

LONG DOWN to return to Analysis Menu and highlight PEAK ANALYSIS. LONG DOWN and display will compute and list the peaks in KeV (denoted as PPKeV).

6. TO PERFORM NUCLIDE IDENTIFICATION

LONG DOWN to return to Analysis Menu and highlight NUCLIDE IDENT. LONG DOWN and display will list nuclides identified.

7. TO PERFORM ADDITIONAL ANALYSIS

Highlight RETURN, use a LONG DOWN to return to Analysis Menu. Highlight START MEAS, click down to start analysis. After spectrum has been acquired, unit returns to Analysis Menu. At this point go to step # 4 above.

8. TO TURN OFF SYSTEM

Return to Main Menu. Move CB up and hold it in OFF position while display counts down 3-2-1 and shuts down.

Operating the identiFINDER GAMMA-RAY SPECTROMETRY SYSTEM

1. To turn on the system

To switch on the instrument, press the bottom button marked with the red circle. The display will show the serial number and the software installed and, in parallel will start measuring the spectrum of the gamma calibration source. If not interrupted, the calibration will be completed after approximately 90 seconds. After confirming the calibration, the identiFINDER automatically enters the dose rate mode. The dose rate mode is the starting position for all other identiFINDER features.

BATTERY INDICATION - The number in the battery icon in the upper left corner of the display is the actual battery voltage. The typical battery life for fully charged batteries is around 7 hours. As the battery level drops, a "Low Battery Warning" will appear, usually around 4.5V. At this time, there are only a few minutes left to save your data and then connect the charger.

2. To measure Background

To measure background from the dose rate mode, press the "L" button on the far left of the button pad with the word "FINDER" on the screen above the button. It will take 10 seconds to measure background.

3. To analyze a Sample and perform Nuclide Identification

After background has been measured, press the "M" button in the middle of the button pad with the letters "IDENT" on the screen above that button and point the identiFINDER towards the radiation source to begin analysis.

By pressing the "M" key and beginning the analysis, you have entered the Automatic Nuclide Identification Mode. The instrument will acquire the gamma spectrum of the unknown source/contamination for the set acquisition time. The actual count rate (cps) is shown together with the remaining acquisition time(s). If the count rate is too small, a message "MOVE CLOSER TO SOURCE" will appear. If the count rate is too high, the message "MOVE AWAY FROM SOURCE" will be shown. The optimum results will be obtained when the count rate is within the range indicated by the 2 arrows.

Upon completion of the count, spectrum results are displayed as one of three possibilities: 1) "Low activity! Do you want to continue?" Not enough counts or data was acquired to make an accurate identification. Either the count time was too short or the level of radioactivity was too low. Select "Yes" to recount, the data will be added to the data acquired during the first run. Select "No" to exit and return to dose rate mode, where you can then increase the count time and/or move the detector closer to the source 2) "Nuclide Listing: Not in Library" Acquired sufficient data, but

didn't locate a matching spectrum in the selected library. Possible cause: Source is an irresolvable mixture of radioisotopes, heavily shielded, or the library should be changed (see included procedure to change the isotope library of a saved spectrum) Select Exit to return to the dose rate mode 3) "Nuclide Listing:" Successful identification is displayed and rated between 1 (unlikely) and 10 (very likely). A probability rating less than 6 should be discontinued and analysis should be further evaluated.

4. To see/save Spectrum

After a successful or unsuccessful identification, the operator can see the spectrum by pressing the "L" key with the word "SPECTRUM" on the screen above or the spectrum can be saved by pressing the "M" key with the word "SAVE" on the screen above. The spectrum can also be saved after viewing by pressing the "R" key on the right with the word "EXIT" on the screen above. The next screen will prompt you as to how to save the spectrum. The desired command on the bottom of the screen corresponds with its function key below.

5. To perform additional Analysis

Press the "R" key with the word "OPTIONS" on the screen above to open the OPTIONS menu. In the OPTIONS mode, five different entries can be selected: Advanced Options, Dose/GM Display, Finder Options, Doserate Options, and Alarm Options. Refer to the manual for the capabilities within each "Option". Use the "L" key to scroll Down and then the "M" key to SELECT.

6. To change the Acquisition Time

To change the acquisition time, select "OPTIONS" (R key) from the Dose Rate or Finder Mode to open the Options Menu. "Select" (press the M key) Advanced Options on the Options Menu. Scroll down (L key) to Identify Options and press "Select" (M key). Press "select" again to Identify Settings. Time (seconds) will be highlighted. Press "select" (M key) to change the time by using the L key to increase the acquisition time and the R key to decrease the time, and then press the M key to ACCEPT the desired time.

7. To turn off System

Press and hold the bottom button with the red circle to turn the instrument off. The screen will read POWER OFF.

Procedure for Saving a Spectrum, Recalling a Saved Spectrum and Changing the Isotope Library of a Saved Spectrum for Identification

I. To Save a Spectrum:

1. After a sample has been collected, the identiFINDER will attempt to identify the nuclide.
2. To save this spectrum, Press "Save".
3. The IdentiFINDER will save that spectrum as a number (Ex. No.5). Press "Save". The spectrum is now saved under that number (Ex. No. 5).

II. To Recall a Saved Spectrum:

1. Press "Options"
2. Select "Advanced Options"
3. Select "Show Spectrum"
4. To recall a saved spectrum, Press "Skip" 3 times (you will see "Load" above the "R" button). Press "Load"
5. To recall a specific spectrum, Press "Skip" until the Spectrum No. that you want appears (Ex. 5). (Also the date and time will appear as dd/mm/yy and time expressed in a 24 hour clock) Press "Load" and the spectrum will appear.

III. To Change the Isotope Library of a Saved Spectrum:

(Note: to be used when the initial sample analysis does not identify the nuclide)

1. After saving the spectrum using the procedure outlined in "I." above, press "Options".
2. Select "Advanced Options"
3. Select "Identify Options"
4. Select "Identify Settings"
5. Select "Library"
6. Change library and Press "Accept"
7. Press "Back" 2 times
8. Select "Show Spectrum"
9. Recall the saved spectrum, using the procedure outlined in numbers 4 and 5 in II. above.
10. Press "Skip" 1 time and Press "Identify". identiFinder will analyze the recalled spectrum using the newly selected library.
11. If spectrum is still not identified, you will need to "Exit" the spectrum and try again using a different library.

Note: Except for I-123, all nuclides are in the OSI, Industrial, Customs or EOD libraries (I-123 is in the Medical library)

Operating the identiFINDER ULTRA GAMMA-RAY AND NEUTRON SPECTROMETRY SYSTEM

1. To turn on the system

To switch on the instrument, press and hold the bottom button marked with the red circle until the Red Alarm LED lights, then release to turn on. The display will show the startup screen, followed by the initialization screen. If not interrupted, the calibration will be completed after approximately 90 seconds. After confirming the calibration, the identiFINDER automatically enters the dose rate mode. The dose rate mode is the starting position for all other identiFINDER modes and features.

BATTERY INDICATION – The number in the battery icon in the upper left corner of the display is the actual battery voltage. The typical battery life for fully charged batteries is around 10 – 12 hours. As the battery level drops, a “Low Battery Warning” will appear, usually around 4.5 V. At this time, there are only a few minutes left to save your data and then connect the charger or replace the batteries. If left ON without the charger connected the unit will automatically shut down. If the voltage drops below 3.9V, the device will switch off immediately.

On the back side of the device, two LED lights are indicating the state of the charging: The green LED on the right hand side illuminates when the external power supply is connected to the identiFINDER, the orange LED on the left hand side is switched on only while the powerPACK plus is currently being charged up.

2. To measure Background

To measure background from the dose rate mode, press the “L” button on the far left of the button pad with the word “FINDER” on the screen above the button. It will take 10 seconds to measure background.

3. To analyze a Sample and perform Nuclide Identification

After background has been measured, press the “M” button in the middle of the button pad with the letters “IDENT” on the screen above that button and point the identiFINDER towards the radiation source to begin analysis.

By pressing the “M” key and beginning the analysis, you have entered the Automatic Nuclide Identification Mode. The instrument will acquire the gamma spectrum of the unknown source/contamination for the set acquisition time. The default count time is set for 30 seconds. The actual count rate (cps) is shown together with the remaining acquisition time(s). If the count rate is too small, a message “MOVE CLOSER TO SOURCE” will appear. If the count rate is too high, the message “MOVE AWAY FROM SOURCE” will be shown. The optimum results will be obtained when the count rate is within the range indicated by the 2 arrows.

Upon completion of the count, spectrum results are displayed as one of three possibilities: 1) "Low activity! Do you want to continue?" Not enough counts or data was acquired to make an accurate identification. Either the count time was too short or the level of radioactivity was too slow. Select "YES" to recount, the data will be added to the data acquired during the first run. Select "NO" to exit and return to dose rate mode, where you can then increase the count time and/or move the detector closer to the source. 2) "Nuclide Listing: Not in Library" Acquired sufficient data, but didn't locate a matching spectrum in the selected library. Possible cause: Source is an irresolvable mixture of radioisotopes, heavily shielded, or the library should be changed (see included procedures to change the isotope library of a saved spectrum). 3) "Nuclide Listing:" Successful identification is displayed and rated between 1 (unlikely) and 10 (very likely). A probability rating less than 5 should be discontinued and analysis should be further evaluated. For all three options, select Exit, by pressing the button on the right labeled "R", to return to the dose rate mode.

4. To see/save Spectrum

After a successful or unsuccessful identification, the operator can see the spectrum by pressing the "M" key with the word "SPECTRUM" on the screen above. The spectrum can be saved by pressing the left key labeled "L" three times with the word "SKIP" on the screen above and then the middle key labeled "M" with the word "SAVE" on the screen above.

5. To perform additional Analysis

Press the "R" key with the word "OPTIONS" on the screen above to open the OPTIONS menu. In the OPTIONS mode, five different entries can be selected: More Options, Gamma/N Counting, Finder Options, Doserate Options, and Alarm Options. Refer to the manual for the capabilities within each "Option." Use the "L" key to scroll Down and the "M" key to Select.

6. To change the Acquisition Time

To change the acquisition time, select "OPTIONS" ("R" key) from the Dose Rate or Finder Mode to open the Options Menu. Select (press the "M" key) "MORE OPTIONS" on the Options Menu. Scroll down ("I" key) to IDENTIFY OPTIONS and press "Select" ("M" key) to change the time by using the "L" key to increase the acquisition time and the "R" key to decrease the time, and then press the "M" key to ACCEPT the desired time.

7. To turn off System

Press and hold the bottom button with the red circle to turn the instrument off. The screen will read POWER OFF.

Procedure for Saving a Spectrum, Recalling a Saved Spectrum and Changing the Isotope Library of a Saved Spectrum for Identification

I. To Save a Spectrum:

1. After a sample has been collected, the identiFINDER will attempt to identify the nuclide.
2. To save this spectrum, press by the "M" key with the word "SPECTRUM" on the screen above. Then press the left key labeled "L" three times with the word "SKIP" on the screen above and then the middle key labeled "M" with the word "SAVE" on the screen above.
3. The identiFINDER will save that spectrum as a number (Ex. No.5). Press the "L" button to "SAVE." The spectrum is now saved under that number (Ex. No.5)

II. To Recall a Saved Spectrum

1. Press "Options"
2. Select "More Options"
3. Select "Show Spectrum"
4. To recall a save spectrum, press "Skip" 3 times (you will see "Load" above the "R" button). Press "Load"
5. To recall a specific spectrum, press "Skip" until the Spectrum No. that you want appears (Ex. No.5). (Also the date and time will appear as dd/mm/yy and time expressed in a 24 hour clock). Press "Load" and the spectrum will appear.

III. To Change the Isotope Library of a Saved Spectrum:

(NOTE: To be used when the initial sample analysis does not identify the nuclide)

1. After saving the spectrum using the procedure outlined in "I" above, press "Options."
2. Select "More Options"
3. Select "Identify Options"
4. Select "Identify Settings"
5. Select "Library"
6. Change library by using the "+" and "-" symbols displayed above the "L" and "R" buttons, respectively. Then press "Accept" displayed over the "M" button.
7. Press "Back" 2 times
8. Select "Show Spectrum"
9. Recall the saved spectrum, using the procedure outlined in numbered 4 and 5 in "II" above
10. Press "Skip" one time and press "Identify". The identiFINDER will analyze the recalled spectrum using the newly selected library.
11. If spectrum is still not identified, you will need to "Exit" the spectrum and try again using a different library.

NOTE: The different libraries include the following: Customs (for customs authorities), OSI (on-site inspection), Nuclear (nuclear industry and research), Medical, Industrial, and EOD (explosive ordnance disposal). All libraries can be modified except the OSI library.

Operating Instructions

ORTEC Detective-EX Portable Gamma Nuclide Identifier and Neutron Detector

PART A

The ORTEC Detective-EX is a portable gamma nuclide identifier and neutron detector. It is to be used for rapid identification of the nuclide **after** the area has been surveyed and the location of the material is known (see SOP RR-102.)

While the Detective-EX is primarily an excellent gamma-ray spectroscopy system, it can be used as a survey instrument to locate a source and determine a dose rate (see **Part B.**)

1. Startup

The ORTEC Detective-EX is designed for continuous operation and will be fully charged and ready to be transported when you retrieve it from its storage location. Do not remove the Detective from the docking station to which it is securely strapped. The power cord and AC/DC Power Adaptor should be removed for transport, but brought along for possible use at the scene of the radiological emergency.

The accessory kit, located in the plastic crate adjacent to the Detective, must also be brought to the scene. This kit contains **connector cables** and a **battery belt** needed for providing external power to the Detective. You may also put the **power cord** and **AC/DC Power Adaptor** into this kit for transport.

The ORTEC Detective-EX functions as a portable, battery-operated instrument using the internal batteries and can last up to 3 hours from the time the unit is disconnected from the power source before additional power support is needed. The time remaining on the internal batteries is always displayed on the top right portion of the screen. DO NOT completely deplete the internal batteries as this will cause a lengthy delay before the instrument can be used again.

2. To Charge Battery

The docking station provides external power to simultaneously start and operate the Detective, as well as charge the internal battery. It must be noted that only external power can be used to cool the detector. The docking station can be powered from AC outlet or a 12 V vehicle cigarette lighter socket. While the Detective's internal battery is charging, the front panel red LED is lit. The red light will also flash if the instrument is removed from the station before it is fully charged. The green light is lit when the battery is fully charged.

The internal battery charge can be conserved during transport by connecting the automobile accessory adaptor to the **Power In** connector on the docking station and then into the 12 V automobile accessory socket. Alternatively, if the vehicle being used to transport the unit is equipped with a power inverter, the docking station can be plugged into the vehicle's electrical inverter outlet with the AC/DC Power Adaptor. The Power Adaptor and cords will be attached to the unit when you retrieve it from its storage location.

Battery belt and connector cables are provided to extend operating time in the field. The external battery will discharge first, and then the internal batteries will be used. The cable will be connected to the Detective itself at the **Input Power** socket.

3. To Check Calibration

While the Detective-EX is shipped pre-calibrated, it is strongly recommended that this calibration be checked before first use, and then rechecked periodically.

To perform the manual calibration check, tap the **Advanced** button on the *Survey Mode* screen, then hit **Calibrate**. A sealed ^{137}Cs calibration source is mounted on the top of the docking station's source holder on the front of the docking station. Position the ^{137}Cs source in front of the detector window and hit the **Start Calibration Now** button. While calibration is in progress, the time remaining before completion will be displayed. At the end of the calibration period, a message button will appear, indicating one of three things: calibration is OK, is usable but can be improved, or has failed. If calibration succeeded, the display will show the calibration adjustment (Cal. Adjust). If there is a message saying calibration can be improved, hit the **Apply New Calibration** button.

An **Unable to Check Calibration** message will be displayed when the calibration source has not been detected due to insufficient activity or too much distance between the detector and the source. Reposition the detector so that its end cap is close to the sealed ^{137}Cs calibration source mounted on the top of the docking station. When calibration is satisfactory, hit the **Back** button twice to return to the *Survey Mode* screen. Factory calibration settings can be restored at anytime by clicking the **Restore Default** button.

4. General Guidelines for Operation

The instrument should be positioned with the grey-capped detector pointing at the source and close enough for the instrument to gather data. This distance will vary with the strength of the source.

Using your fingers or the supplied stylus, select a function (e.g. **Search**, **Identify**, **Display**) by tapping or pressing on the "soft buttons" as presented on the display.

To return to the previous dialog screen, press the **Back** button. Values will not change if a screen is accidentally opened; just tap **Back** to return to the previous screen. All values from that previous screen will be retained.

A soft keyboard will appear at the bottom of the screen if numbers or text is needed. Tap the required numbers or letters, and then tap **OK**.

5. Identify Mode

Tap **Identify** from either the *Search Mode* or *Survey Mode* screen. The *ID Mode* screen is where the radionuclide(s) is identified and classified. The instrument begins collecting data immediately. The elapsed time is displayed in the top right corner of the screen, as well as the neutron count rate (cps) and gamma dose rate (mrem/hr).

If there is enough activity to make an identification, the Detective-EX will display one or more messages indicating the type of nuclides found (e.g., **Industrial**, **Medical**, **Nuclear**, **Nuclear Plutonium**, **Nuclear Uranium**, **Nuclear Neptunium**, **NORM**, **NORM-TH**, **Other**). It will also display the suspected nuclides, which are nuclides that have been identified, but the confidence level is not high enough for them to be listed as found.

Tap one of the displayed items to review the list of isotopes the Detective-EX suspects or identifies. You can select **Save** to save the spectrum to the internal memory. Select **Display** to enter *Display Mode*, or select **Back** to return to the initial *ID Mode* screen.

From the main *ID Mode* screen, selecting **Intense** will give you a list of the most intense gamma-ray peaks and the isotope that is associated with that peak.

5. Display Mode

The **Display** button is available on the startup, or *Survey Mode*, screen and on the *Found* screen. Tapping the **Display** button will switch you to the multi-channel analyzer (MCA) mode to show you the current spectrum in the live-spectrum memory. Tap **Back** to return to the previous screen.

The spectrum display has a vertical marker line and below the display is shown the position of the marker in the spectrum (in keV) and the counts in the marker channel. To move the marker, tap the position you want in the display area. The marker will jump to that location and the values will be updated. You can also press on the display area and drag the stylus to the left or right to the new location.

You can zoom in or out on a selected area of the spectrum with the >< or <> buttons.

6. **Save Spectrum**

To save a spectrum, tap the **Save** button, then tap the **Set** button. This will save the current spectrum under a file name in the format: **YYYY_MM_DD_HH_MM_SSS.SPC**.

7. **Recall Spectrum**

Recalling spectrum can be done under the **Advanced** settings by tapping the **Spectra** button and then tapping **Display**. Choose the spectra by highlighting it with a tap, and then tap the activated **Choose** button.

Go to **PART B** for instructions on the **Survey** and **Search** operations.

Instructions for using the ORTEC Detective-EX for Survey and Search

PART B

1. **Survey Mode**

Survey Mode is the instrument's starting, or default, screen and the dialog display shows the overall status of the detector.

The three (3) "Rate" indicator boxes (neutron count rate, dose rate and gamma count rate) show the count rate or dose rate as a numerical value and as a color coded "thermometer." The bar that lists each rate changes color with increasing rate. Low rates are **green**, followed by **yellow** and, lastly, **red** as the rate increases.

Green triangles indicate very low rates.

WARNING!!! High Gamma Dose Rate! is displayed for gamma count rates greater than 20,000 counts per second (cps).

Tap **Search** to go to the *Search Mode*.

Tap **Identify** to go to the *ID Mode*.

Tap **Display** to display the current spectrum. Note: If the **Display** button is not shown, it has likely been disabled in Advanced Setup.

Tap **Advanced** to display the *Adv. Setup* dialog. Advanced dialog will provide access to calibrate the detector, adjust volume for headphones and check the detector's current diagnostic status.

2. Search Mode

Tap **Search** to display a chart showing total gamma and neutron count rate as time progresses. The chart constantly scrolls, with the newest data appearing at the left side of the screen. This allows the user to visually determine his/her proximity to a radioactive source emitting gamma-rays or neutrons (i.e. are you getting closer/further from the source?). The neutron count rate (cps) and gamma dose rate (mrem/hr) are also displayed at the top of the screen.

Gamma counts are displayed in blue (scaled vertically from 0 to 10,000 cps) and neutron counts are displayed in red (scaled vertically from 0 to 500 cps). NOTE: the vertical black line is the "Marker" on the graph from which the computer reports the counts; therefore the user should drag this line to the left side of the screen if they would like to know the count rate in real time. Otherwise, there is a lag time of about 30 seconds.

Tapping **Save** allows you to save the survey mode data, but it will only save the data displayed in the screen (the most current 221 reports of count rate, or about one minute of data). This function is not necessarily important.

Tapping **Pause** will stop data acquisition and tapping **Continue** will start data acquisition.

Once a source is located on the *Search Mode* screen, you can select **Identify** at the right of the screen to access the *ID Mode* screen.

Operating Instructions

Canberra Inspector 1000 NaI Spectrometer

PART A

1. **Attaching the NaI Probe**

Before turning on the instrument, the NaI probe must be attached. Plug the cord into the bottom of the Model IPROS-2 probe (red boot on top) and into the bottom of the meter where it is marked "DET." The probe will clip onto the right side of the meter with a push.

2. **To turn on the Inspector 1000**

To switch on the instrument, press the **top button which is circled in white**. Startup takes about 30 seconds, after which the Gamma Dose Rate screen is displayed. This is the Monitor mode and background dose rate is shown.

BATTERY INDICATION: There is a battery icon in the lower right of this screen to display battery life remaining.

3. **Locate**

Press the **Enter** button, which is the **large button circled in green**. Scan the area with the probe until the displayed count increases.

4. **Identify**

Press the **Enter** button to enter data collection mode. Then press the **Enter** button one more time to start to acquire data. The instrument will collect data for two minutes and the screen displays time remaining for acquisition to finish.

When acquisition is complete, the instrument may take up to two minutes to process the data. Then the nuclide(s) identified will appear in the table format on the screen along with the dose rate, estimated activity and % error.

5. **View/Save Spectrum**

Press the **Up Arrow button marked with a blue circle** to access the menu bar. Select SPEC, then FILE, then SAVE.

Press the **Home** button, which is the **large button with a house circled in purple**, to return to the Monitor mode.

6. **Turn off the Inspector 1000**

Hold down the **top button which is circled in white** until the instrument shuts down.

GO TO PART B FOR INSTRUCTIONS ON:

- **RECALLING A SAVED SPECTRUM**
- **CLOSING AN OPEN SAVED SPECTRUM FILE**
- **CHANGING THE REFERENCED ISOTOPE LIBRARY**

Operating Procedures

Canberra Inspector 1000 NaI Spectrometer

PART B

1. To Recall a Saved Spectrum:

- a. Press the **"up" arrow button** on the left side of the instrument. A tool bar will appear at the bottom of the screen.
- b. Press the **"Spec" button** on the tool bar. It is on the right hand side of the tool bar. A different tool bar will appear on the bottom of the screen.
- c. Press the **"File" button** on the tool bar. It is the button second from the left. Another tool bar will appear.
- d. Press the **"Open" button** on the tool bar. It is the button second from the left. A final tool bar will appear.
- e. Press the **"Spectrum" button** on the tool bar. It is on the left hand side. A list of file names will appear on the screen. Use the **"up" and "down" arrow keys** on the left side of the instrument to highlight the file you wish to open. If the file does not appear on the screen, use the **"forward" or "back" arrow buttons** to move through the listing of saved files, then use the **"up" and "down" arrow keys** to highlight the file you wish to open.
- f. Once the file is highlighted, tap on it using a stylus or your fingernail. This ~~will open the file and you will be able to view the saved spectrum. Remember~~ to close the file that contains the spectrum after you have finished reviewing it.

2. To Close an Open Saved Spectrum File:

- a. With the spectrum file open, press the **"up" arrow button** on the left side of the instrument. A tool bar will appear on the bottom of the screen.
- b. Press the **"Spec" button** on the tool bar. It is on the right hand side of the tool bar. A different tool bar will appear on the bottom of the screen.
- c. Press the **"File" button** on the tool bar. It is the button second from the left. Another tool bar will appear.
- d. Press the **"Close" button** on the tool bar. It is the button second from the right. The file will close and the spectrum will disappear from the screen.

3. To Change the Referenced Isotope Library:

- a. Press the **"Enter"** button and the **"Home"** button at the same time. A tool bar will appear at the bottom of the screen. Hit the **"Next"** button located at the right hand side. Another tool bar will appear.
- b. Press the **"Spec Setup"** button. It is second from the left. The **"Peak Analysis"** screen will appear.
- c. Press the **"Next"** button on the bottom right of the screen. The **"NID Analysis"** screen will appear. Using your fingernail or a stylus, tap on the field to the right of the heading **"Library."** The field will become highlighted.
- d. Use the **"up"** or **"down"** arrow buttons on the InSpector 1000 (on the left hand side of the device itself, not the buttons on the bottom of the screen) to scroll through the different isotope libraries until you come to the library you want to use.
- e. Tap the **"Apply"** button on the bottom of the screen. It's the button second from the left. This will direct the device to use the library you select and save your selection. The device will use this library until another is chosen.
- f. After the **"apply"** button has been pressed, press the **"Quit"** button. It's the button second from the right. You will then return to the dose rate screen.

Gamma Constants (Γ) for One Curie of Some Radionuclides
(taken from Radiological Health Handbook, 1970 and modified to fit table parameters)

Nuclide	$R\text{-m}^2$ hr-Ci	$R\text{-ft}^2$ hr-Ci	Nuclide	$R\text{-m}^2$ hr-Ci	$R\text{-ft}^2$ hr-Ci	Nuclide	$R\text{-m}^2$ hr-Ci	$R\text{-ft}^2$ hr-Ci
	@1m	@1ft.		@1m	@1ft.		@1m	@1ft.
Actinium-227	~0.22	~2.4	Gold-198	0.23	2.48	Potassium-42	0.56	6.0
Antimony-122	0.24	2.6	Gold-199	~0.09	~1.	Radium-226	0.825	8.88
Antimony-124	0.98	10.5	Platinum-175	~0.21	~2.3	Radium-228	~0.51	~5.5
Antimony-125	~0.27	~2.9	Platinum-181	~0.31	~3.3	Rhenium-186	~0.02	~2
Arsenic-72	1.01	10.9	Indium-114m	~0.02	~2	Rubidium-86	0.05	.5
Arsenic-74	0.44	4.7	Iodine-124	0.72	7.8	Ruthenium-106	0.17	1.8
Arsenic-76	0.24	2.6	Iodine-125	~0.07	~8	Scandium-46	1.09	11.7
Barium-131	~0.30	~3.2	Iodine-126	0.25	2.7	Scandium-47	0.056	.60
Barium-133	~0.24	~2.6	Iodine-130	1.22	13.1	Selenium-75	0.20	2.2
Barium-140	1.24	13.3	Iodine-131	0.22	2.4	Silver-110m	1.43	15.4
Beryllium-7	~0.03	~3	Iodine-132	1.18	12.7	Silver-111	~0.02	~2
Bromine-82	1.46	15.7	Iridium-192	0.48	5.2	Sodium-22	1.20	12.9
Cadmium-115m	~0.02	~2	Iridium-194	0.15	1.6	Sodium-24	1.84	19.8
Calcium-47	0.57	6.1	Iron-59	0.64	6.9	Strontium-85	0.30	3.2
Carbon-11	0.59	6.4	Krypton-85	~0.004	~.04	Tantalum-182	0.68	7.3
Cerium-141	0.035	.38	Lanthanum-140	1.13	12.2	Tellurium-121	0.33	3.6
Cerium-144	~0.04	.4	Lutetium-177	0.009	.1	Tellurium-132	0.22	2.4
Cesium-134	0.87	9.4	Magnesium-28	1.57	16.9	Thallium-170	0.0025	.027
Cesium-137	0.33	3.6	Manganese-52	1.86	20.0	Tin-113	~0.17	~1.8
Chlorine-38	0.88	9.5	Manganese-54	0.47	5.1	Tungsten-185	~0.05	~.5
Chromium-51	0.016	.17	Manganese-56	0.83	8.9	Tungsten-187	0.30	3.2
Cobalt-56	1.76	18.9	Mercury-197	~0.04	~4	Uranium-234	~0.01	~.1
Cobalt-57	0.09	1.0	Mercury-203	0.13	1.4	Vanadium-48	1.56	16.8
Cobalt-58	0.55	5.9	Molybdenum-99	~0.18	~1.9	Xenon-133	0.01	.1
Cobalt-60	1.32	14.2	Neodymium-147	0.08	.86	Ytterbium-175	0.04	.4
Copper-64	0.12	1.3	Nickel-65	~0.31	~3.3	Yttrium-88	1.41	15.2
Europium-152	0.58	6.2	Niobium-95	0.42	4.5	Yttrium-91	0.001	.01
Europium-154	~0.62	~6.7	Osmium-191	~0.06	~.6	Zinc-65	0.27	2.9
Europium-155	~0.03	~.3	Palladium-109	0.003	.03	Zirconium-95	0.41	4.4
Gallium-67	~0.11	~1.8	Platinum-197	~0.05	~.5			
Gallium-72	1.16	12.5	Potassium-42	0.14	1.5			

$$ER = \Gamma A / d^2$$

ER = Exposure Rate (R/h)

Γ = Gamma Constant (R-m²/hr-Ci) or (R-ft²/hr-Ci)

A = Activity (Ci)

d = Distance from the source in feet or meters

Example: At 4 feet away from an unshielded Ra-226 source (width of the source is less than 5 inches) the exposure rate is 56 mR/hr. What is the approximate activity of the source?

$$ER = \Gamma A / d^2 \text{ or}$$

$$A = \frac{ER * d^2}{\Gamma}$$

$$A = (.056)(16) / 8.88$$

$$= 0.1 \text{ Ci or } 100 \text{ mCi}$$

If more than one nuclide is identified in the same area, then the activity can be estimated by using the most limiting gamma constant, that is, the one with the lowest value.

Example: At 4 feet away from an unshielded Ra-226 and Co-60 source (width of the source is less than 5 inches), the exposure rate is 100 mR/hr. What is the approximate activity of the each nuclide?

$$ER = \Gamma A / d^2 \text{ or}$$

$$A = \frac{ER * d^2}{\Gamma}$$

$$A = (.1)(16)/8.88$$

$$= 0.180 \text{ or } 180 \text{ mCi}$$

Without any other information, you would assume there is a 1:1 ratio between the two nuclides, so your approximation would be 90 mCi of Co-60 and 90 mCi of Ra-226.

SOP RR103 Radiological Assessment and Protective Action Guidance

1.0 Objective

To provide guidance on how to use the available information and data to assess doses and recommend protective action for emergency workers and the public. Generally, there will be a RAMRAT member assigned to assessment tasks who may not be located at the incident site. RAMRAT team members should assure that data is made available to this person and that any requests for data be obtained as soon as possible.

2.0 Types of Data

2.1 Nuclide Identification and Activity

If the nuclide is a gamma emitter, then identification can be made with the portable gamma spectrometer (see Attachment RR102-5 for operating instructions). Once the nuclide is known, exposure rate readings can be used to calculate the activity of the source (see Attachment RR102-10 for Gamma Constant Calculation). See 3.2 below for further discussion on source term.

2.2 Exposure Rate Readings

Exposure rate readings should be taken at known distances from the source at centerline and at distances away from centerline. If there was air dispersion of the material, then measurements should be made at distances of 0.1, 0.2, 0.3 miles, etc. from the source in both the x and y directions. If a GPS unit is available, record latitude and longitude. Use Attachment RR103-1, Ground Truthing/Traversal Report, to record this information.

3.0 Assessment

3.1 Hotspot

Hotspot is a simple Gaussian air dispersion model that can be used for a general explosion (radiation dispersion device or dirty bomb), general fire, general resuspension, or general plume. Also available are models for plutonium or uranium explosions or fire, plutonium resuspension, and a tritium-release. A nuclear detonation model is also included.

The many uncertainties associated with variables in the Gaussian model—fluctuations in the meteorological conditions or type of terrain—result in a degree of imprecision in calculated concentrations and radiation dose values. If inappropriate meteorological data, source-term assumptions, effective stack height, etc., are input into the programs, large errors are possible in the Hotspot estimates. Given accurate input assumptions, the standard deviation of the dose values as calculated in Hotspot is approximately a factor of 5 (some authors report a factor of 3). Therefore, 68% of the time (i.e., assuming a Gaussian distribution), the calculated dose values will be within a factor of 5.

Other percentages can be inferred from the Gaussian distribution. If D is the calculated radiation dose, then 50% of the time the true dose should lie between $D/3$ and $3D$, and 80% of the time between $D/8$ and $8D$. For example, if the calculated 50-year CEDE was 300 mrem at least half of the time you would expect the true value to lie between 100 mrem and 900 mrem. This level of accuracy is more than acceptable for emergency response and planning and is almost always less than the error associated with estimating the actual source term. More importantly, the Gaussian model will usually be conservative, i.e., produce dose estimates greater than the actual observed values.

3.2 Operating Guidelines for Hotspot

Input parameters needed to run Hotspot are shown in Attachment RR103-2. As much information as possible should be provided to the RAMRAT Assessor. Output can be viewed as a table, contour plot or linear plot. Examples are shown in Attachment RR103-3.

Generally the source term will not be known accurately. By the time the responder is present, much of the original material may already have been dispersed. However, since the Gaussian model is linear, adjustment factors can be made to the Hotspot output tables from field data obtained in Attachment RR103-1, to get an estimate of the initial source term. This is why the accuracy of the exposure readings and distances are important.

The following is an example of how to adjust the source term to match the exposure readings from the field:

Go to the Output Tab and then select Table Output under Text Files (see Attachment RR103-3). The table includes a 4 day Total Effective Dose Equivalent (TEDE) in rem at selected distances from the source at centerline. The TEDE includes the inhalation component. The output table also includes the ground shine dose rate. This is the data that should be compared to the exposure rate readings received from the field.

The input to the model is 100 Curies of Cs-137. Hotspot predicts a dose rate of 2000 $\mu\text{R/h}$ at 0.2 miles at centerline, but the responders are reporting values of 200 $\mu\text{R/h}$ at 0.2 miles at centerline. Either all the data from the model output can be divided by a factor of 10 or the source term can be changed to 10 Curies and a new output generated. Several readings from responders should be obtained before making adjustments to the model.

4.0 Protective Action Guidelines

- 4.1 Once the model output is adjusted, the results (the 4 day TEDE) may be compared to Table 103-1 below for protective action recommendations (PARs). A Team Supervisor, Leader, or Manager may make protective action recommendations. It is always preferable for a Manager to issue the PARs. These PARs are recorded on Attachment 103-4 and given to the DEP lead at the site. If there is no DEP lead at the site, then the PARs are given to the on-scene coordinator who may be a police officer, radiation safety officer of a facility, Federal Bureau of Investigation staff member, etc.

Table 103-1: Radiation Protection Guidelines For Members of the Public*

Protective Action	PAG (projected dose)	Comments
Evacuation	1 – 5 Rem TEDE	Evacuation (or for some situations, sheltering) should normally be initiated at 1 REM
Evacuation	5-25 Rem CEDE	Evacuation (or for some situations, sheltering) should normally be initiated at 1 REM

*From EPA 400-R-91-001, "Manual of Protective Action Guides and Protective Actions for Nuclear Incidents", Table 2

NOTE: Sheltering may be the preferred protective action when it will provide protection equal to or greater than evacuation, based on consideration of factors such as source term characteristics, and temporal or other site-specific conditions including severe weather, competing disasters, institutionalized personnel who are not readily mobile, and local physical factors which impede evacuation.

The evacuation PAG in the first row of Table 103-1 is the sum of the effective dose equivalent resulting from exposure to external sources and the committed effective dose equivalent (CEDE) incurred from all significant inhalation pathways during the first four days. As indicated in the second row in Table 103-1, an evacuation PAR can be made based on a CEDE only. The Hotspot model can calculate CEDE separately, or a total effective dose equivalent for a 4 day exposure. Refer to Attachment RR103-5 for Estimating CEDE for Inhalation based on laboratory data.

4.2 Release to Water

- 4.2.1 If significant radionuclide deposition occurs on surface waters intended for a human water supply (lake, river, or stream), emergency monitoring should include sampling at the raw water intake to the public water supply to determine if protective actions are required.

4.2.2 Surface water may be contaminated either by direct release of radionuclides to surface waters or by deposition from an atmospheric release. Spring and well water should not be affected by an accidental release of radioactive materials to the atmosphere or to waterways. Table 103-2 of this procedure, outlines the Protective Action Guides for Water.

4.2.3 Deposition from the airborne plume can result in contamination of soil surfaces or snowpack that might run off into lakes or streams that are part of the potable water supply. This includes runoff that may be significantly increased due to the environment. Since mixing and dilution of radioactivity will occur in the streams and lakes, and there will be an inherent time delay prior to public consumption. Contamination via this pathway should not result in an emergency problem, however, soil or snow samples can be analyzed and used to estimate the radionuclide concentration in water.

4.3 Derived Intervention Levels for Ingestion

4.3.1 The Food and Drug Administration (FDA) issued new ingestion guidance in August 1998, which defines the ingestion PAG as a committed effective dose equivalent (CEDE) of 500 mrem or a committed dose equivalent (CDE) to any specific organ of 5,000 mrem, whichever is more limiting. An ingestion DIL corresponds to the concentration of radioactivity in food, expressed as Becquerels/kilogram or picoCurie/kilogram, which could lead to an individual in the most sensitive population (e.g., a 1-year old child) receiving a dose equal to the PAG if no intervention were taken for the year. It is important to note that food intake is for the entire diet, not for any one type of food, and includes drinking water. The ingestion DILs are applicable to foods as prepared for consumption.

4.3.2 For a mixed population group, the protective actions for drinking water should be based on the "Accidental Radioactive Contamination of Human Food and Animal Feeds: Recommendations for State and Local Agencies", US Department of Health and Human Services, Food and Drug Administration, document issued on August 13, 1998, Table 2. This table is included as Table 103-2.

4.4 Decisions as to whether or not a particular water supply should be used will be based upon a judgment regarding the health benefits associated with the reduction in exposure to the population versus any undesirable health, economic and social affects the decision may have.

4.5 In situations involving the contamination of a water supply, protective actions that may be considered will include, but not necessarily limited to, the following:

4.5.1 Divert contaminated water and ration uncontaminated water already in the system.

- 4.5.2 Obtain an alternate uncontaminated water supply to replace or dilute water from contaminated supplies.
- 4.5.3 Chemically treat raw water at treatment facilities to eliminate or reduce the radionuclide concentrations to acceptable levels.
- 4.5.4 Time delay at the water treatment facility to allow decay of radionuclides, sedimentation of particulate, and other factors that may reduce the concentration of nuclides in the water supply.
- 4.5.5 Prohibit use of water for human consumption.

Table 103-2

Recommended Derived Intervention Level (DIL) or Criterion for Each Radionuclide Group^{4, a, b}

All Components of the Diet

Radionuclide Group	Bq/kg	pCi/kg
Sr ₉₀	160	4300
I ₁₃₁	170	4600
Cs ₁₃₄ & Cs ₁₃₇	1200	32,000
Pu ₂₃₈ & Pu ₂₃₉ & Am ₂₄₁	2	54
Ru ₁₀₃ & Ru ₁₀₆ ^c	$C_{103}/6800 + C_{106}/450 < 1$	$C_{103}/180,000 + C_{106}/12,000 < 1$

⁴ Taken from Accidental Radioactive Contamination of Human Food and Animal Feeds: Recommendations for State and Local Agencies, US Department of Health and Human Services, Food and Drug Administration, Document Issued on August 13, 1998, Table 2.

^a The DIL for each radionuclide group (except for Ru₁₀₃ & Ru₁₀₆) is applied independently. Each DIL applies to the sum of the concentrations of the radionuclides in the group at the time of measurement.

^b Applicable to foods as prepared for consumption. For dried or concentrated food, such as powdered milk or concentrated juices, adjust the value by a factor appropriate to the reconstitution, assuming the reconstitution media is not contaminated. For spices, which are used in very small quantities, use a dilution factor of 10.

^c Due to the large difference of DILs for Ru₁₀₃ & Ru₁₀₆, the concentrations of Ru₁₀₃ & Ru₁₀₆ are divided by their respective DILs and then summed. The sum must be less than one. C₁₀₃ & C₁₀₆ are the concentrations, at the time of measurement, the Ru₁₀₃ & Ru₁₀₆, respectively.

- 4.6 The Hotspot model does not include releases of radionuclides to surface or ground waters. Initially, estimates of the quantity of the nuclide(s) should be used along with any dilution (hosing down an area that is contaminated with runoff to a body of water) to determine if the doses in Table 103-3 could be exceeded. If it is determined that these dose limits are exceeded, and the nuclides involved are not listed in Table 103-2, then precautionary protective actions should be taken as outlined in section 4.5 of this procedure. If the nuclides involved are included in Table 103-2, then these guidelines should be followed for Protective Action Recommendations.
- 4.7 Likewise, the Hotspot model does not predict doses based on ingestion of contaminated food. If contaminated food or milk is possible, then the products should be sampled and determined if doses in Table 103-3 would be exceeded. This is not an issue for the early phase of an incident. If it is determined that the PAGs are exceeded, then the appropriate protective actions listed in Table 103-4 should be implemented.

Table 103-3
Food and Water Ingestion PAGs

0.5 Rem (5mSv)*	Committed Effective Dose Equivalent
5 Rem (50mSv)*	Committed Dose Equivalent to an individual tissue or organ.

* Whichever is more limiting.

Table 103-4**Protective Action Recommendation (Food and Food Products)**

Pasture	<ul style="list-style-type: none"> ◆ Removal of lactating cows from contaminated pastures and substitution of stored feed or uncontaminated pastures ◆ Provide a source of uncontaminated water
Milk ^{a,b}	<ul style="list-style-type: none"> ◆ Withhold contaminated milk from the market to allow radioactive decay of short-lived radionuclides. This may be achieved through storage of frozen fresh milk, frozen concentrated milk, or milk products ◆ Divert fluid milk for production of dry whole milk, non-fat dry milk, butter, or evaporated milk ◆ Use of contaminated milk may be acceptable for use in animal feed when the radioactivity will not contribute additional radiation exposure to human populations ◆ Dispose of milk and milk products where radiation concentrations can not be reduced to acceptable levels and substitute with uncontaminated milk and milk products ◆ Place temporary embargoes on contaminated milk and milk products to prevent them from being introduced into commerce.
Fruits and Vegetables ^b	<ul style="list-style-type: none"> ◆ Wash, brush, scrub, or peel vegetables and fruit to remove surface contamination ◆ Preserve fruits and vegetables through canning, freezing or dehydration or storage to permit the radioactive decay of short lived radionuclides ◆ Dispose of fruits and vegetables where radioactivity cannot be reduced to acceptable levels for human consumption ◆ Use temporary embargoes to prevent contaminated fruit and vegetables from being introduced into commerce.
Grains ^b	<ul style="list-style-type: none"> ◆ Mill products where applicable to reduce the amount of radioactive contamination ◆ Polish products where applicable to reduce the amount of radioactive contamination ◆ Store contaminated grain products to permit the radioactive decay of short lived radionuclides ◆ Use contaminated grain products as feed for animals in cases where the ingested contamination will not contribute additional radiation exposure to the public ◆ Use contaminated grains for seed ◆ Dispose of grains where the radioactivity cannot be reduced to acceptable levels ◆ Use temporary embargoes to prevent radioactively contaminated grains from entering into commerce.
Meat and Meat Products	<p>Each decision for this category will be made on a case by case basis rather than global decisions throughout the IPZ.</p> <ul style="list-style-type: none"> ◆ Divert meat and meat products to non-human consumption ◆ Store meats and meat products to allow the radioactive decay of short lived nuclides ◆ Dispose of meats and meat products where radioactivity cannot be reduced to acceptable levels for human consumption ◆ Use temporary embargoes to prevent radioactively contaminated meats and meat products from entering into commerce.

^a The diversion of fresh milk to milk products must continue until most of the projected dose has been avoided. This action may be ceased when the cost-effectiveness point is reached or the concentration of I_{131} approaches background levels. Since the supply of stored feed may be limited and the costs of this protective action greater than diversion to milk products, the use of stored feed may be the first action to be terminated.

^b The option of processing food to reduce the amount of contamination at or below the level of the DILs presumes that facilities will accept contaminated raw food products and that such processing does not cause excessive exposure to workers at the facility.

GROUND TRUTHING/TRAVERSAL REPORT

TEAM: _____ DATE: _____ TIME: _____

INSTRUMENT AND PROBE TYPE: _____ DOSIMETER READING: _____mR

[illegible]

GROUND TRUTHING/TRAVERSAL REPORT

[illegible]

[illegible]

Source Term Release Effects

General Explosion

Cs-137 D 30.0y 1.0000E+02 Ci

Change Radionuclide Source Term

0.30 cm/sec 1.00E+00 lb

1.00E+00

2.00E-01 Respirable Release Fraction = 2.00E-01

Meteorology	
5.0 mph	
270	Wind from the West
Enter Solar Information	Enter Degree of Instability
<ul style="list-style-type: none"><input type="radio"/> Sun High (near sky)<input type="radio"/> Sun Low (near horizon)<input type="radio"/> Night	<ul style="list-style-type: none"><input type="radio"/> A - Very unstable<input type="radio"/> B - Moderately unstable<input type="radio"/> C - Slight instability<input type="radio"/> D - Neutral<input type="radio"/> E - Slightly stable<input checked="" type="radio"/> F - Moderately stable<input type="radio"/> G - Special (with low wind)

Return to Original Defaults

☐ Standard Conservative Default
☐ Large Meteorological Area

33 feet

☐ Enable Inversion

10 min

☐ Basic (English)
☐ Basic (Spanish)
☐ Main
☐ English

☐ Simple
☐ Complex

☐ FGF
☒ FGF
☐ FGF
☐ FGF

☐ Enable Release

0 min

3.33E-04 m3/s

8 cm/sec

0.5
0.1
0.01

2.70
0.27
2.70E-02

☐ Celsius
☐ Fahrenheit

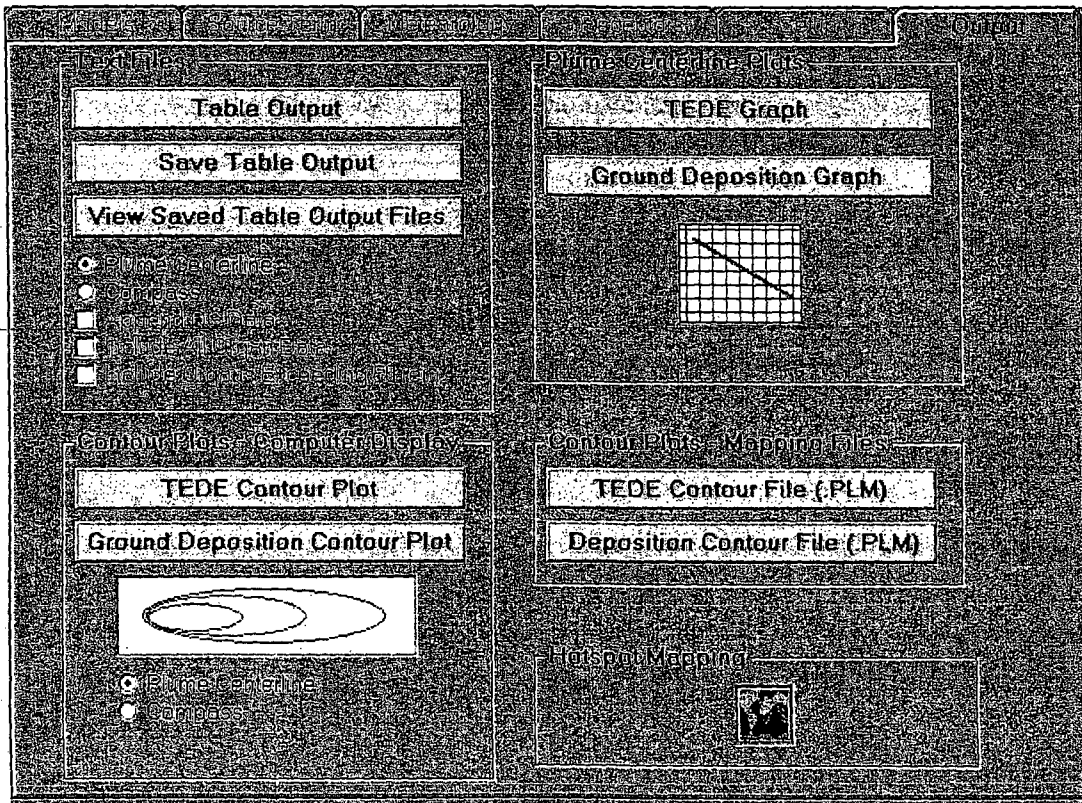
0 feet

Change

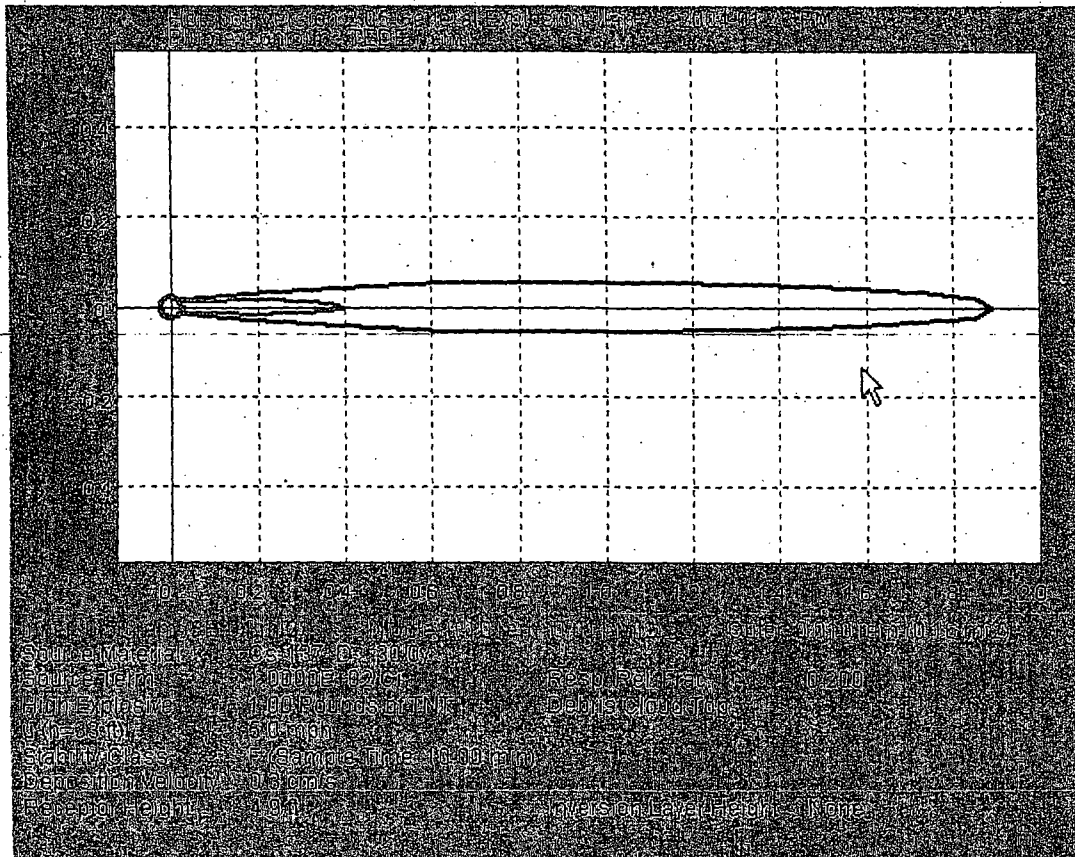
Degrees

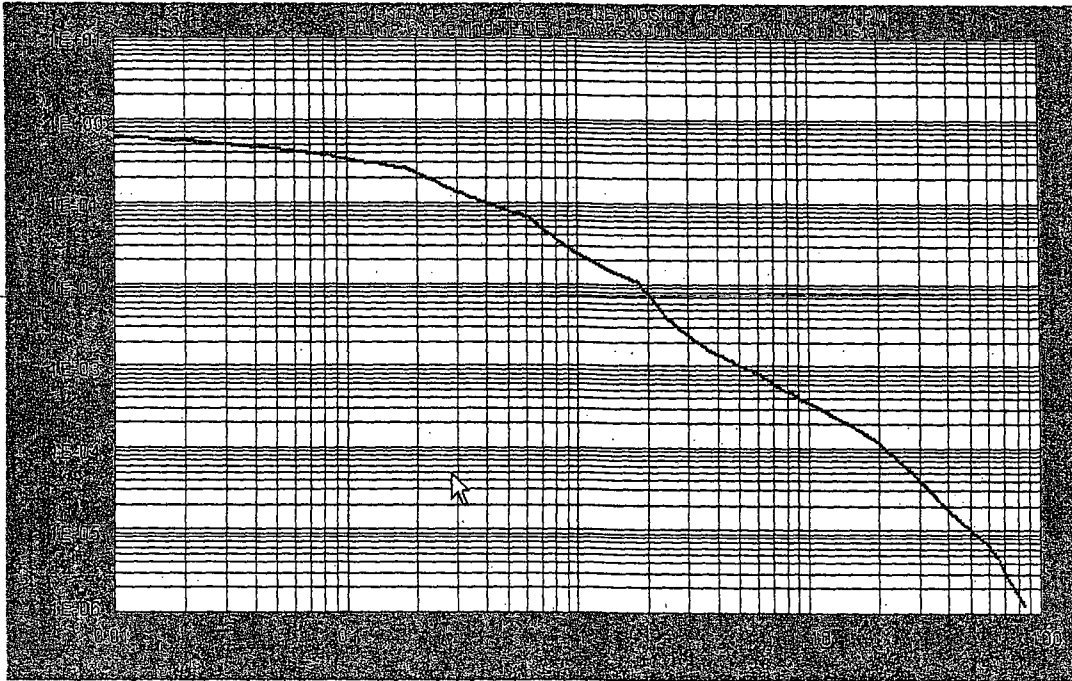
WGS 84

Unknown Release Location



Hotspot Version 2.05 General Explosion					
Jan 28, 2004 01:21 PM					
Source Material	:	Cs-137	0	30.0y	
Source Term	:	1.000E+02	Ci		
Airborne Fraction	:	1.000			
Respirable Fraction	:	0.200			
Respirable Release Fraction	:	0.200			
Distance Coordinates	:	All distances are on the Plume Centerline			
Wind speed (h=33 ft)	:	5.0	mph		
High Explosive	:	1.00	Pounds of TNT		
Debris Cloud Top	:	76	m		
UNMITIGATED BLAST DAMAGE					
IABTI safe distance	:	274	m (900 ft)		
Eardrum ruptures and incapacitation	(5 psi)	4.4	m - 6.9 m (14 ft - 23 ft)		
Lung damage and complete incapacitation	(10 psi)	3.0	m - 4.6 m (9.9 ft - 15 ft)		
Onset of lethality	(25 psi)	1.9	m - 3.0 m (6.4 ft - 9.9 ft)		
Note: minimum range corresponds to side-on pressure and maximum range corresponds to reflected overpressure generated using Sandia National Laboratories BLAST model.					
Stability Class	:	F			
Respirable Dep. Vel.	:	0.30	cm/s		
Non-respirable Dep. Vel.	:	8.00	cm/s		
Receptor Height	:	4.9	ft		
Inversion Layer Height	:	None			
Sample Time	:	10.000	min		
Breathing Rate	:	3.33E-04	m3/sec		
Maximum Dose Distance	:	0.006	mi		
MAXIMUM TEDE	:	1.0	rem		
FGR-11 Dose Conversion Data					
Note: Dose data in TEDE column includes 4 days of ground shine (100% stay time):					
DISTANCE	TEDE	TIME-INTEGRATED AIR CONCENTRATION	GROUND SURFACE DEPOSITION	GROUND SHINE DOSE RATE	ARRIVAL TIME
mi	(rem)	(Ci-sec)/m3	(uCi/m2)	(rem/hr)	(hour:min)
0.030	5.0E-01	3.4E-03	6.5E+02	4.8E-03	<00:01
0.100	3.4E-01	2.1E-03	4.4E+02	3.3E-03	00:02
0.200	2.3E-01	1.4E-03	3.0E+02	2.2E-03	00:05
0.300	1.4E-01	1.1E-03	1.7E+02	1.3E-03	00:08
0.400	9.8E-02	8.6E-04	1.3E+02	9.3E-04	00:11
0.500	7.9E-02	7.2E-04	1.0E+02	7.4E-04	00:14
0.600	6.7E-02	6.2E-04	8.4E+01	6.2E-04	00:17
0.700	4.8E-02	5.4E-04	6.0E+01	4.4E-04	00:20
0.800	3.6E-02	4.8E-04	4.4E+01	3.2E-04	00:23
0.900	2.9E-02	4.3E-04	3.4E+01	2.5E-04	00:26
1.000	2.4E-02	3.9E-04	2.8E+01	2.1E-04	00:29
2.000	7.8E-03	2.0E-04	8.0E+00	5.9E-05	00:58
4.000	1.4E-03	9.1E-05	6.1E-01	4.5E-06	01:56





PROTECTIVE ACTION RECOMMENDATION TRANSMITTAL FORM

THIS IS A DRILL / THIS IS AN EMERGENCY
(circle one)

Transmittal # _____ Date _____ Time _____

Protective Action Recommendation: _____

Basis: _____

Radiation Program Lead _____

Transmittal Time _____

Inhalation Committed Effective Dose Equivalent and Committed Dose Equivalent Determination

Assumptions:

Breathing rate (BR) = $3.37E4$ liters per day

Inhalation occurs for 24 hr/day

Dose Conversion Factor (DCF) = from Federal Guidance No. 11, Table 2.1 (Sv/Bq)

Conversion Factor (CF) = $3.7E3$ to convert from Sv/Bq to mrem/pCi

Air Concentration (AC) = radionuclide concentration in pCi/L (air sample analysis)

Committed Effective Dose Equivalent (CEDE) = mrem/day

Committed Dose Equivalent (CDE) = mrem/day

$$CEDE = (DCF) (CF) (AC) (BR)$$

Example:

The laboratory analyzed an air sample and reported a Cs-137 concentration of 50 pCi/L. The DCF for Cs-137 is found in Table 2.1 of Federal Guidance Report No. 11. The DCF from the effective column (last column) is used.

$$CEDE = (8.63E-9 \text{ Sv/Bq})(3.7E3 \text{ mrem/pCi per Sv/Bq})(50 \text{ pCi/L})(3.37E4 \text{ L/day}) \\ = 53.8 \text{ mrem/day}$$

This value can be multiplied by 4 to get a 4 day CEDE.

The other columns in Federal Guidance Report No. 11 are the conversion factors for specific organs. If an organ dose is limiting, the dose conversion factor will be in bold. If this is the case, then the Committed Dose Equivalent should also be calculated and compared to Table 103-3.

Another option is to use **mass loading** and concentration in soil.

Assumptions:

Breathing rate (BR) = $3.37E4$ liters per day

Inhalation occurs for 24 hr/day

Mass Loading (ML) = $1E-7$ g/L

Dose Conversion Factor (DCF) = from Federal Guidance Report No. 11, Table 2.2

Soil Concentrations (SC) = radionuclide concentration in pCi/g (soil sample)

$$CEDE = (ML)(DCF)(CF)(SC)(BR)$$

Ingestion Committed Effective Dose Equivalent and Committed Dose Equivalent Determination

Assumption:

Ingestion Rate for food (IR_f) = 40 g/day

Ingestion Rate for water (IR_w) = 2 L/day

Dose Conversion Factor (DCF) = from Federal Guidance No. 11, Table 2.2 (Sv/Bq)

Conversion Factor (CF) = $3.7E3$ to convert from Sv/Bq to mrem/pCi

Water Concentration (WC) = radionuclide concentration in water (pCi/L)

~~Food Concentration (FC) = radionuclide concentration in food (pCi/g)~~

Committed Effective Dose Equivalent (CEDE) = mrem/day

Committed Dose Equivalent (CDE) = mrem/day

$$CEDE_w = (DCF_w) (CF) (WC) (IR_w)$$

$$CEDE_f = (DCF_f) (CF) (FC) (IR_f)$$

These two dose rates should be added and compared to Table 103-3.

NJ DEP – Bureau of Environmental Radiation
RAMRAT INSTRUMENTATION LIST

Instrument	Detection Capabilities
RAMRAT Kits (6 available):	
Ludlum Model 19 NaI(Tl) microR meter	Gamma only. Higher energy gamma (>80 Kev), low emission rates (0-5000uR/hr)
Ludlum Model 17 ion chamber	Beta/Gamma, sliding window. 0-50R/hr.
Ludlum Model 3 survey meter	Alpha,Beta,Gamma with 44-9 Detector , 0-600K cpm. Beta/Gamma with 44-38 Detector , 0-200mR/hr.
THERMO Kits (4 available):	
FH40GL Multipurpose Digital Survey Meter w/internal proportional detector-AND-teleprobe 13-ft. extension	Internal proportional counter, 1uR/hr-10 R/hr. Neutron 0.01-100000 cps with FHT 752 SH Neutron Tracking probe . High Energy Gamma 10 uR/hr-1000R/hr with FHZ 612 Gamma, Hx . Alpha, Beta, Gamma 0.1-10000 cps with FHZ 732GM . FHZ512A 1.5"x1.5" NaI Probe
THERMO Kits Expanded (8 available):	
FH40GL Multipurpose Digital Survey Meter w/internal proportional detector-AND- teleprobe 13-ft. extension	Internal proportional counter, 1uR/hr-10 R/hr. Neutron 0.01-100000 cps with FHT 752 SH Neutron Tracking probe . High Energy Gamma 10 uR/hr-1000R/hr with FHZ 612 Gamma, Hx . Alpha, Beta, Gamma 0.1-10000 cps with FHZ 732GM . FHZ512A 1.5"x1.5" NaI Probe FHZ 672 Plastic scintillator 1 uR/hr-10mR/hr – high sensitivity for Gamma and Beta sources. FHZ 380AB (100cm²) ZnS/plastic scintillator-Alpha and Beta in cps.
SAIC Model PD-10I Dosimeter (25 available)	Gamma and x-rays, personal dose and dose rate monitoring
Ludlum Model 77-6 telescopic uR meter (1 available)	X/Gamma rays in remote locations. As low as 35 Kev (I-125) (0-5000uR/hr)
Exploranium (2 available)	Portable gamma spec
IdentiFINDER (3 available)	Portable gamma spec/dose rate meter
ORTEC Detective-EX HPGe (2 available)	Portable neutron detector/gamma spec
Ludlum Model 3 (2 available)	Alpha Scintillator 43-5 Detector
Reutor-Stokes	Pressurized ionization chamber
InSpector 1000 (2 available)	Portable neutron detector/gamma spec
IdentiFINDER Ultra (8 available)	Portable neutron detector/gamma spec/dose rate meter

Radiation Protection Section
Instrument Calibration and Quality Assurance Program

Dosimetry

1. Optically stimulated luminescent (OSL) dosimeters are used to determine the legal record of radiation exposure of staff. OSL dosimeters are provided and processed by Landauer, Inc., a National Voluntary Laboratory Accreditation Program (NVLAP) accredited dosimetry processor. OSLs are exchanged on a monthly basis.
2. Self-reading dosimeters (SRDs) are used, as necessary, to provide an estimate of accrued radiation exposure. The SRDs are calibrated annually by the NJ State Police Calibration Facility.

Field Instruments

Field Instruments

1. Beta/gamma and alpha survey instruments are calibrated at a frequency recommended by the manufacturer.
2. Maintenance and calibration service agreements with either the manufacturer or certified calibration facility are established each year.
3. All field survey instruments have a calibration sticker placed on them to indicate the calibration-done and calibration-due dates.
4. A field instrument may not be used unless the date of proposed use is within 1 year of the date of last calibration.
5. Field instruments are battery-checked and response-checked with an appropriate check source at the beginning of each day of use.
6. The RMS maintains an inventory and calibration status log of all field survey instruments.
7. A RMS staff person has been assigned responsibility in their position description to maintain the RMS Instrument Calibration and Quality Assurance Program and ensure there are operable and calibrated survey instruments available for use at all times.

NEW JERSEY STATE DEPARTMENT OF HEALTH AND SENIOR SERVICES

AQUEOUS (Drinking Water and Waste Water) ANALYSIS WITH ROUTINE DATA REPORTS (Continued from previous page)

RADIOCHEMISTRY	SFY 08 CHARGES	RADIOCHEMISTRY (CONTINUED)	SFY 08 CHARGES
GROSS ALPHA AND BETA (evaporation)	\$ 145.00	RADON IN WATER	\$ 103.00
GROSS ALPHA (Coprecipitation)	\$ 181.00	ISOTOPIC URANIUM	\$ 515.00
GROSS ALPHA/Ra-224/Ra-226/Ra-228	\$ 361.00	GAMMA SPECTROSCOPY (WATER OR MILK)	\$ 108.00
GROSS ALPHA/Ra-226/Ra-228	\$ 309.00	H-3 (WATER OR URINE)	\$ 95.00
RADIUM 224	\$ 335.00	STRONTIUM (Sr) - 89/90	\$ 309.00
RADIUM 226	\$ 222.00		
RADIUM 228	\$ 335.00		
RADIUM 226 and 228 (Gamma Spec.)	\$ 190.00		
RADIUM 224, 226 and 228 (Gamma Spec.)	\$ 240.00		

NON-AQUEOUS (Sediment, Bulk Material, etc.) ANALYSIS WITH ROUTINE DATA REPORTS

GENERAL CHEMISTRY	SFY 08 CHARGES	TRACE METALS	SFY 08 CHARGES
CYANIDE	\$ 31.00	Graphite Furnace Atomic Absorption Spectroscopy	\$ 41.00
NITROGEN, KJELDAHL	\$ 31.00	As, Sb, Pb, Se, Ti	/ element
PETROLEUM HYDROCARBONS (IR)	\$ 52.00	Inductively Coupled Plasma Emission (ICP)	\$ 39.00
PERCENT RESIDUE	\$ 13.00	Ag, Al, B, Ba, Be, Cd, Ca, Cr, Co, Cu	/ element
PHOSPHORUS, TOTAL	\$ 27.00	Fe, Mg, Mn, Mo, Ni, K, Ag, Na, V, Zn	
TOC	\$ 37.00	MERCURY	\$ 42.00
		CHROMIUM IN URINE	\$ 57.00
		LEAD IN PAINT CHIPS	\$ 15.00
		RADIOCHEMISTRY	
		GAMMA SPECTROSCOPY (Soil, sediment or vegetation)	\$ 148.00

Please note, trip blanks are handled, analyzed and reported as samples and are therefore billed as samples.

Special Data Turnaround Charges:

Emergency = 100% increase in charge

Priority = 50% increase in charge

Data Package Surcharge:

12% increase in charge

SECTION 4.7.2
EVENT AND ALLEGATION
REPORTING PROCEDURES

NJDEP INCIDENTS SOP

This procedure describes the steps that DEP personnel must follow to investigate and document an incident called into the Communications Center or directly to a departmental program, using the Incidents Screen in NJEMS, as well as the Compliance Evaluation and Enforcement Action screens, if necessary. This SOP will cover the following scenarios:

- A) Call received by the Communications Center and referred to one DEP program
- B) Call received by the Communications Center and referred to multiple DEP programs
- C) Call received by the Communications Center, referred to a program that refers it to CEHA agency
- D) Call received requesting a permit compliance for Land Use
- E) Call received by a program representative
- F) Management Referrals that require investigation to be performed
- G) Printing reports (Communications Center Notification and Incident)
- H) Faxing reports from the Action Tab
- I) Emailing reports from the Action Tab

Also included are three attachments. Attachment A is a listing of the laws and regulations that require notification to the Communications Center. Attachment B is an example of the action tab for scenario A) below. Attachment C is an example of the action tab for scenario C) below.

A) CALL RECEIVED BY THE COMMUNICATIONS CENTER AND REFERRED TO ONE DEP PROGRAM

- 1) When the Communications Center receives a call, the operator will open NJEMS to the Incidents screen and enter all pertinent data in accordance with the Bureau of Communications and Support Services Incident Module User Guide.
- 2) The Communications Center will add a task to the Action Tab (i.e., Notification-Fax) showing who was notified in the program. In addition, the Communications Center will fax and/or call someone in the program to inform him or her of this incident.
- 3) Either the person notified, a duty officer, or a supervisor from the program will then enter NJEMS and select **Incidents** from the **Program Menu**. At the **Incident List Window**, he/she will click on the **Find Incident** button. On the **Incident Selection Window**, the person will enter the **Communications Center #** and click on **OK**.
- 4) Once the **Incident List** is populated with the incident information, the person will highlight this row and click on the **Copy Incident** button. This must be done since all incidents recorded by the Communications Center will be uneditable by anyone except a Communications Center supervisor. This will create a new incident containing the same data that was captured by the Communications Center.

Note: Do not change the Received By information on the Reporter Tab.

- 5) Immediately, go to the **Description Tab** of this newly created incident and change the **Incident Type** from a CC prefixed type to your program specific type (i.e., AQ-Odors; HW-Abandoned Containers; WQ-Discharge; etc.). This ensures that your program gets "credit" for the incident, that the proper **Region** is selected and it changes the **Action Tab** view.
- 6) If no follow up is required, while on the **Description Tab**, change the **Follow Up Status** to **Acknowledged**. This would conclude your program's involvement with this incident. If follow up is required, then continue to next step.

- 7) Go to the **Action Tab** and either right click in the window or click on the **Add Row** button at the bottom of the screen. Select the **"Assigned"** task and select your program and the appropriate supervisor's name from the drop-down lists. This will be the person assigned to ensure proper follow up of this incident (i.e., assign to staff for investigation; refer to CEHA; etc.). Enter a **Completed Date**.
- 8) The supervisor listed in the previous step must then determine what to do with this incident. If the incident is going to be assigned for investigation, the supervisor will add a task to the **Action Tab** for **"Perform Investigation"**. This task will be assigned to a staff member with a **Due Date** completed.
- 9) The investigator must now be notified that this incident has been assigned to him/her for follow up. This can be done by paper copy, phone call or email. If you choose to email, then you must follow the steps below:
 - a) Add a third row on the **Action Tab** for **"Notification-Email"** and select your program and the same staff member.
 - b) Click on the **Email** button. You will be given a choice of reports to be emailed.
 - c) Select the **Incident Report** and click on **OK**. This will send an email message to the staff assigned informing him/her that this incident has been assigned for follow up.

Note: The email notification is preferred for non-emergent situations where a follow up could occur within a few days. It will be the responsibility of each program to determine the mode of notification and the appropriate use of each mode.

- 10) At this point, the staff assigned would perform further investigation, either by phone call, site visit or other necessary methods.
 - a) If no violations were determined:
 - i) The staff assigned would enter appropriate tasks on the **Action Tab** (i.e., "Site visit"; "Perform Sampling"; etc.) and add **Comments** describing findings. The final task added by the staff assigned should be **"Review and Approve"**, which the staff assigned should assign to his/her supervisor. Back on the **Description Tab**, the staff assigned should change the **Follow up Status** to **"Awaiting Rev/Approve"**. This is a visual cue to the supervisor that this incident is ready to be reviewed. In addition, the staff assigned should enter **Insp. Attributes**, by clicking on this button, to record such things as **Photos Taken; Samples Taken**; etc.
 - ii) The supervisor would then review the **Incident Screen**. In the **Incidents Screen**, the supervisor will change the **Follow Up Status** to **Closed, Inv-no viol** (or another appropriate task), complete the **Review and Approve** task on the **Action Tab**
 - b) If violations are found, the investigator will document this investigation in Central File. For Land Use, if a supervisor agrees there is a violation, he/she will add the task **"prepare document"** to the General Level Activity Tracking for the specific Program Interest in Central File.
 - i) The investigator should now select **Incidents** from the **Program Menu**. Click on the **Find Incident** button. Type in the **Incident Number** and click on **OK**. Highlight the incident that is retrieved and open the detail record. Click on the **Edit Incident** button and change the **Follow Up Status** on the **Description Tab** to **Closed, Inv-w/viol**. Next, go to the **Action Tab** and place in the **Comments** field of the task **Perform Investigation**, the words **"see report in Central File"**. **DO NOT** put in **Completed Date** or **Hours Spent**. No further documentation is required in Incidents since all further tracking is now located in the activities in Central File.

- ii) At the appropriate Site and Program Interest (if it does not already exist, then it must first be entered into Masterfile), click on the **Create New Document** button. In the **Create New Document Window**, select: Activity Category – **Enforcement**; Activity Class – **Investigation**; Activity ID – **calendar year and (New)**; Activity Type – **Incident Investigation**; Document Type – **Form**; Document Template – **Compliance Evaluation**; and enter an appropriate **Title**; then click **OK**. This will create a new activity gray bar with the **Compliance Evaluation Screen** checked out to the user.
- iii) Open the **Compliance Evaluation Screen** and fully complete the **Description Tab**, making certain to enter the **Incident Number**. By entering the **Incident Number** on this tab, there is now a link to the **Incidents Screen**.
- iv) Click on the **Non-Checklist Tab** and answer **Yes to Save Changes**. Next, click on the **Include Entries For** button. On the **Requirements Selection Window**, select the appropriate requirement set/subject item and click on **OK**. Set the **Display Requirements For** drop-down to the requirement set/subject item you previously selected. In the white data area, right click to **Add Row**. When the **Requirement Selection** window opens, add data to retrieve the specific citation(s) found to be in violation. Click **OK** and **Yes** to continue.
Note: Land Use will use the Checklist Tab to record other data required to be collected during an investigation. Programs may need to use the Checklist Tab to record permit violations or other specific requirements.
- v) Data will be retrieved. If there are any excess rows, highlight and delete using the eraser button on the tool bar or **Ctrl-X**. Repeat iii) and iv) as necessary.
- vi) Close the **Compliance Evaluation Screen**, saving changes and check in the document.
- vii) Open **Activity Tracking** and complete all appropriate tasks, including the **Hours to Complete**.
- viii) Supervisor review and creating an Enforcement Action will follow, in accordance with the Compliance Evaluation and Enforcement Action SOPs.

NOTE: Any photos taken to document violations will be imported into a Word Document (2-3 pictures per document) and attached to the Compliance Evaluation activity in Central File until the Department has an imaging plan in place.

B) CALL RECEIVED BY THE COMMUNICATIONS CENTER AND REFERRED TO MULTIPLE DEP PROGRAMS

1. When the Communications Center operator enters the incident, on the **Action Tab**, the operator will enter the *lead* program first, using one of the Notification tasks, and subsequent rows will contain the other programs notified.
2. Each program must then make a copy of the Communication Center incident to document their follow up. If there are several incidents received that are for the "same event", the program must make a copy of at least one of the incidents and link all of the incidents as appropriate.
3. An effort should be made to coordinate follow up to an incident. For example: The incident is referred to BER, Hazardous Waste and Air. BER, being the lead, would respond first. If necessary, BER should contact Hazardous Waste and/or Air for assistance. If Hazardous Waste or Air wants to know the status, they should contact BER directly. Otherwise, after BER has stabilized the area, they refer the case to Hazardous Waste and/or Air, if necessary. It is then the responsibility of the Hazardous Waste and Air programs to coordinate follow up visits for investigation.
4. All documentation of the incident follow up should be entered into the **Incidents Screen** on the individual program copies and/or in Central File in a **Compliance Evaluation Screen**. (See A above.)

C) CALL RECEIVED BY THE COMMUNICATIONS CENTER, REFERRED TO A PROGRAM THAT REFERS IT TO A CEHA AGENCY

1. The Communications Center operator will enter the information into the **Incidents Screen** of NJEMS. He/She will then notify the appropriate DEP program(s).
2. A supervisor, duty officer or other appropriate person from the referred program will enter NJEMS. Select **Incidents** from the **Program Menu**. On the **Incidents List Screen**, click on the **Find Incident** button. At the **Incident Selection Screen**, enter the **Comm. Center #** and click on **OK**. This will return the user to the **Incidents List Screen** with the appropriate Incident information displayed.
3. The user will then highlight the incident displayed and click on the **Copy Incident** button. This will then bring the user to the **Incident Detail Window, Reporter Tab**, as entered by the Communications Center.
4. The user should then immediately click on the **Description Tab** and change the **Incident Type** from a CC type to a program specific type.
5. Next, the user will enter the **Action Tab**. A row should be added and the following selections made: Task = **Referred to**; Org = **appropriate CEHA Agency**; and the **Name** of the contact may be typed. **Comments** can be added to describe what action is required.
6. A second task should be added for "**Notification-Fax**" with the appropriate CEHA Agency listed in the Organization. (If using the fax utility from NJEMS, it is not necessary to enter a **Completed Date**, as the system will automatically update this for you. If faxing manually, enter the **Completed Date**.)

*Note: If you expect a response back from the CEHA Agency within a specified time frame, you may add a task, **CEHA Response**, with a **Due Date** of when the response is expected, after the "**Notification-Fax**" task. This will be a reminder to the investigator that they are expecting some response back from the CEHA Agency.*

7. The user will then print the Communications Center Notification Report or the Incident Report (see G below) and fax this to the CEHA Agency, using the appropriate fax cover sheet. (This is only necessary if manually faxing.)
8. The user will then click on the **Description Tab** and change the **Follow Up Status** to **Referred**. At this point, the user can close and save changes to this incident.
9. The CEHA Agency will then perform any necessary follow up. If required, the CEHA Agency will report back to the DEP program. The DEP program will then re-enter the **Incidents Screen** and update the incident, as appropriate, ensuring that the **Follow Up Status**, on the **Description Tab**, is changed to reflect it's new status (**CEHA Closed w/viol** or **CEHA Closed no viol**).
10. If the CEHA Agency reports back to the referring DEP program, the DEP program will then return to the Incident and update the **Action Tab**. The **CEHA Response** task should now have a **Completed Date** and any necessary **Comments**.

D) CALL RECEIVED REQUESTING A PERMIT COMPLIANCE FOR LAND USE

1. At the appropriate Site and Program Interest in Central File, click on the **Create New Document** button. In the Create New Document window, select: Activity Category – **Enforcement**; Activity Class – **Permit Compliance Inspection**; Activity ID – **calendar year and (New)**; Activity Type – **Incident Investigation**; Document Type – **Form**; Document Template – **Compliance Evaluation**; and enter an appropriate title; then click **OK**. This will create a new activity gray bar with the **Compliance Evaluation Screen** checked out to the user.
2. Open the **Compliance Evaluation** screen and fully complete the **Description Tab**, making certain to enter the **Incident Number**. By entering the **Incident Number** on this tab, there is now a link to the **Incidents** screen.

3. Click on the **Checklist Tab** and answer **Yes to Save Changes**. Next, click on the **Include Requirements** button. On the **Requirement Selection** window, select the appropriate requirement set/subject item and click on **OK** (choose both "compliance with permit conditions" and appropriate requirement set for investigation). Click on the **Load Requirements** button. Once requirements have been loaded, click on **OK** and set the **Display Requirements For** dropdown to the requirement set/subject item you previously selected. Complete all checklist items appropriately.
4. Close the **Compliance Evaluation** screen, saving changes and check in the document.
5. Open the **Activity Tracking** and complete all appropriate tasks, including the **Hours to Complete**.
6. Supervisor review and creating an Enforcement Action will follow, in accordance with the Compliance Evaluation and Enforcement Action SOPs.
7. The investigator should select **Incidents** from the **Program Menu**. Click on the **Find Incident** button. Type in the **Incident Number** and click on **OK**. Highlight the incident that is retrieved and open the detail record. Click on the **Edit Incident** button and change the **Follow Up Status** on the **Description Tab** to either **Closed, Inv-no viol** or **Closed, Inv-w/viol**.

E) CALL RECEIVED BY A PROGRAM REPRESENTATIVE

1. When a call is received directly by a program representative, the person taking the call must determine if this is a notification *required by regulation* to be called into the Communications Center. Please see attachment A containing a listing of regulations that require DEP notification. If this is the case, the person should direct the caller to contact the Communications Center directly at **1-877-927-6337** or **609-292-7172**. If the caller refuses (either due to being transferred several times or being irate), the program representative should follow the steps below and then *immediately contact the Communications Center and notify them of the Incident Number and why he/she took the call*. (See Attachment A – Laws/Regulations Requiring Notification to Communication Center.)
2. The program representative should enter NJEMS and select **Incidents** from the **Program Menu**. Once on the **Incident List Window**, the user will click on **Create New Incident** button.
3. The **Reporter Tab** of the **Incident Detail Window** will now appear with the user's name and program listed in the **Received by** field. The user will capture, at a minimum, the **Reporter Type**, **Reporter Name**, and **Reporter Phone Number**.
4. The program representative should ask if the reporter wishes to be updated and/or remain confidential. If the answer to either one or both of these questions is yes, the program representative should check the appropriate box(es). Please be aware that if the **Confidential** check box is selected, upon saving, the Reporter information will change to asterisks and only persons with Whole Update access in NJEMS will be able to see this information.
5. If the program representative has any **Comments** pertaining to the reporter, these should be added to the **Comments** box on the **Reporter Tab**.
6. Next, the program representative will click on the **Description Tab** and complete as much information as possible, making certain to enter: **Incident Type**; **Occurrence Date and Time**; **Status of Incident**; **Incident Description**; **Incident Source** (if known); **Incident Location** – primarily **Municipality and County**; **Lead Investigator** (if known); **Follow Up Status = Pending** and click on the **Subs. & Impacts** button to record any materials (known or suspected) to be involved in this incident.
7. The program representative will now click on the **Action Tab**, add a row and enter the **Assigned** task and appropriate information. This task should be assigned to a program supervisor for appropriate follow up.

- a) If the program representative also assigns work, he/she will **Add Row** and make the following selections: **Task = Perform Investigation**; **Org = program name**; **Staff Assigned = person assigned to follow up**; and **Due Date**. **Comments** may be added, if necessary.
 - b) If the program representative does not assign work, then he/she can print either the **Notification Report** or **Incident Report** and give this to the person for assignment. Another option would be to email either the incident report or notification report to the person for assignment. Each program will decide which method is appropriate.
8. Follow up and documentation in NJEMS will occur at this point. Documentation of photos taken, samples taken, etc. should be recorded on the **Insp. Attributes** screen. (Refer to Section A) paragraph #6.)

F) MANAGEMENT REFERRALS THAT REQUIRE INVESTIGATION TO BE PERFORMED

1. When a Management Referral is received by a program or programs that requires a site visit, the program will either **Create a New Incident** in NJEMS to document this referral, following the steps in E above or find an existing incident record to document the **Management Referral #** and follow up.
2. On the **Description Tab**, there is a field to place the log number of this Management Referral. It is located at the bottom right of the screen and labeled **Management Referral #**. This field must be completed when you are following up on a Management Referral.
3. If more than one program is listed on the Management Referral, the programs involved should make an effort to determine if this investigation is in NJEMS and link the incidents from the **Incident List Window**. This is done by filtering to the incidents you wish to link; highlighting all of them; and clicking on the **Link** button on the bottom of the **Incident List Window**. If it is later determined that incidents were linked in error, they can be unlinked, by highlighting the one incident and clicking on the **Unlink** button at the bottom of the **Incident List Window**. You will receive a message box, stating that the incident will be unlinked to all other incidents and you will have to answer **OK**.
4. The task, **Mgmt. Ref. Resp. Prepared**, should be added to the **Action Tab** when the investigator has completed this task.

G) PRINTING REPORTS (COMMUNICATIONS CENTER NOTIFICATION AND INCIDENT)

1. To print the Communications Center Notification Report, you have two options:
 - a) From the **Reports Menu**; select **Incidents and Notification Report**. You will then be prompted to enter either the **Communication Center #** or a **Date Range (Start Date and End Date)**. This then retrieves the report to a **Print Preview** window, on which you click on the **Print** button to get a hard copy.
 - b) From the **Incident Detail Window**, click on the **Notification Report** button at the bottom of the **Action Tab**. This then retrieves the report to a **Print Preview** window, on which you click on the **Print** button to get a hard copy.
2. To print the Incident Report:
 - a) Select **Custom** from the **Reports Menu**. This retrieves a list of custom reports grouped by media area or program.
 - b) Next select **Enforcement Incident Report** and click **OK**. This then causes the **Connect** box to appear.
 - c) Enter **infomaker** for the **User ID** and **Password**. This then opens the **Incident Report Window**.

- d) Click on the **Incidents** button. You will be prompted to enter the **Incident Number**.
- e) Once a number is entered, the report will be retrieved.
- f) Select **File** and **Print** from the menu bar, then **OK** from the **Print Report** window to obtain a hard copy.

NOTE: There is a button on the Incidents screen that is currently disabled labeled Incident Report. In the future, this button will be enabled and you will be able to print the Incident Report simply by clicking on that button, similar to the Notification Report button listed above.

There are slight differences in the two reports, mostly in formatting. The Communications Center Notification Report was designed for use by the Communications Center when notifying programs. It very closely resembles their current notification report. The NJEMS incident number is not listed on this report. The Enforcement Incident Report was designed for use by inspectors, supervisors and management. It includes information from the Action Tab, including comments. Each program will determine which report they will use for notification and informing management of status of incident.

H) FAXING REPORTS FROM THE ACTION TAB

1. To fax a report from the **Action Tab**, the organization's fax number must be listed in the Organization Table in NJEMS.
2. On the **Action Tab**, you must **Add Row** and make the following selections: Task = **Notification-Fax**; Org = **program or organization to which you are faxing**; Staff Assigned = **DEP person, if applicable**; Completed Date = **today's date**; and Comments = **any applicable**.
3. Click on the **Fax** button. You will be asked **which report would you like to fax?**. You should select the **Communications Center Notification Report** and click **OK**.

NOTE: The Incident Report option does not currently work for the fax utility. In the future, this will be an option and you will be able to fax the Incident Report or the Communications Center Notification Report.

4. The report will be faxed to the appropriate entity. Confirmation will be received through the Right Fax utility on your PC.

I) EMAILING REPORTS FROM THE ACTION TAB

1. To email a report from the **Action Tab**, the person or organizations email address must be listed in the Org table or in the staff table in NJEMS.
2. On the **Action Tab**, you must **Add Row** and make the following selections: Task = **Notification-Email**; Org = **program or organization to which you are emailing**; Staff Assigned = **DEP person, if applicable**; Completed Date = **today's date**; and Comments = **any applicable**.
3. Click on the **Email** button. You will be asked **which report would you like to email?**. You may select either the **Communications Center Notification Report** or the **Incident Report**, and click **OK**.
4. The report will be emailed to the appropriate entity.

Laws/Regulations Requiring Notification to
NJDEP Communications Center1. New Jersey Spill Compensation and Control Act

N.J.S.A. 58:10-23.11 et. Seq.
N.J.S.A. 13:1K et. seq. [specifically 13:1K-17 (c)]-A310
N.J.A.C. 7:1E-5.3(a) Discharge Notification
N.J.A.C. 7:1E-5.4(a) Aircraft Discharge Notification
N.J.A.C. 7:1E-5.5(a) Notification of Malfunctions in Discharge Detection Systems
N.J.A.C. 7:1E-5.10(a) Discharge Reporting Requirements of Local Officials

2. CERCLA - Continuous Release Reporting

40 CFR, Parts 302-355-Notification to LEPC/SERC of Hazardous Substance Releases Which Are Continuous and Stable in Quantity And Rate

3. Emergency Planning and Community Right-to-Know Act

SARA Title III, Section 304-Immediate Reporting of Hazardous Substance Releases To LEPC/SERC
40 CFR 355.40(b)1-Immediate Reporting to LEPC/SERC of Releases Involving Reportable Quantities Of Extremely Hazardous Substances or CERCLA Hazardous Substances. Follow-up Written Notice Required.

4. Toxic Catastrophe Prevention Act

N.J.S.A. 13:1K-19 et. seq
N.J.A.C. 7:31-5.2(b)4I-Notification of An EHS Accident

5. Air Pollution Control Act

N.J.S.A. 13:1B, 13:1D-9
N.J.S.A. 26:2C-1 et. seq. [specifically 26:2C-19(e)]
N.J.A.C. 7:27-22.19(g)1I-Recordkeeping, Reporting and Compliance Certification.

6. Pesticide Control Act

N.J.S.A. 13:1D-1 et. seq.
N.J.S.A. 13:1F-1 et. seq. (specifically 13:1F-4)
N.J.A.C. 7:30-9.14(b)-Reporting of Pesticide Spills

7. Solid Waste Management Act

N.J.S.A. 13:1E-1 et. seq.
N.J.A.C. 7:26-2A.7(a)19-Sanitary Landfill Engineering Design Standards and Construction Requirements.
N.J.A.C. 7:26-2A.8(b)42iii(2)-Sanitary Landfill Operational And Maintenance Requirements.
N.J.A.C. 7:26-2A.8(k)2-Control of Smoking, Smoldering or Burning Landfills.
N.J.A.C. 7:26-2B.8(v)3ii-Additional Operational Requirements For Thermal Destruction Facilities
N.J.A.C. 7:26-3.6(g)8-Intermodal Container Facility.
N.J.A.C. 7:26-3.7(c)-Smoking, Smoldering or Burning Solid Waste in Solid Waste Vehicles.
N.J.A.C. 7:26-3A.37(d)1-Tranporter Management of Spills
N.J.A.C. 7:26-3A.39(i)15-Collection Facilities for Medical Waste.
N.J.A.C. 7:26-3A.39(k)3-Collection Facilities for Medical Waste.
N.J.A.C. 7:26A-6.6(d)3I-Standards for Used Oil Transporter And Transfer Facilities.

ATTACHMENT A (Continued)

8. New Jersey Water Pollution Control Act

N.J.S.A. 58:10 A-1 et. seq.

N.J.A.C. 7:14A-6.10(b), (c) & (d)-Non-Compliance Reporting (NJPDES)

9. Resource Conservation and Recovery Act

N.J.A.C. 7:26G-6.1-Standards Applicable to Generators Of Hazardous Waste-incorporating 40 CFR Subpart C-262.34(a) referring to 40 CFR Subpart D-265.56 (Haz Fac.)

N.J.A.C. 7:26G-7.1-Standards Applicable to Transporters Of Hazardous Waste-incorporating 40 CFR Subpart C-263.30a (Transportation)

N.J.A.C. 7:26G-8.1(c)4-Standards for Owners and Operators Of Hazardous Waste, Treatment, Storage and Disposal Facilities- incorporating 40 CFR Part 264

N.J.A.C. 7:26G-9.1(c)3-Interim Status Standards for Owners And Operators of Hazardous Waste Treatment, Storage and Disposal Facilities-incorporating 40 CFR Part 265.

10. Safe Drinking Water Act

N.J.S.A. 58:12A-1 et. seq.

N.J.A.C. 7:10-2.4(b)-Reporting of Changes to Plants and Emergencies.

11. Technical Requirements for Site Remediation

N.J.A.C. 7:26E-1.4(b)-Notifications

N.J.A.C. 7:26E-3.7(f)5-Site Investigation-Ground Water

N.J.A.C. 7:26E-6.3(b)4-Specific Remedial Action Requirements.

12. Underground Storage of Hazardous Substance Act

N.J.S.A. 58:10A-21 et. seq.

N.J.A.C. 7:14B-7.3(a)-Confirmed Releases.

13. Radiation Protection Programs

N.J.S.A. 26:2D-1 et. Seq.

N.J.A.C. 7:28-1.5(b)-Communications

N.J.A.C. 7:28-13.1-Reports of Theft or Loss of Radioactive Material

N.J.A.C. 7:28-13.2(a)-Reportable Radiation Incidents

N:\shared\drpsr\dre\bcss\bcss documents\center info other\lawsregs

ATTACHMENT B

EXAMPLE ACTION TAB FOR:

A) Call received by the Communications Center and referred to one DEP program.

Incident Detail									
Incident #		Sub		Description		Date From/To		Link	
Reporter		By		Destination		Status		Action	
12: [Description] [Location] [Evaluation] [1] [2] [3] [4] [5] [6] [7] [8] [9] [10] [11] [12] [13] [14] [15] [16] [17] [18] [19] [20] [21] [22] [23] [24] [25] [26] [27] [28] [29] [30] [31] [32] [33] [34] [35] [36] [37] [38] [39] [40] [41] [42] [43] [44] [45] [46] [47] [48] [49] [50] [51] [52] [53] [54] [55] [56] [57] [58] [59] [60] [61] [62] [63] [64] [65] [66] [67] [68] [69] [70] [71] [72] [73] [74] [75] [76] [77] [78] [79] [80] [81] [82] [83] [84] [85] [86] [87] [88] [89] [90] [91] [92] [93] [94] [95] [96] [97] [98] [99] [100] [101] [102] [103] [104] [105] [106] [107] [108] [109] [110] [111] [112] [113] [114] [115] [116] [117] [118] [119] [120] [121] [122] [123] [124] [125] [126] [127] [128] [129] [130] [131] [132] [133] [134] [135] [136] [137] [138] [139] [140] [141] [142] [143] [144] [145] [146] [147] [148] [149] [150] [151] [152] [153] [154] [155] [156] [157] [158] [159] [160] [161] [162] [163] [164] [165] [166] [167] [168] [169] [170] [171] [172] [173] [174] [175] [176] [177] [178] [179] [180] [181] [182] [183] [184] [185] [186] [187] [188] [189] [190] [191] [192] [193] [194] [195] [196] [197] [198] [199] [200] [201] [202] [203] [204] [205] [206] [207] [208] [209] [210] [211] [212] [213] [214] [215] [216] [217] [218] [219] [220] [221] [222] [223] [224] [225] [226] [227] [228] [229] [230] [231] [232] [233] [234] [235] [236] [237] [238] [239] [240] [241] [242] [243] [244] [245] [246] [247] [248] [249] [250] [251] [252] [253] [254] [255] [256] [257] [258] [259] [260] [261] [262] [263] [264] [265] [266] [267] [268] [269] [270] [271] [272] [273] [274] [275] [276] [277] [278] [279] [280] [281] [282] [283] [284] [285] [286] [287] [288] [289] [290] [291] [292] [293] [294] [295] [296] [297] [298] [299] [300] [301] [302] [303] [304] [305] [306] [307] [308] [309] [310] [311] [312] [313] [314] [315] [316] [317] [318] [319] [320] [321] [322] [323] [324] [325] [326] [327] [328] [329] [330] [331] [332] [333] [334] [335] [336] [337] [338] [339] [340] [341] [342] [343] [344] [345] [346] [347] [348] [349] [350] [351] [352] [353] [354] [355] [356] [357] [358] [359] [360] [361] [362] [363] [364] [365] [366] [367] [368] [369] [370] [371] [372] [373] [374] [375] [376] [377] [378] [379] [380] [381] [382] [383] [384] [385] [386] [387] [388] [389] [390] [391] [392] [393] [394] [395] [396] [397] [398] [399] [400] [401] [402] [403] [404] [405] [406] [407] [408] [409] [410] [411] [412] [413] [414] [415] [416] [417] [418] [419] [420] [421] [422] [423] [424] [425] [426] [427] [428] [429] [430] [431] [432] [433] [434] [435] [436] [437] [438] [439] [440] [441] [442] [443] [444] [445] [446] [447] [448] [449] [450] [451] [452] [453] [454] [455] [456] [457] [458] [459] [460] [461] [462] [463] [464] [465] [466] [467] [468] [469] [470] [471] [472] [473] [474] [475] [476] [477] [478] [479] [480] [481] [482] [483] [484] [485] [486] [487] [488] [489] [490] [491] [492] [493] [494] [495] [496] [497] [498] [499] [500] [501] [502] [503] [504] [505] [506] [507] [508] [509] [510] [511] [512] [513] [514] [515] [516] [517] [518] [519] [520] [521] [522] [523] [524] [525] [526] [527] [528] [529] [530] [531] [532] [533] [534] [535] [536] [537] [538] [539] [540] [541] [542] [543] [544] [545] [546] [547] [548] [549] [550] [551] [552] [553] [554] [555] [556] [557] [558] [559] [560] [561] [562] [563] [564] [565] [566] [567] [568] [569] [570] [571] [572] [573] [574] [575] [576] [577] [578] [579] [580] [581] [582] [583] [584] [585] [586] [587] [588] [589] [590] [591] [592] [593] [594] [595] [596] [597] [598] [599] [600] [601] [602] [603] [604] [605] [606] [607] [608] [609] [610] [611] [612] [613] [614] [615] [616] [617] [618] [619] [620] [621] [622] [623] [624] [625] [626] [627] [628] [629] [630] [631] [632] [633] [634] [635] [636] [637] [638] [639] [640] [641] [642] [643] [644] [645] [646] [647] [648] [649] [650] [651] [652] [653] [654] [655] [656] [657] [658] [659] [660] [661] [662] [663] [664] [665] [666] [667] [668] [669] [670] [671] [672] [673] [674] [675] [676] [677] [678] [679] [680] [681] [682] [683] [684] [685] [686] [687] [688] [689] [690] [691] [692] [693] [694] [695] [696] [697] [698] [699] [700] [701] [702] [703] [704] [705] [706] [707] [708] [709] [710] [711] [712] [713] [714] [715] [716] [717] [718] [719] [720] [721] [722] [723] [724] [725] [726] [727] [728] [729] [730] [731] [732] [733] [734] [735] [736] [737] [738] [739] [740] [741] [742] [743] [744] [745] [746] [747] [748] [749] [750] [751] [752] [753] [754] [755] [756] [757] [758] [759] [760] [761] [762] [763] [764] [765] [766] [767] [768] [769] [770] [771] [772] [773] [774] [775] [776] [777] [778] [779] [780] [781] [782] [783] [784] [785] [786] [787] [788] [789] [790] [791] [792] [793] [794] [795] [796] [797] [798] [799] [800] [801] [8									

ATTACHMENT C

EXAMPLE ACTION TAB FOR:

C) Call received by the Communications Center, referred to a program that refers it to CEHA agency.

Incident Detail

Incident: 0001 New York State Highway 100 Date: 06/27/2001

Apparatus: 1001 Hudson Co. Fire Engine 1001 Hudson Co. Fire Engine 1001 Hudson Co. Fire Engine

Personnel: 1001 Hudson Co. Fire Engine 1001 Hudson Co. Fire Engine 1001 Hudson Co. Fire Engine

Task	Organization	Staff Assigned	Due Date	Hours Spent	Comments	Name	Phone Number	Completed Date	Completed Time
Notification - Fax	Air - M		06/27/2001						
Assigned	Air - M	Sullivan, Byron						06/27/2001	
Referred to	Hudson Co HD							06/27/2001	
Notification - Fax	Hudson Co HD								
CEHA Response	Hudson Co HD		7/3/01						

Buttons: [Print] [Save] [Delete] [Add] [Cancel] [OK]

Buttons: [Incident Detail] [Apparatus] [Personnel] [Equipment] [Incident Summary] [Incident History] [Incident Search]

INCIDENT LOCATION TYPES

TYPE	DESCRIPTION
Residential	As described by the caller, an incident in a residential area.
Industrial	As described by the caller, an incident in an industrial area.
Commercial	As described by the caller, an incident in a commercial area (i.e., downtown area with stores, a mall, etc.)
Sensitive Population	As described by the caller, an incident in a sensitive area such as a school, hospital, etc.
Other	As described by the caller, an incident in an area that doesn't fit any of the other descriptions.
Urban	As described by the caller, incidents in a city type area (i.e., Trenton, Newark, etc.)

INCIDENT PRIORITY

PRIORITY	DESCRIPTION
High	To be defined by each DEP program.
Medium	To be defined by each DEP program.
Low	To be defined by each DEP program.
Unrated	To be defined by each DEP program.

INCIDENT CATEGORY

CATEGORY	DESCRIPTION
Facility	Incident occurred at a facility
Transportation	Incident occurred during transportation
Other	Incident that occurred neither at a facility nor during transportation

INCIDENT STATUS AT TIME OF REPORT

STATUS	DESCRIPTION
Continuous	The incident is still occurring at the time of the report.
Intermittent	The incident starts and stops over time.
Terminated	The incident has ceased.
Undetermined	The caller is uncertain as to the status.

INCIDENT TASKS

TASK	DESCRIPTION
Assigned	Used to document that an incident was received by a program and given to someone for him or her to assign an investigator, using the Perform Investigation task. This was added for accountability purposes.
CEHA Response	Used to document the date on which a response was due and received by a DEP program from a CEHA Agency.
Mgmt. Ref. Resp. Prepared	Used to document the date when a response to a Management Referral was prepared. The comments field may be used to document to whom the referral was given or where it can be found (i.e., a file number or an electronic file name).
Notification-A310	Used by the Communications Center to document that an A310 verbal notification has been completed and A310 letters will be sent.
Notification - Email	Used to document that an incident report or notification report was emailed, via NJEMS, to a DEP staff member. Used in conjunction with the Email button, located at the bottom of the Action Tab.
Notification - Fax	Used to document that an incident report or notification report was faxed, via NJEMS, to a program and/or agency. Used in conjunction with the Fax button, located at the bottom of the Action Tab.
Notification - Home	Used by the Communications Center to document that an individual was notified at their home.
Notification - Mail	Used by the Communications Center to document that a person, program or agency was notified by regular or interoffice mail.
Notification - Office	Used by the Communications Center to document that a verbal notification was made to an individual while they were in their office.
Notification - Page	Used by the Communications Center to document that a person was notified via pager.
Notification - Phone	Used by the Communications Center to document that notification to a person, program or agency was completed via telephone.
Notification - Radio	Used by the Communications Center to document that a person was notified via mobile radio.
Perform Investigation	Used to document the date(s) on which investigation activities (other than site visits), such as record reviews, phone calls and visiting tax offices, were performed and documenting any pertinent information in the Comments field. The Hours Spent is a cumulative total of all of these activities. Only one of these tasks should appear per investigation. <i>[NOTE: This definition supersedes the previous NJEMS definition that stated this task included both site visit and other activities performed during the investigation. As of the effective date of the Cross Department Incident SOP, the above definition came into effect.]</i>
Perform Sampling	Used to document the date(s) that sampling was performed in conjunction with an investigation. If more than one day is involved, multiple tasks should be added (one for each day).
Referred to	Used to document that the program involved in the investigation is referring this to either a CEHA Agency; another DEP program; or another State Agency for their action.
Review and Approve	Added by the inspector, but assigned to the supervisor, to document when the supervisor has completed his/her review of the "report".
Review Data Pkg	Used to capture the date and hours spent to review materials from the laboratory that analyzed the samples taken. Comments should be included as to a summary of the results.
Site Visit	Used to document the date(s) that a site visit was performed and to capture the results of this visit in the Comments field. If more than one day is involved, multiple tasks should be added (one for each day). Also, if more than one staff member is involved, a separate row is added for each staff member to capture the date, hours spent and any comments.

INCIDENT FOLLOW-UP STATUS

FOLLOW-UP STATUS	DESCRIPTION
Acknowledged	A routine notification was made for informational purposes only and the DEP made no response or investigation into it.
Awaiting Rev/Approve	This is an interim status used to help supervisors find incidents that require review and approval. Once considered complete the status will be set to a final status like Closed, Inv-no viol, Closed, Inv-w/viol or Inv., Not Confirmed.
CEHA – no viol	DEP referred the investigation to a CEHA agency that responded and conducted an investigation, which concluded without identification of any violations.
CEHA – w/viol	DEP referred the investigation to a CEHA agency that responded and conducted an investigation, which concluded with identification of one or more violations.
CI, Inv (Do Not Use)	This is the old Closed, Investigated status that can not be deleted because of historical data, but is not to be used when adding a new incident follow-up status.
Closed, Inv-no viol	DEP responded and conducted an investigation, which concluded without identification of any violations.
Closed, Inv-w/viol	DEP responded and conducted an investigation, which concluded with identification of one or more violations. When this status is used, there must be a link established from the CE screen which documents the violation, to the incident.
Inv., Not Confirmed	DEP responded but there was no longer an issue to agree or disagree with. The investigation has terminated upon responding. This may be due to not making contact with a complainant or the complainant retracting the complaint. This status is also used if the complaint is anonymous and upon arrival there is no reason found for concern. This status will essentially be used to identify where resources have been used fruitlessly.
Pending	The incident was recorded and may be under investigation. The staff assigned field will be populated if it is under investigation. In the new version, Pending incidents are assigned only if there is a value in the staff assigned field.
Referred	The incident record was provided to another authority for their attention.
Referred to Qtr. EER	This is an Air specific status that indicates the incident will be followed-up and concluded during review of the associated quarterly Excess Emission Report (EER).

Handbook on Nuclear Material Event Reporting in the Agreement States

Final Report

March 2006

**Office of State and Tribal Programs
U.S. Nuclear Regulatory Commission**

Contact: Andrea Jones

AVAILABILITY OF REFERENCE MATERIAL

NRC documents: Event Notifications, Preliminary Notifications, Inspection Manuals and Procedures, NUREG Series technical reports, Regulatory Guides, etc. are available at the NRC external Website under References at: <http://www.nrc.gov/reading-rm/doc-collections/>. The Office of State and Tribal Programs (STP) documents are available at the STP external Website at: <http://www.hsrdo.ornl.gov/nrc/>.

Paperwork Reduction Act Statement

The information collections contained in this report are covered by the requirements of NRC regulations contained in Title 10 of the U.S. Code of Federal Regulations. The Agreement States collect this information under compatible Agreement State regulations.

The collection of event information has been approved by the U.S. Office of Management and Budget, as follows.

"This information request has been approved by **OMB 3150-0178**, expiration date 09/03/2006. The estimated burden per response to comply with this collection request is 2 hours. Forward any comments regarding the burden estimate to the Information and Records Management Branch (T-6 F33), U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001, and to the Paperwork Reduction Project (3150-0052), Office of Management and Budget, Washington, DC 20503."

Public Protection Notification

If a document does not display a currently valid OMB control number, the NRC may not conduct or sponsor, and a person is not required to respond to, the information collection.

Abstract

The review and analysis of operational event information increases the effectiveness of the U.S. Nuclear Regulatory Commission (NRC) and Agreement State regulatory programs by identifying safety and security significant events and concerns, and their causes. The information from reports of medical events, overexposures, equipment failures, and other events that have occurred involving the use of nuclear materials licensed by either the NRC or the Agreement States is invaluable in assessing trends or patterns and identifying possible inadequacies or unreliability of specific equipment or procedures. The reported information will significantly aid in understanding why the events occurred and identifying any actions necessary to improve the effectiveness of NRC and Agreement States regulatory programs. The information is also used in preparation of NRC's performance report to Congress.

This handbook, which supercedes the previous May 23, 2001 version, has been developed to provide information to the staff of the Agreement and non-Agreement States that are responsible for the preparation of event reports for incidents and events involving the use of nuclear materials that have occurred in their State. Reporting of Agreement State material events to NRC is mandatory for purposes of compatibility. The handbook describes the procedure to be followed in reporting material events to NRC. Guidance is provided on what information should be reported, the level of detail, and where to report. Information is also provided on obtaining Federal assistance for radiological emergencies. Procedures for identifying and reporting Abnormal Occurrences (AOs) are also included. The objective of the handbook is to:

- Improve technical information
- Standardize format
- Ensure consistency
- Facilitate information retrieval

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1. Introduction

This handbook contains guidance for Agreement States on reporting material event information to the Nuclear Regulatory Commission (NRC) for events that have occurred in their State. It also provides guidance for use by non-Agreement States when reporting events involving lost, stolen or found sources of naturally occurring and accelerator-produced radioactive materials (NARM). At the request of the Conference of Radiation Control Program Directors (CRCPD), the Nuclear Material Events Database (NMED) captures voluntary reports on lost and stolen events involving NARM. The reported information aids in understanding why the events occurred and in identifying actions to help ensure public and occupational safety and security, and improve the overall effectiveness of the NRC and Agreement State regulatory programs. Guidance is provided on (1) reporting significant events to the NRC Operations Center; (2) providing 30-60 day notification and follow-up event information; (3) schedule for event reporting; (4) reporting formats (i.e., electronic reporting to the NMED or written reports (mail, Fax, or email) to the Director, Office of State and Tribal Programs (STP); and (5) reporting event information for events meeting the abnormal occurrence (AO) criteria. An appendix to the Handbook contains (1) a glossary of terms, and (2) a listing of reference materials. NOTE: This procedure does not contain guidance on NMED data entry (coding). For guidance on data entry, an electronic copy of the NMED users guide has been included with the local Microsoft Access software program.

1.1 Why do we collect event information?

Operating experience is an essential element in the regulatory process for ensuring that licensed activities are conducted safely. Reporting operating incidents and events helps to identify deficiencies in the safe use of AEA radioactive material and to ensure that corrective actions are taken to prevent recurrence. A 1993 General Accounting Office (GAO) report identified the compilation and presentation of national materials data as an area for improvement and recommended that NRC take appropriate action to ensure that the information on radiation events is reported completely and accurately. Further, reliable information should be available to NRC, the Congress, and the States to identify patterns and trends and determine appropriate changes for the programs.¹ Event information is reported to Congress annually and used to demonstrate that the Agency and the States are meeting the safety and security goals and the corresponding strategic outcomes in the NRC's strategic plan. NRC conducts reviews of all operating experience reports, from both NRC licensees and Agreement States, to identify safety concerns early, and to further evaluate individual safety concerns for any *generic safety issues*

¹ Nuclear Regulation: Better Criteria and Data Would Help Ensure Safety of Nuclear Materials, GAO/RCED-93-90.

(GSIs) that could apply to a broader class of licensees. Prompt reporting of event information, including 30 day report information, and updates to events, helps the staff identify or detect possible safety concerns as early as possible. An event or condition could, by itself appear insignificant, but when compared with national information, could become a generic concern. In-depth analysis of event report data may result in the identification of actions that could lead to improvements in the effectiveness of NRC and Agreement State regulatory programs. Event analysis may also result in the issuance of information notices warning of possible safety concerns and assessment of the need for regulatory changes or revisions. Feedback is provided to Agreement State regulators, the industry, and the public.

NRC publishes a quarterly report that presents information on the results of statistical analysis of event data and any significant or generic issues or concerns. The *Nuclear Material Events (NMED) Database Quarterly Report* is available in electronic form at the NMED Internet Website: <https://nmed.inl.gov>. NRC's Office of Nuclear Material Safety and Safeguards (NMSS) publishes a nuclear material newsletter, *NMSS Licensee Newsletter*, NUREG/BR-0117, that includes information on safety concerns identified during that quarter.

1.2. What is the governing regulatory authority?

- Under Section 274 of the AEA, Agreement States have assumed regulatory authority over byproduct source and certain quantities of special nuclear materials. The AEA directs NRC to cooperate with the States in the formulation of standards to protect employees or the general public against hazards of radiation and to assure that State and Commission programs will be coordinated and compatible. Article VI of the Agreement Between the State and the USNRC states that "the State and the Commission agree to keep each other informed of events, accidents, and licensee performance that may have generic implications or otherwise be of regulatory interest."
- Under the AEA and the Energy Reorganization Act of 1974 (ERA), as amended, the NRC evaluates material event reports for both NRC and Agreement State licensees, and AOs that have occurred in licensed facilities. In addition, the ERA requires NRC to provide to Congress on an annual basis, information on significant events that meet the AO criteria.
- Under the Government Performance Results Act of 1994 (GPRA), Federal agencies are required to establish measurable outcome oriented performance goals linked to Agency programs and activities in a strategic plan. An annual performance report to Congress is prepared that evaluates the NRC materials program against the metric performance goals. The metric goals are based on current and historical event

reporting data. Due to the importance of nationwide operating experience as an essential element in the regulatory process for ensuring that licensed activities are conducted safely, the Commission directed the staff to make Agreement State reporting of events to NRC's NMED database an item of compatibility (See Reference section, June 30, 1997, SECY-97-054). The implementing procedures are contained in STP Procedure SA-200 (See Reference section).

- The guidance contained in this handbook is to assist NRC and Agreement State staff in the joint sharing and analysis of event information. It does not address evaluation of Agreement State programs. The AEA directs the Commission to periodically review actions taken by the States under the Agreements to insure adequacy and compatibility with the provisions of the Act. NRC conducts periodic evaluations of Agreement State programs under the *Integrated Materials Performance Evaluation Program (IMPEP)*, which includes an evaluation of event response, reporting, follow-up, and close-out. (See Reference for STP Procedures SA-100, *Implementation of the Integrated Performance Evaluation Program (IMPEP)* and SA-105, *Reviewing Common Performance Indicator #5, Response to Incidents and Allegations*).

1.3 How do you determine if an event is reportable?

Agreement States should report to NRC all events reported to their State by State licensees under State regulations equivalent to NRC's reporting requirements. Table 1, "Regulatory Reporting Requirements," of this guide contains a listing of the *U.S. Code of Federal Regulations (10 CFR)* regulatory reporting requirements for material event information. The 10 CFR reporting requirements form the basis for equivalent reporting requirements in Agreement State regulations. The listing references the specific 10 CFR reporting requirements, followed by a brief description of the types of events that fall under the reporting requirement, and the periodicity for reporting. Table 2, "Examples of Reportable Events," provides examples of reportable material events or occurrences that are required to be reported by both NRC and Agreement State material licensees.

The States are encouraged to **voluntarily** report an occurrence that actually happened (event) or something that may happen (condition) that does not meet the regulatory reporting criteria that the State believes might be of safety significance or of generic interest or concern, or involves media interest.

Table 1. Regulatory Reporting Requirements

NRC reporting requirements are contained in multiple Parts of Title 10 of the Code of Federal Regulations (10 CFR). The following provides a complete listing of the current 10 CFR material reporting requirements for which Agreement States should have compatible regulations.

10 CFR Part	Reporting Category		Brief Summary of Reporting Requirement	Notification
	Significant	30-60 Day		
20, Standards for Protection Against Radiation	20.1906(d)(1)		reports of removable contamination on package > limits in 10 CFR 71.87.	Immediate
	20.1906(d)(2)		radiation levels on package > limits in 10 CFR 71.47	Immediate
	20.2201(a)(1)(i)		reports of theft or loss of licensed material > 1000 X App C value	Immediate
		20.2201(a)(1)(ii)	reports of theft or loss of licensed material > 10 X App. C value	30 days
	20.2202(a)(1)		exposure (real or threatened) \geq TEDE of 25 rem (.25 Sv), or eye or lens dose equiv. of 75 rem (.75 Sv) or shallow dose equiv. (skin/extremities) of 250 rads (2.5 Gy).	Immediate
	20.2202(b)(1)		exposure (real or threatened) \geq TEDE of 5 rem (.05 Sv), or eye or lens dose equiv. of 15 rem (.15 Sv), or shallow dose equiv. (skin/extremities) of 50 rads (.5 Gy).	24 hours
	20.2202(a)(2)		release where individual could have intake > 5 X ALI over 24 hours.	Immediate
	20.2202(b)(2)		release where individual could have intake > 1 X ALI over 24 hours	24 hours
		20.2203(a),	radiation exposures, releases or concentrations of radioactive material that exceed the limits.	30 days
30, Rules of General Applicability to Domestic Licensing of Byproduct Material	30.50(a)		events involving prevention of immediate protective action, involving exposures or releases that could exceed regulatory limits	4 hours
	30.50(b)(1)		events involving unauthorized contamination restricting access > 24 hours (no radionuclide with half-lives < 24 hrs)	24 hours
	30.50(b)(2)		events involving equipment failure or disability to function as designed when equipment is required to be available and operable and no redundant equipment is available and operable, includes source disconnection and failure to retract source	24 hours
	30.50(b)(3)		events involving unplanned medical treatment of contaminated person	24 hours

Table 1. Regulatory Reporting Requirements

NRC reporting requirements are contained in multiple Parts of Title 10 of the Code of Federal Regulations (10 CFR). The following provides a complete listing of the current 10 CFR material reporting requirements for which Agreement States should have comparable regulations.

10 CFR Part	Reporting Category		Brief Summary of Reporting Requirement	Notification
	Significant	30-60 Day		
	30.50(b)(4)		events involving fire, explosion affecting integrity of material, device or container, and material exceeds 5Xs ALI	24 hours
31, General Domestic Licenses for Byproduct Material		31.5(c)(5)	failure or damage to shielding, on-off mechanism or indicator, or ≥ 0.005 microcuries (185 Bq) removable radioactive materials for generally licensed device	30 days
34, Licenses for Radiography & Radiation Safety Requirements for Radiographic Operations		34.27(d)	reporting of leaking sources, leak test results ≥ 0.005 microcurie (185 Bq), includes source disconnect and failure to retract source	5 days
		34.101(a)	radiography source disconnection, inability to retract source, or component failure (critical to safe operation of device)	30 days
35, Medical Use of Byproduct Material	35.3045		notifications and reports of medical events involving administration and use of byproduct materials, with the exception of patient intervention events ²	24 hours
	35.3067		leak testing sealed sources and brachytherapy sources	5 days
	35.3047		events involving an excessive dose to an embryo/fetus or a nursing child	24 hours
36, Licenses & Radiation Safety Requirements for Irradiators	36.83		irradiator events, release of material, defective components, systems or structures; (if not reported under other 10 CFR reporting requirements)	24 hours
39, Licenses & Radiation Safety Requirements for Well-Logging	39.35		leaking sealed sources found during periodic leak testing requirement	5 days
	39.77 (a)		well logging source rupture	Immediate
	39.77(b)		theft or loss, exposures, excessive concentration of rad material	24 hours

² Medical events require 15 day-licensee event report and 24 hour notification to referring physician and patient.

Table 1. Regulatory Reporting Requirements

NRC reporting requirements are contained in multiple Parts of Title 10 of the Code of Federal Regulations (10 CFR). The following provides a complete listing of the current 10 CFR material reporting requirements for which Agreement States should have compatible regulations.

10 CFR Part	Reporting Category		Brief Summary of Reporting Requirement	Notification
	Significant	30-60 Day		
		39.77(c) and (d)	when apparent recovery impossible, irretrievable source, abandonment	30 days
40, Domestic Licensing of Source Material	40.26(c)(2)		tailings or waste retention system failure that results in a release of material into unrestricted areas, or unusual conditions	Immediate
	40.60(a)		requirements for domestic licensing of source material to receive, possess, use, transfer, or deliver source and byproduct material (NOTE: Same as 30.50 above)	
70, Domestic Licensing of Special Nuclear Material	(b)(1) (b)(4) 70.60(a)(2)	70.50 (b)	events involving special nuclear material (SNM)	(a) 24 hours (b) 30 days (c) 60 days
71, Packaging and Transportation of Radioactive Material	71.5 49 CFR 171.15(a)(1) and (2)	(c)	49 CFR 171.15 (a)(1) events involving hazardous materials (which include radioactive materials) that result in an individual's death, injury requiring hospitalization, carrier or property damage in excess of \$50,000, evacuation of the general public for at least one hour and the closure of one or more major transportation facility or roadway for at least one hour. 49 CFR 171.15(a)(2) requires the immediate reporting of fire, breakage, spillage, or suspected radioactive contamination occurs involving the shipment of radioactive material	Immediate

Table 2. EXAMPLES OF REPORTABLE EVENTS

This Table provides examples of reportable material events or occurrences that are required to be reported by both NRC and Agreement State material licensees. The Table addresses specific reporting requirements for either immediate notification (within 24 hours or less) or 30 day written reports.

Immediately reportable under 10 CFR 20.2201(a)(i)	<p>Stolen Portable Moisture Density Gauge</p> <p>Licensee reported that a [Manufacturer] [Model #] [serial #] portable gauge containing 10 millicuries of Cesium-137 and 50 millicuries of Americium-241: Beryllium was stolen from the licensee's vehicle parked at the licensee's facility. The gauge was padlocked in its original carrying case. The State is following the incident and working with local authorities to develop a press release. Local law enforcement and the FBI have been notified. Follow-up information will be provided to NRC on the recovery of the stolen gauge and entered into NMED.</p>
Reportable within 24 hours under 10 CFR 30.50(b)(2)	<p>Possible Loss of Control and Damage to Portable Gauge</p> <p>Licensee reported that a [Manufacturer] [Model #] [serial #] moisture density gauge had been damaged on March 28, 2001. The gauge contained 7.9 millicuries of Cesium-137 and 40 millicuries of Americium-241. A technician left the gauge unattended for a brief time and upon returning found that a construction vehicle had run over the gauge. The source rod was broken but the source was undamaged and remained in the shielded position. Wipe tests and instrument survey verified no leakage. The gauge was returned to the manufacturer for repair. The licensee was cited for not keeping licensed material under constant surveillance in an unrestricted area. Report has been entered in NMED.</p>
Immediately reportable under 20.1906(d)(2)	<p>Shipment of Brachytherapy Sources Received with Radiation Levels Exceeding Regulatory Limits</p> <p>A medical licensee reported receiving a shipment of two packages containing cesium-137 brachytherapy sources. Radiation surveys of the packages found radiation levels of 250 millirem per hour on one package, which exceeds the State and Federal limit at the external surface of a package of 200 millirem per hour. The third and final package was received two days later with radiation levels of 400 millirem per hour at the surface of the package. The shipper has retained a consultant to determine the cause of the elevated radiation levels. The State will keep NRC informed of the results of the consultants review of the event, and the information will be entered into NMED.</p>

<p>Reportable within 24 hours under 10 CFR 20.2203 20.2203, 30.50(a)</p>	<p>Exposure to Nonradiation Worker at a Licensed Facility</p> <p>A licensee reported to the State that a nonradiation worker had received an exposure as a result of picking up a 5 curie Americium-241:Beryllium neutron source used for well logging and placing it in his pocket. The worker, a temporary contractor employee, was cleaning a well logging tool at the licensee facility. (The licensee was under the assumption that all of the source material had been removed from the equipment.) While cleaning the tool, the source fell out, and the worker picked it up and placed it his pocket. The worker was not a radiation worker and had no knowledge of what the object was. Preliminary calculations performed by [identify Consultant/Contractor] indicate that the individual may have received a dose of 4-6 Rem. The licensee's RSO is investigating the incident. The State plans to keep NRC informed of the ongoing results of the investigation, and the information will be entered into NMED.</p>
<p>Reportable within 24 hours under 10 CFR Parts 35.3045 and 30.50(b)(2)</p>	<p>Possible Medical Event involving a Teletherapy Unit Malfunction</p> <p>A patient undergoing a Cobalt-60 Teletherapy treatment with a [Manufacturer][Model #] received an unintended exposure (identify organ). The RSO estimated that the patient received an exposure of 138 centigray (rads) to a depth of 0.5 centimeters to the wrong treatment site, based on a possible total treatment time of 1.5 minutes. The exposure occurred as a result of two power disruptions during a thunderstorm. The loss of electrical power caused the unit table to move which resulted in treatment to the wrong site. The patient received 0.35 minutes of the intended fractionated treatment time of 1.5 minutes. The patient was prescribed a total dose of 5,040cGy (rads) to be given in 28 fractions of 180 cGy (rads) per day at the rate of 5 fractions per week. The prescribing physician elected not to make up the missed dose. The prescribing physician indicated that the patient is not expected to have any adverse effects from the medical administration. The patient and referring physician were notified of the event. The licensee was able to recreate the event to demonstrate how the event occurred. The licensee has contacted the manufacturer. The State will keep NRC informed of the results of the review for any generic implications.</p>
<p>Reportable within 24 hours under 10 CFR Part 35.3045</p> <p>Note: May be classified as a potential AO.</p>	<p>Medical Event high dose rate (HDR) afterloader device</p> <p>A cancer patient undergoing therapeutic radiation treatment for prostate cancer received 18 Gy (1,800 rads) to the wrong treatment site. This error occurred using a HDR afterloader device with a radioactive source containing 270.7 GBq (7.32 Ci) of Ir-192. The event occurred after the dosimetrist made an error while inputting data into the afterloader's dosimetry software program. Although the dosimetrist appropriately clicked the "catheter tip" selection, the dosimetrist did not highlight and choose "catheter tip." Therefore, the computer cursor stayed on the "connector end" selection. This resulted in a 2-cm positioning error, which caused the source to stop short of the target so that the total prescribed dose was not delivered. The patient was informed of the event, and the remaining dose was delivered by external beam therapy. The State accepted the licensee's implementation of new procedures and its corrective actions as appropriate.</p>

<p>Reportable within 24 hours under 10 CFR Part 35.3045</p> <p>Note: May be classified as a potential AO.</p>	<p>Medical event involving the wrong treatment site</p> <p>Licensee notified the State that a patient received greater than 1000 cGy (rads) to the wrong treatment site during an I-125 prostate gland treatment involving 88 I-125 seeds with an activity of 11.1 MBq (0.3 mCi) per seed with a total activity of 1.0 Gbq (26.8 mCi). The prescribed treatment was for 14,500 cGy (rads) to the prostate gland. Due to a coordinate error, the administration resulted in a partial treatment of the intended site and greater than 1,000 cGy (rads) to the rectum. The patient was notified of the error and the treatment was re-administered correctly. The State plans to update the NMED record with details of licensee corrective actions to prevent recurrence.</p>
<p>Reportable within 24 hours under 10 CFR Parts 36.83(a)(9), 30.50(b)(2)</p>	<p>Possible Loss of Water or Leakage from Source Water Pool at Irradiator Facility</p> <p>Licensee notified the State that the controls at a Co-60 irradiator facility were indicating that the water level was low, circulating pump off, and fill valves were open. The pool water level gauge indicated pool water level of 93 inches, well below the normal level of 137 inches. Previous incidents indicated that a loss of compressed air pressure to the water level gauge could result in an erroneously low water level gauge reading, causing the automatic pool fill valves to open, and the pool water circulating pump to turn off. The compressed air system pressure was found to be in the normal range, but the operator found water and congealed oil in the air line supplying the pool water level gauge, and the air line supplying the elevator control valve. Further investigation found that the compressed air line water traps were full of water. A past similar incident resulted in a failure to raise the elevator. The operator then verified that the pool water level was in fact normal. The licensee requested the building maintenance personnel to diagnose and repair the compressed air supply immediately, to prevent the conductivity in the pool water from reaching abnormal levels as a result of the resin filter circulating pump being automatically turned off by the false low pool water level meter reading. Maintenance personnel responded and replaced a failed compressed air dryer, and monitored the open air lines to clear the lines of water. A float activated automatic water drain was installed in the air line to prevent a possible recurrence by allowing any water to automatically drain from the air line.</p>

1.4 What is the Nuclear Material Events Database (NMED)?

The NMED database contains a historical collection of information on the occurrence, description, and resolution of events involving the use of radioactive material in the United States (source, byproduct, special nuclear material, and a limited number of events involving naturally occurring, and, in some cases, accelerator-produced radioactive material that was initially identified as "unknown radioactive material" and later found to be non-AEA material). NMED accommodates the sharing of material event data submitted by Agreement and non-Agreement States and the NRC. The data includes information on material events from January 1990 through the present. NMED is being evaluated with respect to inclusion of events involving NARM or discrete NORM. The States will be notified of any changes made to NMED. The database is maintained by NMSS through a contractor, Idaho National Laboratory (INL).

1.5 Reporting Lost, Stolen and Abandoned Sources

Title 10 CFR 20.2201 mandates that each licensee report, by telephone, its discovery of any lost, stolen, or missing licensed material that exceeds specified quantities. Specifically, 10 CFR 20.2201(a)(1)(i) requires an immediate call if the licensed material is equal to or greater than 1000 times the quantity specified in Appendix C to 10 CFR Part 20, under such circumstances that an exposure could result to persons in unrestricted areas. Title 10 CFR 20.2201(a)(1)(ii) requires a call, within 30 days after the occurrence of any lost, stolen, or missing licensed material becomes known to the licensee, in a quantity greater than 10 times the quantity specified in Appendix C to 10 CFR Part 20, that is still missing at the time. Title 10 CFR 20.2201(b) requires a written report within 30 days after making the telephone call required by 10 CFR 20.2201(a). Title 10 CFR 20.2201(d) requires that, subsequent to filing the written report, the licensee report any additional substantive information on the loss or theft of the licensed material within 30 days of the knowledge of the substantive information.

The terrorist attacks on September 11, 2001, alerted regulators, licensees, and the public to the possible use of radioactive material as a terrorist weapon. Because of this possibility, it is important that any event, including transportation, involving sources in quantities greater than or equal to the *quantities of concern* (See Table 3, Radionuclides of Concern) that are lost, stolen or abandoned must be reported to the NRC Headquarters Operations Center immediately. The Commission has since codified these requirements in Appendix P to 10 CFR Part 110, "High-Risk Radioactive Material, Category 2." "High-Risk"

describes sources that could be used for malicious purposes to cause harmful effects. "Immediately" is interpreted as 4 hours after an Agreement State has been notified of the event by a licensee. The International Atomic Energy Agency (IAEA) described these high-risk sources and their activity thresholds in its draft TECDOC-1344, entitled "Categorization of Radioactive Sources." That document provides the supporting technical basis for the IAEA's Code of Conduct [the Code] on the Safety and Security of Radioactive Sources, as listed in Categories 1 and 2 of Table 3 to the Code. The rationale for this immediate notification standard is to facilitate prompt coordinated Federal response in situations involving lost, stolen, or abandoned sources involving quantities of concern.

In order to ensure the safe handling, use, and control of licensed material in transportation for domestic highway and rail shipments by a carrier other than the licensees, for quantities that equal or exceed those in Table 3 but are less than 100 times Table 3 quantities, per consignment, the licensee shall confirm receipt of the shipment; and initiate an investigation to determine the location of the licensed material if the shipment does not arrive on or about the expected arrival time. When, through the course of the investigation, it is determined that the shipment has become lost, stolen, or missing, the licensee shall immediately notify the appropriate Agreement State regulatory agency. If, after 24 hours of investigation, the location of the material still cannot be determined, the radioactive material shall be deemed missing and the Agreement State licensee shall immediately notify the appropriate Agreement State regulatory agency.

Although NMED typically contains only events involving AEA material, the NMED database was expanded in 1998 to include voluntary reports of non-AEA orphan discrete sources (sources that are found but where the owner could not be identified), and expanded again in 2002 to capture voluntary reports of lost or stolen non-AEA discrete sources. This was done at the request of CRCPD to support their national effort to track lost stolen and recovered radioactive material of all types (including non-AEA and unlicensed material) found in both Agreement and non-Agreement States. The reportable as well as voluntary data on *lost, stolen, and abandoned sources* will be collected from Agreement and non-Agreement States, and in some cases non-licensee organizations and members of the public. Agreement and Non-Agreement States should follow the guidance provided in Section 2, "Reporting Material Events," to report any lost, stolen and abandoned non-AEA and unlicensed material. (See All Agreement State Letter SP-98-018, March 17, 1998).

16 Reporting Theft or Terrorist Activity Events
(reportable within 4 hours)

FBI notification should be considered if an event involves the possibility of *theft or terrorist activities*. Agreement States are required to notify the NRC Headquarters Operations Center immediately in cases involving actual or attempted theft, sabotage, or diversion of radioactive material containing quantities greater than or equal to the quantities of concern of radioactive material as defined in Table 3. Agreement State Regulatory Agencies should notify the FBI or Local Law Enforcement Agency (LLEA) in all cases of actual theft, sabotage, diversions and possible terrorism of radioactive material, regardless of the quantity of radioactive material involved. This includes intentional use of radioactive materials that could be used in an unauthorized malevolent manner that could lead to serious consequences. In cases of theft or terrorist activities, after initial appropriate responses are made to the FBI or LLEA, Agreement States Regulatory Agencies shall promptly as possible, notify the NRC Operations Center. Agreement States should coordinate with the NRC, their communications with other local, Federal and State Agencies, to ensure that shared information is accurate and consistent. Based on health and safety significance the issuance of a press release should also be considered. (See All Agreement State Letter SP-98-038, dated May 5, 1998, regarding expansion of the FBI criminal investigative jurisdiction to include byproduct material. A revision to the U.S. Code assigns lead responsibility for material events involving *theft or terrorist activities* to the FBI.)

Table 3: Radionuclides of Concern

Radionuclide	Quantity of Concern (TBq)	Quantity of Concern (Ci)
Am-241	0.6	16
Am-241/Be	0.6	16
Cf-252	0.2	5.4
Cm-244	0.5	14
Co-60	0.3	8.1
Cs-137	1	27
Gd-153	10	270
Ir-192	0.8	22
Pm-147	400	11,000
Pu-238	0.6	16
Pu-239/Be	0.6	16
Se-75	2	54
Sr-90 (Y-90)	10	270
Tm-170	200	5,400
Yb-169	3	81
Combinations of radioactive materials listed above ³	See Footnote Below ⁴	

¹ The aggregate activity of multiple, collocated sources of the same radionuclide should be included when the total activity equals or exceeds the quantity of concern.

² The primary values used for compliance with this Order are TBq. The curie (Ci) values are rounded to two significant figures for informational purposes only.

³ Radioactive materials are to be considered aggregated or collocated if breaching a common physical security barrier (e.g., a locked door at the entrance to a storage room) would allow access to the radioactive material or devices containing the radioactive material.

⁴ If several radionuclides are aggregated, the sum of the ratios of the activity of each source, i of radionuclide, n , $A_{(i,n)}$, to the quantity of concern for radionuclide n , $Q_{(n)}$, listed for that radionuclide equals or exceeds one. $[(\text{aggregated source activity for radionuclide A}) \div (\text{quantity of concern for radionuclide A})] + [(\text{aggregated source activity for radionuclide B}) \div (\text{quantity of concern for radionuclide B})] + \text{etc.} \dots \geq 1$

2. Reporting Material Events

In accordance with the provisions of compatible Agreement State regulations, Agreement State licensees are required to report the occurrence of material incidents and events to the Agreement State regulatory agency. As an item of compatibility, the Agreement States provide reports of incidents and events involving the use of nuclear materials by Agreement State licensees to NRC. Non-Agreement States have been requested by CRCPD to voluntarily report any lost, stolen and abandoned non-AEA and unlicensed material. This section presents information on reporting (1) significant events to the NRC Operations Center, (2) 30-60 day reportable events, and (3) follow-up event information.

2.1. Reporting Significant Events (Reportable within 24 hours by Agreement State licensee)

Agreement States should report significant events to the NRC Operations Center within 24 hours of notification by an Agreement State licensee. Significant events are those requiring prompt notification as determined under applicable Agreement State regulations. Information should be reported to the NRC Operations Center via voice at (301) 816-5100 or (301) 951-0550 or by FAX at (301) 816-5151. A Sample FAX page (Exhibit 1) has been included on page 9. States should assign an Event Report Identification Number [No.]. The format for this number is described in Section 2.4.a. ***"Assign Event Report Identification Number."***

2.2. Initial NMED Record for Significant Events

A copy of the initial event notification information received from an Agreement State on significant events is used by INL to establish an initial record in the national NMED database. INL will use the *Event Report Identification No.*, when entering the initial event record into NMED. The Event Report No. is reflected in the "Reference" field of the NMED record and should be used when providing updates to the initial NMED event record using the State's local Microsoft Access, NMED database. (See Section 2.5, of this Handbook for guidance on reporting follow-up event information to NMED). In addition, each event entered into NMED is assigned an unique NMED item number.

*Radiological Emergency Response Assistance
Available to the States for Significant Material Events*

States may request Federal assistance through the NRC Operations Center staff. The Federal government, upon request, has the capability to provide assistance to States in responding to radiological emergencies. Under the National Response Plan (NRP), NRC is the lead Federal agency (LFA) for radiological emergencies involving AEA material where the material can be traced back to an individual NRC or Agreement State licensee. As the LFA, NRC is responsible for coordination of the Federal response, including providing assistance from NRC and arranging for assistance from other agencies, e.g., FEMA, DOE, etc., as requested by the States. Federal assistance is available to provide ground and aerial radiological monitoring (e.g., missing source), medical advice on radiation effects and treatment, consequence projection, and protective action assessment.

FAX TO: NRC OPERATIONS CENTER

Agreement State Agency: [State] Dept. of Health, Division of Radiation Protection

Event Report ID No.: State ID, YY, No., e.g. TN-06-001

License No.: CL-Z00X-1
Licensee: County Inspection Inc.

Event date and time: April 6, 2006 between 4:00 and 5:00 am

Event location: City, State

Event type: Stolen Radiography Device
Notifications: [State] Dept. of Health has notified local police, and the FBI due to possibility of unlawful criminal activity. Press release has not been issued at this time.

Event description: [State] Dept. of Health was notified on [date], by a representative from [licensee], of the theft of a radiography exposure device [camera] from a locked equipment trailer on Thursday morning, April 6, 2006. The locked camera and the keys to the camera were stolen. The radiography camera is identified as XYZ Company, Model 160B, serial No. B-3333, containing [radionuclide] [activity, when known] 88.3 curies of Iridium-192. The device cables were not stolen.

The State has an inspector on site and will continue to keep NRC informed of the status of our investigation.

Transport vehicle description: N/A

Media attention: [State] Dept. of Health has received inquiries from the media

Point of contact: Minnie C. Gauges, 301-415-0001

Exhibit 1. Sample FAX Sheet to NRC Operations Center

Agreement States should report events requiring greater than 24 hours notification by Agreement States licensees, as determined under applicable Agreement State regulations, to NRC on a monthly basis. For reference, NRC reporting requirements for events are presented in Table 1. Reports may be made either electronically or in written form. NRC staff encourages Agreement States to electronically report all events using the NMED database software and entry screens.

The following paragraphs provide additional information on reporting events and NMED. For guidance on data entry, an electronic copy of the NMED users guide has been included in the local Microsoft Access NMED software program. The NMED software program also contains downloadable sample NMED data entry screens.

a. *Assign Event Report Identification Number*

This number should appear on all reports, including preliminary, initial notification reports, and any follow-up reports. The Event Report No. should consist of the two letter State agency ID, two digit year corresponding to the reporting year, and a sequentially assigned four digit ID number. For events occurring in the State of New York, events should be numbered sequentially following the specific Agency ID and the two digit year (e.g. for New York State Department of Labor, NYDOL-06-001; or New City Department of Health and Mental Hygiene, Office of Radiological, NYC-06-001.) The Event Report ID No. should be referenced by the State for all telephone, electronic or written notification involving each specific event.

b. *Basic Event Information*

Table 4, "Minimum Basic Event Information for a Complete Report," provides a listing of the minimum event information that should be provided. When submitting an initial event report, please provide as much information as is known at the time the report is prepared regarding the items indicated in the table. Updated information should be subsequently provided in follow-up reports (see Section 2.5).

c. *Electronic Reporting to NMED*

Provide an electronic NMED report via E-mail or electronic storage media to the NMED contractor, based on the information provided by the Agreement State licensee in the 5, 15, 30 or 60 day report to **NMED@INL.GOV**. If you need additional help, you may contact the INL NMED Project Manager, electronically via Internet email at: **NMED@inl.gov**, or the NRC NMED Project Manager, Michele Burgess, via e-mail **NMEDNRC@nrc.gov**. For contact via telephone, refer to the contact information on the homepage of the NMED website.

Table 4. Minimum Basic Event Information for a Complete Report	
1. Essential Details (Provide)	2. Source/Radioactive Material/Devices
a. State Event Report Identification No.	a. Isotope and activity; manufacturer, model and serial number; leak test results, if applicable.
b. Licensee name and location, including licensing State.	b. For events involving lost, stolen or abandoned material does source exceed IAEA Category 2 quantity? Provide monthly event update through closure of event.
c. License No. or identify as General Licensee, (if applicable).	c. For equipment/device involved indicate the make, model and serial no. and provide clear description of any equipment problems.
d. Event date, time of occurrence and location (site) of event.	3. Release of Licensed Material or Contamination
e. Event circumstances and details including source radionuclide and activity.	Release type (air or water); contamination (person or surface); isotope and activity released
f. Date State Agency was notified of event by licensee or non-licensee.	4. Medical Event
g. Notifications: local police, FBI, and other States; as needed.	a. Procedure administered; dose intended and dose administered; isotope and activity administered; target organ.
h. Whether the event is NRC reportable and the applicable State reporting requirement.	b. Patient and Referring Physician notified?
i. Persons involved. Note: include position title(s) but do not submit personal or privacy information.	5. Overexposure
j. Licensee corrective actions and what actions were performed to prevent recurrence?	a. Indicate short and long-term health effects and exposure type (e.g., whole body or extremity)
k. Possible generic safety concerns.	b. Is event a potential Abnormal Occurrence?
l. Root cause(s) and contributing factors	6. Transportation
m. Actions the State took? Onsite inspections, any enforcement actions?	Type of transport; identity of shipper; package type and ID number (if available)

d. **Internet Access to NMED**

An NMED search of the nationally collected data is available on the website with several drop-down point-and-click menus available. Users may download the latest NMED national database information via Internet file transfer. Internet access to the NMED is controlled through INL. If access is required, contact the INL NMED Project Manager by email message at: NMED@inl.gov or the NRC NMED Project Manager by email message at: NMEDNRC@nrc.gov. *NOTE: Agreement States should continue to use the Microsoft Access data entry program for maintaining a local events database and for submitting NMED event reports to INL.*

e. **Written Event Reports**

Written event reports, including E-mail or fax, should be sent to the Director, STP or directly to the INL Project Manager at the address listed at the NMED homepage at <https://nmed.inl.gov>. Written report information should be comparable to the minimum basic information identified in Table 4. Reports should be provided in an optical character recognition (OCR) scannable format. Please include an *Event Report Cover Page* for all written form event information provided to NRC. Use of the Event Report Cover Page helps ensure our Document Control staff can readily identify, classify and appropriately record the document. A sample cover page is provided as Exhibit 2 of this Handbook.

2.5. Reporting Follow-up Event Information

Follow-up material event reports--providing the results of investigations into what, where, when and how the event or conditions occurred--through resolution and close out, should be provided for all events, both significant (24 hr. reportable) and 30-60 day reportable events.

- a. ~~On a monthly basis, follow-up reports through a closeout of the event should be provided electronically or in writing to the Director, STP or directly to the INL Project Manager at the address listed at the NMED homepage at <https://nmed.inl.gov>. Enter any new or supplemental information to the initial NMED record. A complete event report should include all investigative and medical information obtained through closeout of the event.~~
- b. Additionally, when providing follow-up NMED event information, provide clear reference to documents on file that the State used to generate the NMED event report, e.g., a licensee inspection report dated mm/dd/yy, if applicable and appropriate.
- c. Any follow-up information that revises earlier information or provides additional information on a given event should be provided to ensure a complete historical NMED record.

EXHIBIT 2 - SAMPLE EVENT REPORT COVER PAGE

AGREEMENT STATE

EVENT REPORT ID NO. ____ - ____ - ____
(State\YY\No.)

DATE:

TO:

Director
Office of State and Tribal Programs

SUBJECT:

STATE:

Signature and Title: _____

Public Availability of Event Information: Any event information that is considered preliminary predecisional information by the State should be clearly identified on the cover page as follows: "Preliminary, Not for Public Disclosure." For event information in NRC's possession, the final determination on whether to withhold from public disclosure will be made by NRC on a case-by-case basis in accordance with the requirements of 10 CFR Part 9.

3. Closing and Completing Events

3.1. Events Closed in NMED

At the request of the Agreement States, a field was added to the NMED web site to enable a search for records that have been closed by the applicable agency under "Events Closed by Region/State." Agreement States should notify NRC, through the NMED contractor, INL, when the event record has been officially closed (i.e., no further follow-up planned and/or no additional information expected). For the purposes of NMED "event record closed" refers to an event that has been closed by the applicable Agreement State or NRC Regional Office. The State should ensure that the record contains all pertinent technical information, including followup information.

3.2. Record Complete in NMED

A "complete record" refers to an NMED record that contains a specified minimum set of information. This minimum set is defined on the NMED website under "Help." A "complete record" indicates that the event notification includes the *minimum* basic information to receive a "complete" determination from the contractor, INL.

NOTE-IMPEP Review: The contractor is unable to determine if pertinent subsequent followup information that may have been provided by the licensee to the State has also been provided to NMED. Therefore, the abstract may or may not include sufficient technical information on followup activities such as root cause, dose assessment, licensee and State corrective actions, etc. A technical quality completeness review is conducted during periodic IMPEP reviews. (For additional information see *NMED Newsletter*, January 2002, January 2003, and January 2005 available at the NMED website.)

4. NRC Publication and Distribution of Event Notifications

4.1. Event Notifications (ENs) are Available on Internet

All events reported to the NRC Operations Center are currently entered into the NRC Event Notification (EN) database. Most ENs are publicly available on NRC's external home page at (<http://www.nrc.gov/>) under *Event Reports*, within one to five working days of notification. As a result of public access to this information, Agreement and non-Agreement States may receive contacts from the public or media regarding events and requesting additional information. The NRC will withhold Agreement State reports from public release for at least 48 hours.

4.2. Preliminary Notifications (PNs) are Used to Distribute Event Information

Preliminary Notifications (PNs) are brief summary reports of significant events issued by the NRC staff to notify the Commission of the occurrence of a significant event. PNs are based on information provided by State radiation control program staff. PNs are usually issued within the same business day of the notification (or the next business day if the event is reported after hours on the weekend). Most PNs will be publicly available on NRC's external home page under Event Reports at (<http://www.nrc.gov/>). Updates to PNs occur when significant additional information about an event is provided to NRC. When preparing PNs, NRC staff may contact the State for additional information on the event.

5. NRC Safety Reviews of Material Event Reports

5.1 NRC Review of Material Events for Safety Significance and Generic Assessment

A weekly review all of new material event notifications (ENs) received by the Headquarters Operations Center and event notifications and follow-up reports, received and entered into NMED from the Agreement States or NRC licensees, is conducted by NRC staff. The objective of the review is to identify any events that may involve generic safety concerns (GSIs) or could have significant impact on public health, safety or security. Events would include:

1. Multiple occurrences of the events tracked as performance measures in the Strategic Plan (e.g., medical events, overexposures, lost or stolen sources of concern, or
2. A single occurrence of an event tracked as a strategic goal in the Strategic Plan (e.g., deaths, loss of organ function), or
3. Events involving possible generic concerns or issues, e.g., equipment malfunctions, equipment failures, or
4. Consequences or causal factors not previously seen in the event assessment process.

NOTE: GSI's are defined as a safety concern that may affect the design, construction, operation, or decommissioning of all, several, or a class of regulated operations; and may have the potential to require licensees or certificate holders to make safety improvements and/or require new or revised requirements or guidance.

Requests for additional information: Based on the results of the materials event safety and generic assessment review and periodic audits, Agreement State staff may be contacted by the RSAO by phone or email to discuss the event. Additional information may be requested to help determine the safety significance and any possible generic implications (e.g., equipment malfunction or failure, significant exposures). Specific issues identified as a result of the review are tracked by NRC through close-out of the event.

If necessary, NRC staff may contact Agreement States for additional information on *significant events* that pose or could pose health and safety or security risks. Such requests, normally initiated by the RSAO, would occur on an as needed basis, possibly within hours to a few days of notification of the occurrence of the event, based on the safety significance.

The RSAO, or a designee, may contact Agreement States for additional event information within 30 days for a (15 day event notification) and within 60 days for a (30 day event notification) after NRC's receipt of the initial notification from the State. A request for follow-up information may also be sent routinely via email by the NMED contractor, (e.g., when the NMED record is incomplete after 60 days from the date reported to the regulatory agency).

5.2 Actions NRC May Take after Review of Significant Events

Events identified as having a "significant" potential risk to health, safety and security may receive additional NRC management review. NRC headquarters and region staff continue to follow-up and review material events through closure of the event, which includes checking to see that the final report information has been entered into NMED. Based on potential safety risks identified as a result of event review and analyses, NRC may take actions to reduce potential health and safety risks to the public by issuing safety-related notifications to licensees, i.e. Information Notices (IN), concerning software problems, equipment modifications, etc. Further research and analysis may result in regulatory or programmatic changes.

6 Abnormal Occurrence Guidelines and Criteria

6.1 Introduction

This section presents the guidelines and criteria to be followed when assessing the significance of an event or occurrence to see if it meets the criteria established to identify an abnormal occurrence (AO). Section 208 of the Energy Reorganization Act of 1974 (ERA) (Public Law 93-438, 42 USC 5848) identifies an abnormal occurrence as an unscheduled incident or event that the Commission determines to be significant from the standpoint of public health or safety. Section 208 of the Act also requires that the Commission inform Congress of any abnormal occurrences. The Agreement States support the NRC in their effort to keep Congress apprised of any significant events that may directly affect public health or safety by providing information to the NRC on proposed AOs that have occurred in their State.

6.2 AO Policy Information

The Commission submits a report to Congress identifying any AOs. The Federal Reports Elimination and Sunset Act of 1995 requires that AOs be reported to Congress on an annual basis. Section 208 of the ERA indicates that each report shall contain:

- (1) The date and place of each occurrence;
- (2) The nature and probable consequence of each occurrence;
- (3) The cause or causes of each; and
- (4) Any action taken to prevent recurrence.

As specified in Section 208, within 15 days of receiving information of each AO, the Commission shall provide as wide dissemination to the public as reasonably possible as soon as such information becomes available.

An incident or event will be considered an AO if it involves a major reduction in the degree of protection of the public health or safety. This type of incident or event would have a moderate or severe impact on the public health or safety and could include, but need not be limited to the following:

- (1) Moderate exposure to, or release of, radioactive material licensed by or otherwise regulated by the Commission;
- (2) Major degradation of essential safety-related equipment;
or
- (3) Major deficiencies in design, construction, use of, or management controls for facilities or radioactive material licensed by or otherwise regulated by the Commission.

The annual AO Reports to Congress can be accessed at
<http://www.nrc.gov/reading-rm/doc-collections/nuregs/staff/>.

The AO Report to Congress is also used as used to provide information on significant materials issues and on adverse licensee performance. In accordance with SECY-02-216, "Proposed Process for Providing Information on Significant Nuclear Materials Issues and Adverse License Performance," Agreement State events will be considered, along with other materials licensees, for discussion during the Annual Agency Action Review Meeting (AARM). The revised Management Directive and Handbook 8.14, "Agency Action Review Meeting," describes STP's participation in the AARM and its role as the leader of discussion on Agreement State licensees, as necessary.

6.3 AO Criteria

Agreement State staff should routinely screen events against the AO criteria as part of their routine program. Any events identified as potential AOs should be reported to NRC. Additionally, Agreement States are requested to prepare a special written report for potential AOs. Agreement State staff should follow the guidelines for preparing AO write-ups contained in Section 7.4 of this Handbook. When questions arise on a given event, it may sometimes be necessary for NRC to directly contact an Agreement State representative and request additional information.

The criteria for determining an AO and the guidelines for "Other Events of Interest" were stated in an NRC Policy Statement. The following AO criteria was published in the *Federal Register* on December 19, 1996, (61 FR 67072). The policy statement was revised to include criteria for gaseous diffusion plants and published in the *Federal Register* on April 17, 1997, (62 FR 18820).

The guidelines were revised for Appendix C "Other Events of Interest" by the Commission in a Staff Requirements Memorandum, SECY-98-175, dated September 4, 1998.

AO Criteria

As published in the Federal Register on December 19, 1996 (61 FR 67072) and as revised and published on April 17, 1997 (62 FR 18820) to incorporate gaseous diffusion plants.

Criteria by types of events used to determine which incidents or events will be considered for reporting as AOs are as follows:

I. For All Licensees.

A. Human Exposure to Radiation from Licensed Material.

1. Any unintended radiation exposure³ to an adult (any individual 18 years of age or older) resulting in an annual total effective dose equivalent (TEDE) of 250 millisievert (mSv) (25 rem) or more; or an annual sum of the deep dose equivalent (external dose) and committed dose equivalent (intake of radioactive material) to any individual organ or tissue other than the lens of the eye, bone marrow and the gonads, of 2500 mSv (250 rem) or more; or an annual dose equivalent to the lens of the eye, of 1 Sv (100 rem) or more; or an annual sum of the deep dose equivalent and committed dose equivalent to the bone marrow, and the gonads, of 1 Sv (100 rem) or more; or an annual shallow-dose equivalent to the skin or extremities of 2500 mSv (250 rem) or more.
2. Any unintended radiation exposure to any minor (an individual less than 18 years of age) resulting in an annual TEDE of 50 mSv (5 rem) or more, or to an embryo/fetus resulting in a dose equivalent of 50 mSv (5 rem) or more.
3. Any radiation exposure that has resulted in unintended permanent functional damage to an organ or a physiological system as determined by a physician.

B. Discharge or Dispersal of Radioactive Material from its Intended Place of Confinement.

1. The release of radioactive material to an unrestricted area in concentrations which, if averaged over a period of 24 hours, exceed 5000 times the values specified in Table 2 of Appendix B

³ An "unintended radiation exposure" includes any occupational exposure, exposure to the general public, or exposure as a result of a medical misadministration (as defined in §35.3045) involving the wrong individual that exceeds the reporting values established in the regulations.

All other reported medical events will be considered for reporting as an AO under the criteria for medical licensees. In addition, unintended radiation exposures include any exposure to a nursing child, fetus, or embryo as a result of an exposure (other than an occupational exposure to an undeclared pregnant woman) to a nursing mother or pregnant woman above specified values.

to 10 CFR Part 20, unless the licensee has demonstrated compliance with §20.1301 using §§20.1302(b)(1) or 20.1302(b)(2)(ii).

2. Radiation levels in excess of the design values for a package, or the loss of confinement of radioactive material resulting in one or more of the following: (a) a radiation dose rate of 10 mSv (1 rem) per hour or more at 1 meter (3.28 feet) from the accessible external surface of a package containing radioactive material; (b) a radiation dose rate of 50 mSv (5 rem) per hour or more on the accessible external surface of a package containing radioactive material and that meet the requirements for "exclusive use" as defined in 10 CFR 71.47; or (c) release of radioactive material from a package in amounts greater than the regulatory limits in 10 CFR 71.51(a)(2).

C. Theft, Diversion, or Loss of Licensed Material, or Sabotage or Security Breach.⁴

1. Any lost, stolen, or abandoned sources that exceed 0.01 times the A_1 values, as listed in 10 CFR Part 71, Appendix A, Table A-1, for special form (sealed/nondispersible) sources, or the smaller of the A_2 or 0.01 times the A_1 values, as listed in Table A-1, for normal form (unsealed/dispersible) sources or for sources for which the form is not known. Excluded from reporting under this criterion are those events involving sources that are lost, stolen, or abandoned under the following conditions: sources abandoned in accordance with the requirements of 10 CFR 39.77(c); sealed sources contained in labeled, rugged source housings; recovered sources with sufficient indication that doses in excess of the reporting thresholds specified in AO criteria I.A.1 and I.A.2 did not occur during the time the source was missing; and unrecoverable sources lost under such conditions that doses in excess of the reporting thresholds specified in AO criteria I.A.1 and I.A.2 were not known to have occurred.
2. A substantiated case of actual or attempted theft or diversion of licensed material or sabotage of a facility.
3. Any substantiated loss of special nuclear material or any substantiated inventory discrepancy that is judged to be significant relative to normally expected performance, and that is judged to be caused by theft or diversion or by substantial breakdown of the accountability system.

⁴ Information pertaining to certain incidents may be either classified or under consideration for classification because of national security implications. Classified information will be withheld when formally reporting these incidents in accordance with Section 208 of the Energy Reorganization Act of 1974, as amended. Any classified details regarding these incidents would be available to the Congress, upon request, under appropriate security arrangements.

4. Any substantial breakdown of physical security or material control (i.e., access control containment or accountability systems) that significantly weakened the protection against theft, diversion, or sabotage.

D. Other Events (i.e., those concerning design, analysis, construction, testing, operation, use, or disposal of licensed facilities or regulated materials).

1. An accidental criticality [10 CFR 70.52(a)].
2. A major deficiency in design, construction, control, or operation having significant safety implications requiring immediate remedial action.
3. A serious deficiency in management or procedural controls in major areas.
4. Series of events (where individual events are not of major importance), recurring incidents, and incidents with implications for similar facilities (generic incidents) that create a major safety concern.

II. For Commercial Nuclear Power Plant Licensees.

A. Malfunction of Facility, Structures, or Equipment.

1. Exceeding a safety limit of license technical specification (TS) [§50.36(c)].
2. Serious degradation of fuel integrity, primary coolant pressure boundary, or primary containment boundary.
3. Loss of plant capability to perform essential safety functions so that a release of radioactive materials, which could result in exceeding the dose limits of 10 CFR Part 100 or 5 times the dose limits of 10 CFR Part 50, Appendix A, General Design Criterion (GDC) 19, could occur from a postulated transient or accident (e.g., loss of emergency core cooling system, loss of control rod system).

B. Design or Safety Analysis Deficiency, Personnel Error, or Procedural or Administrative Inadequacy.

1. Discovery of a major condition not specifically considered in the safety analysis report (SAR) or TS that requires immediate remedial action.
2. Personnel error or procedural deficiencies that result in loss of plant capability to perform essential safety functions so that a release of radioactive materials, which could result in exceeding the dose limits of 10 CFR Part 100 or 5 times the dose limits of 10 CFR Part 50, Appendix A, GDC 19, could occur from a

postulated transient or accident (e.g., loss of emergency core cooling system, loss of control rod system).

III. For Fuel Cycle Facilities.

1. A shutdown of the plant or portion of the plant resulting from a significant event and/or violation of a law, regulation, or a license/certificate condition.
2. A major condition or significant event not considered in the license/certificate that requires immediate remedial action.
3. A major condition or significant event that seriously compromises the ability of a safety system to perform its designated function that requires immediate remedial action to prevent a criticality, radiological or chemical process hazard.

IV. For Medical Licensees.

A medical event that:

- (a) Results in a dose that is (1) equal to or greater than 1 gray (Gy) (100 rad) to a major portion of the bone marrow, to the lens of the eye, or to the gonads, or (2) equal to or greater than 10 Gy (1000 rad) to any other organ; and
- (b) Represents either (1) a dose or dosage that is at least 50 percent greater than that prescribed in a written directive or (2) a prescribed dose or dosage that (i) is the wrong radiopharmaceutical,⁵ or (ii) is delivered by the wrong route of administration, or (iii) is delivered to the wrong treatment site, or (iv) is delivered by the wrong treatment mode, or (v) is from a leaking source.

V. Guidelines for "Other Events of Interest"

The Commission may determine that events other than AOs may be of interest to Congress and the public and should be included in an Appendix to the AO report as Other Events of Interest. Guidelines for events to be included in the AO report for this purpose may include, but not necessarily be limited to, events that do not meet the AO criteria but that have been perceived by Congress or the public to be of high health and safety significance, have received significant media coverage, or have caused the NRC to increase its attention to or oversight of a program area, or a group of similar events that have resulted in licensed materials entering the public domain in an uncontrolled manner.⁶

⁵ The wrong radiopharmaceutical as used in the AO criterion for medical events refers to any radiopharmaceutical other than the one listed in the written directive or in the clinical procedures manual.

⁶ Staff Requirements Memorandum, SECY-98-175, dated September 4, 1998.

6.4 Guidelines for AO Write-ups

All AO write-ups should be complete, up-to-date, and written using text that is understandable to non-technical readers. Please do not use **bold** or *italics* in writeups; use underline instead. Any special fonts will be added during the publishing stage by the NRC Technical Publications Specialist using the Kodak Ektaprint Electronic Publishing System.

NOTE: Agreement States may use INTERNET E-Mail capability to electronically send their AO information to STP via Internet using WordPerfect or an ASCII text file. NRC is currently using WordPerfect 10. The file may be attached to an e-mail transmission. The STP AO coordinator, Andrea Jones, may be reached at (ARJ@NRC.GOV).

First paragraph - State the AO criteria for the event by citing the appropriate section of the AO criteria.

Date and Place - Provide the date the event occurred, the licensee's name, and the city and State address of the licensee.

Nature and Probable Consequences - Briefly explain the event and the circumstances surrounding the occurrence. Provide the specific details of the event to include the: exposure (where applicable), source, specific radionuclide(s), quantity, dose (where applicable), treatment plan (where applicable), equipment/devices with the manufacturer and model number. Describe any immediate actions taken by the licensee or the State (confirmatory action letter, special inspection, enforcement conference, enforcement action(s), etc.). The write-up should answer where, when, how, why, and efforts to prevent recurrence.

For occupational, or public overexposures identify whether the person was notified. For medical events, include the intended and actual treatment plan, identify any health effects, including a statement of "no health effects," where applicable, and a statement whether the patient and referring physician were informed of the event. State whether a medical consultant has been contracted to review the event. Include the consultant's conclusions and identify the effects to the patient. Never mention any health effects to a patient without attributing the statement to the licensee or medical consultant. Indicate whether the primary physician was notified.

NRC's NUREG publication policy states that all documents must be published in dual units (Metric and English).

Cause or Causes - Self explanatory

Action(s) taken to prevent recurrence - Briefly explain what corrective actions were taken to prevent recurrence by the licensee, and indicate whether or not the State was satisfied with the licensee's corrective actions. State whether there were any enforcement actions, penalties.

Last paragraph - Indicate the status by stating whether the AO is closed or remains open waiting for additional significant information from the Agreement State licensee. An item should only be identified as open if the State expects additional significant action may take place that will be covered in a follow-up report. The new information contained in the follow-up report should be provided to NRC for inclusion in the AO report under the section entitled "Update to Previously Reported AOs."

The following pages contain three sample AO write-ups.

Example 1: Radiopharmaceutical Overexposure Write-up

Criteria

In accordance with the AO criteria I.A.1, "Human Exposure to Radiation from Licensed Material" any unintended radiation exposure to an adult (any individual 18 years of age or older resulting in an annual shallow-dose equivalent to the skin or extremities greater than 2,500 mSv (250 rem) is considered an AO.

Date and Place- [Date]; [Facility/Licensee]; [location] City, State.

Exposure

Nature and Probable Consequences- A pharmacist trainee received an extremity exposure resulting in a shallow dose equivalent to the hand of 7,402 mSv (742 rem); a deep dose equivalent of 70 mSv (7.02 rem) to the hand; and a dose of 0.9 mSv (0.90 rem) to the thyroid, based on licensee's consultation with several external and internal dosimetry specialists. The exposures to the pharmacist trainee's hand and forearm occurred when a spill took place while compounding I-131 from a vial. The pharmacist failed to notify anyone of the event, cleaned up the area and decontaminated his skin. The following day, the pharmacist reported the I-131 spill to the Imaging Manager, who conducted a second survey of the area that revealed no remaining contamination. Upon return from a one week vacation, the pharmacist informed the Radiation Safety Officer that skin on the forearm had been contaminated as a result of an earlier I-131 spill received prior to vacation. Immediate action was taken to determine if any contamination still remained on his arm. Elevated levels were discovered on his right forearm and left fingertips. The appropriate hospital/nuclear medicine personnel were notified. The contaminated individual was suspended from any and all duties involving radioactive material during the investigation.

Source/Quantity

Cause or Causes- The event occurred due to human error and failure to follow established procedures. An initial crimp failure on the vial may have contributed to the spill.

Actions Taken to Prevent Recurrence

Licensee - The licensee retrained all staff in spill procedures and proper supervisory notification. Additionally, at the prompting of the licensee, the vial supplier, re-evaluated the process of ensuring that each crimp is acceptable for shipment, although the supplier believed it was more likely an isolated incident.

State Agency - The State agency conducted inspections and reviewed licensee corrective actions. The licensee was cited for violations of State Regulations for Control of Radiation.

Status

This event is (open/closed) in (State).

Example 2: Diagnostic Medical Event AO Write-up

Criteria

In accordance with the AO criteria IV, "For Medical Licensees," administering a dose that is (1) equal to or greater than 1 gray (Gy) (100 rads) to a major portion of the bone marrow, the lens of the eye, or to the gonads; or (2) equal to or greater than 10 Gy (1,000 rads) to any other organ and represents a prescribed dose or dosage that is delivered to the wrong treatment site will be considered for reporting as an abnormal occurrence.

Date and Place - [Date]; [Facility/Licensee], [City, State]

Procedure/dose (actual vs. intended)

Nature and Probable Consequences - A patient was prescribed a dose of 0.93 megabecquerel (MBq) (25 microcurie [μ Ci]) of Iodine-131 (I-131) for a diagnostic scan to assess a thyroid nodule. However, the patient was administered a dosage of 111 MBq (3,000 μ Ci) of I-131. The licensee discovered the event on [date], when the patient returned for the whole body scan 48 hours later. The technologist misunderstood the order by assuming that the referring physician wanted a whole body scan to assess thyroid cancer, and administered 111 MBq (3,000 μ Ci) of I-131 without requesting clarification or approval from the authorized users. As a result the patient's thyroid received a dose of about 43 Gy (4,300 rads) instead of the prescribed dose of about 32.5 Gy (32.5 rads). The referring physician and patient were properly notified.

Notifications

Health effect to patient

Two authorized users determined that the administered dose of I-131 may induce a hypothyroid state requiring the patient to take thyroid hormone. A patient followup assessment included thyroid profiles and thyroid uptakes to determine thyroid function.

Cause or causes - The event was attributed to human error. The technologist misunderstood the treatment ordered by the referring physician and failed to verify the written directive.

Actions taken To Prevent Recurrence

Licensee - The licensee implemented corrective measures to ensure that authorized users approve all procedures involving the administration of radiopharmaceutical and re-instructed nuclear medicine personnel.

State Agency - The State agency conducted a follow-up inspection to ensure that the licensee's actions taken to prevent recurrence had been implemented.

This event is closed for the purpose of this report.

Example 3: Gamma Stereotactic Radiosurgery (Gamma Knife) Write-up

Criteria

In accordance with the AO criteria IV, "For Medical Licensees," administering a dose that is (1) equal to or greater than one gray (Gy) (100 rads) to a major portion of the bone marrow, the lens of the eye, or to the gonads; or (2) equal to or greater than 10 Gy (1,000 rads) to any other organ and represents a prescribed dose or dosage that is delivered to the wrong treatment site will be considered for reporting as an abnormal occurrence.

Date and Place - [Date]; [Facility/Licensee], [City, State]

Procedure/dose

Nature and Probable Consequences - A patient undergoing Gamma (intended vs. actual) Stereotactic Radiosurgery (Gamma Knife) was prescribed treatment of 20 Gy (2,000 rads) to a portion of the brain. However, the patient received a dose of 12.8 Gy (1,280 rads) to an unintended portion of the brain, (i.e. wrong treatment site).

What occurred?

During the treatment, the licensee completed three and one-half fractions of eight treatments before the medical physicist and radiation therapist realized that the administered treatment utilized the treatment parameters for another patient. The licensee's medical physics staff had prepared treatment plan for two patients, to be treated on the same day. The treatment plan for Patient A consisted of a prescribed dose of 18 Gy (1,800 rads). Prior to initiating treatment of Patient A, a licensee staff member handed the plan of treatment for Patient B to the licensee's radiation therapist; later, the therapist could not recall from whom the plan had been received. Using Patient B's treatment plan, the treatment team set up and delivered the first three fractions to Patient A and began delivery of the fourth fraction when the error was discovered by the medical physicist. Once notified of the error, the radiation oncologist terminated treatment.

The medical physicist determined that the treatment delivered a dose of 12.8 Gy (1,280 rads) to an unintended region of the patient's brain. The radiation oncologist determined that the location of the unintended site was far enough away from the intended site to proceed with the intended treatment. The licensee subsequently administered the intended treatment without incident.

Notifications

The licensee notified the patient's referring physician and the radiation oncologist notified the patient of the event.

Health effect to patient

The radiation oncologist did not anticipate any immediate adverse effect to the patient, and was not certain of the potential for any long-term effects as a result of the administration.

Consultant report, where applicable

The licensee consultant agreed with the assessment. With regard to long-report term affects, the consultant concluded that this administration may be at the threshold of late central nervous system injury and may produce symptoms. The consultant further stated that long-term follow-up was indicated for the patient and that the patient was eligible for inclusion in the Department of Energy's Office of Epidemiology and Health Surveillance voluntary life-time morbidity study. The licensee conducted medical follow-up of the patient to identify and respond to potential adverse medical consequences resulting from this administration. However during further attempted follow-ups on the patient the licensee lost contact with the patient.

Cause or causes -The misadministration was caused by human error, as a result of the licensee's failure to verify that the treatment plan used was for the patient being treated. Contributing factors included inadequate labeling of the patient's name on the computer treatment plan and other medical recording information.

Actions Taken to Prevent Recurrence

Licensee -The licensee immediately implemented revised procedural measures and conducted retraining of applicable staff to ensure that patient - specific parameters are confirmed and verified prior to initiation of treatment, and that all medical record information is adequately labeled.

State Agency - The State conducted an investigation and reviewed the licensee's corrective actions, which were found adequate by the State.

This event is closed for the purposes of this report.

NOTE: Emphasis added [**bold**] to clarify specific information that should be included in the report

Appendix

Glossary

- ADAMS** Agencywide Documents Access and Management System, NRC's official record electronic recordkeeping system, approved by the National Archives and Records Administration on April 1, 2000.
- EN** The Event Notification (EN) system is an internal NRC automated event tracking system used by the NRC Operations Center to track information on incoming notifications of the occurrence of significant material events that have or may affect public health and safety. Significant material events are reported to the NRC Operations Center by NRC licensees, staff of the Agreement States, other Federal agencies, and the public. The EN's are published each work day through the Internet.
- Gray** Gray (Gy) is the SI unit of absorbed dose. One Gray is equal to an absorbed dose of 1 joule/kilogram (100 rads).
- Metric System** The metric system is now included in all Federal documents. All event reports should include the dual system of Units (SI) in the following order. First use the International System of Units (SI) with the English System unit equivalent following in parentheses. Spell out the first time it appears, continue with an abbreviation, (see examples below). 1000 centiGray (cGy) (1000 rad) the first time, and continue with 1000 cGy (1000 rad). 50 millisieverts (mSv) (5 rem) 730 megabecquerel (MBq) (20.4 mCi)
- NMED** The Nuclear Material Events Database (NMED), maintained by NRC, is a historical collection of incidents and events that have occurred throughout the United States involving the use of radioactive material covered under the Atomic Energy Act. This excludes events occurring at nuclear power plants.
- NRC Ops Center** The NRC Operations Center in Rockville, Maryland, serves as the focal coordination point for communicating with NRC licensees, State agencies, and other Federal agencies about operating events in both the nuclear reactor and nuclear material industry. The Operations Center is staffed 24 hours a day by an NRC Headquarters Operations Officer (HOO), who is trained to receive, evaluate, and respond to events reported to the Operations Center.
- PN** Preliminary Notifications (PN) are brief summary reports of significant events issued by the NRC staff to notify the Commission of the occurrence of a significant event that appears to have health and safety significance or major public or media interest. PNs are based on information provided by State

radiation control program staff. These reports are publicly available through Internet on NRC's external home page under PN Reports at (<http://www.nrc.gov>).

RSAO The Regional State Agreements Officer (RSAO) is a designated staff member, in an NRC regional office, who serves as the point of contact for the region and the Office of State and Tribal Programs regarding Agreement State radiation control programs, and who participates in technical reviews of Agreement State radiation control programs.

Rad Rad is the special unit of absorbed dose. One rad is equal to an absorbed dose of 100 ergs/grams or 0.01 joule/kilogram (0.01 gray)

Rem Rem is the special unit of any of the quantities expressed as dose equivalent. The dose equivalent in rem is equal to the absorbed dose in rads multiplied by the quality factor (1 rem = 0.01 sievert).

Sievert Sievert is the SI unit of any of the quantities expressed as dose equivalent. The dose equivalent in sieverts is equal to the absorbed dose in grays multiplied by the quality factor (1 Sv = 100 rem.).

References

The following is a list of NRC documents, manuals and procedures that contain additional information on event response and AOs.

NRC Policy

June 30, 1997 Staff Requirements Memorandum, Procedures for *Statement of Principles and Policy for the Agreement State Program and Policy Statement on Adequacy and Compatibility of Agreement State Programs*.

NRC Report

Performance Budget FY2006, NUREG-1100, Vol. 21, February 2005, annual report to Congress required by GPRA.

NMSS Licensee Newsletter, NUREG/BR-0017

NRC Management Directives

- 6.4 Generic Issues Program
- 8.1 Abnormal Occurrence Reporting Procedures
- 8.10 NRC Medical Event Assessment Program

NRC Inspection Manual

- 1300 Incident Response Actions - Responsibility and Authority (84-080)
- 1301 Response to Non-Emergency Incidents Involving Radioactive Material (96-022)
- 1302 Action Levels for Radiation Exposures and Contamination Associated with Material Events Involving Members of the Public (94-004)
- 1303 Requesting Emergency Acceptance of Radioactive Material by the U.S. Department of Energy (DOE) (95-009)
- 1330 Response to Transportation Accidents Involving Radioactive Materials (84-22)

- 1360 Use of Physician and Scientific Consultants in the Medical Consultant Program (94-013)
- 2800 Materials Inspection Program
- 87103 Inspection of Materials Licensees Involved in an Incident Bankruptcy Filing (97-008)

NRC Emergency Response Manuals

- NUREG/BR-0230 Response Coordination Manual - Contains procedures for requesting Federal assistance during an emergency.
- NUREG/BR-0150 Contains procedures for assessing the consequences of an emergency.

STP Correspondences

STP All Agreement State Letter (SP-98-018), dated March 17, 1998, "Use of the Nuclear Material Events Database (NMED) As a Central Listing Of Lost or Stolen Sealed Sources and Devices."

STP Procedures

- SA-100 Implementation of the Integrated Materials Performance Evaluation Program
- SA-200 Compatibility Categories and Health and Safety Identification for NRC Regulations and Other Program Elements

Event Notification and Response

FBI A revision to Section 831 of Chapter 39 of Title 18 of the U.S. Code regarding criminal activity, includes a significant expansion of Federal Bureau of Investigation jurisdiction to initiate criminal investigations and pursue prosecutions when radioactive materials are involved. In instances involving the suspected criminal misuse of nuclear material and byproduct material, your notification of the FBI is warranted. However, the U.S. Attorney's Office and the FBI will determine whether or not a criminal investigation is to be conducted by the FBI or deferred to State or local authorities for investigation and prosecution. The Commission also requests that Agreement States inform NRC of reports of events involving theft or terrorist activities warranting FBI notification.

- NRP** The Commission is the lead Federal agency (LFA) for response to any event involving NRC and Agreement State-licensed Atomic Energy Act material under the National Response Plan (NRP), which includes other Federal agencies, i.e., Department of Energy (DOE), Environmental Protection Agency (EPA), Federal Emergency Response Administration (FEMA). NRP covers any peacetime radiological emergency that has actual, potential or perceived radiological consequences within the United States.
- DOT/NRC** The National Response Center is a Department of Transportation, Coast Guard service that serves as a national point of contact for reporting all oil, chemical, non-AEA radiological, biological, and etiological discharges into the environment anywhere in the United States and its territories. In addition to gathering and distributing spill data for Federal On-Scene Coordinators and serving as the communications and operations center for the National Response Team, the Center maintains agreements with a variety of federal entities to make additional notifications regarding incidents meeting established trigger criteria. The Center maintains a 24 hour call line at 1-800-424-8802. The Center's Website address is: www.nrc.uscg.mil/services.
- REACTS** The Radiation Emergency Assistance Center/Training Site (REACTS), is a Department of Energy (DOE) resource headquartered in Oak Ridge, Tennessee, telephone (865) 576-1005. REACTS is available 24 hours a day to provide medical and radiological assistance either from the REACTS facility or the accident site. Additionally, REACTS maintains a listing of other professionals throughout the country who are recognized as having highly specialized expertise and equipment to manage a particular area of concern.

AVAILABILITY OF REFERENCE MATERIAL

NRC documents: Event Notifications, Preliminary Notifications, Inspection Manuals and Procedures, NUREG Series technical reports, Regulatory Guides, etc., are available at the NRC external Website under References at: <http://www.nrc.gov/reading-rm/doc-collections/>. The Office of State and Tribal Programs (STP) documents are available at the STP external Website at: <http://www.hsrdoernl.gov/nrc/>.

(Cut Out Page for Handy Reference)

Event Reporting Schedule for Agreement States		
REPORTABLE EVENT NOTIFICATION	AGREEMENT STATE REPORTING SCHEDULE TO NRC	REPORTING METHODS TO NRC
4 HOURS Significant reportable events requiring 4 hours or less² notification by Agreement State licensees.	Agreement States should report to NRC within 4 hours of notification by an Agreement State licensee.	Report initial information to the NRC Operations Center⁵ (301) 816-5100 or (301) 951-0550 FAX #: (301) 816-5151
24 HOURS Significant reportable events requiring 24 hours or less notification by Agreement State licensees.	Agreement States should report to NRC within 24 hours of notification by an Agreement State licensee.	
Events involving theft or terrorist activities should be reported to the FBI. ³	Agreement and non-Agreement States should report to the FBI within 24 hours of notification.	
30 – 60 DAYS 30 – 60 day reportable events requiring greater than 24 hour notification by Agreement State licensee and event follow-up reports.	Agreement State should provide 30-60 day notification and any follow-up reports to NRC-NMED on a monthly basis. NOTE: Licensee reports received within less than 30 days of the date of the monthly report may be included in the next month's report. ⁶	Email: NMED@INL.GOV Telephone: 208-526-6904 or 208-526-0990-fax Disk/CD: INL, P.O. Box 1625, Idaho Falls, ID 83415 Attn: Thomas W. Smith or Written: Director of STP US NRC, Washington, DC 20555
VOLUNTARY Lost, stolen, or abandoned sources reported to the Agreement State that are non-AEA or unlicensed material and not covered by the above two categories.	Voluntary reporting by the Agreement States and non-Agreement States. ⁷	Email: NMED@INL.GOV

Rev. 3, December 2005

¹ Personal or sensitive information should not be included in event descriptions (e.g., names, personal addresses, or-- social security-- numbers).

² Events involving lost, actual or attempted theft, sabotage, or diversion of radioactive materials or devices containing "high-risk" sources in quantities greater than or equal to the *quantities of concern* (i.e., quantities greater than or equal to Category 2 sources listed in the International Atomic Energy Agency's Code of Conduct and as outlined in reporting requirements in 10 CFR Part 20.2201

³ A revision to the U.S. Code assigns lead responsibility for material events involving possible theft or terrorist activities to the Federal Bureau of Investigation (FBI).

⁴ A sample fax to the NRC Operations Center is available in Table 1 of STP procedure SA-300.

⁵ The NRC Operations Center staff will promptly notify the appropriate Region Duty Officer (RDO) and Headquarters staff of Agreement State events. Therefore, no separate notification to other NRC staff by an Agreement State is necessary.

⁶ An example of the minimum basic event information required for a complete record is provided in Section 3 of SA-300.

⁷ Voluntary reporting is a joint national effort of the NRC and the Conference of Radiation Control Program Directors (CRCPD) to track all types of non-AEA, unlicensed or non-reportable AEA lost and found radioactive material. More information about the national program may be found in SA-300.



New Jersey Environmental Management System (NJEMS) Procedures

Introduction to NJEMS

Department of Environmental Protection

Introduction

- Introduction

The New Jersey Environmental Management System (NJEMS) supports collection and review of permit applications, as well as emission statements, testing documents, monitoring reports and enforcement actions. NJEMS also provides the capability to generate permits. By using NJEMS, you can:

- ◆ Create new permits, modify permits, and renew permits by utilizing requirement libraries and customization functions.
- ◆ Create inspection checklists and record inspection results.
- ◆ Create violations and enforcement actions.
- ◆ Manage reporting data and automate compliance verification.
- ◆ Review your workload and assess the amount of time a task should take to complete.
- ◆ Easily access permitting, planning, testing, and enforcement data you need to do your job.

- Understanding The New Jersey Environmental Management System

NJEMS is a combination of an operating environment, applications, and utilities that run "on top of" Microsoft® Windows™. Because NJEMS runs in the Windows environment, it operates in much the same way as Microsoft Windows. For instance, like Microsoft Windows, NJEMS is a graphical, object-oriented, multi-tasking environment. This may sound complicated, but it basically means that by using NJEMS:

- ◆ The system calls the files, applications, and documents you work on objects, and represents these objects with small pictures called icons.
- ◆ You manipulate objects by clicking with a mouse or issuing commands from menus.
- ◆ When you open an object (*i.e.*, open a document to work on or start an application) the object's icon opens to a window. Windows are screens that hold documents or applications. The window in which you currently work is the active window. All other open windows on your screen are inactive windows.

Since both Microsoft Windows and NJEMS are graphical environments, you may use many of the same commands, options, and techniques as you would when working with a Windows application, such as Microsoft Word. Examples of the similarities you'll notice between NJEMS and other applications are:

- ◆ Working with text (*i.e.*, cutting, copying, and pasting text).
- ◆ Working with windows (*i.e.*, minimizing, maximizing, and closing windows).
- ◆ Working with dialog boxes.
- ◆ Printing documents.

If you are familiar with Windows, many NJEMS commands will be second nature to you. If you have not yet worked with Windows, please read the section, *Getting Started with NJEMS*.

The New Jersey Environmental Management System

Although there are many similarities between NJEMS and Windows, keep in mind that NJEMS is not just another Windows application. NJEMS is a separate operating environment, designed specifically to help organize and manage your work in a way similar to how you work. For example, unlike a DOS or Microsoft Windows environment, you can:

- ◆ Give specific names to many of the documents you create.
- ◆ You are not limited to eight-character filenames. Instead, you can name your files in a descriptive manner (exactly as you would name them if you were working with paper and pen, not a computer), making it easy for you to locate them and easier for other users to identify the file contents.
- ◆ Store files in the system the same way you might store files in your office. The directory structure of NJEMS is graphically represented to you as activities (similar to folders) and documents. You can place and locate documents by storing them in activities. Note that once a document is located within an activity, it cannot be "moved" to another one.
- ◆ Access items from the Central File in a manner similar to checking books in and out of a library. With the proper authority, you can check out documents to modify. Then check them back in for the next user/reviewer.

New Jersey Environmental Management System Tools and Utilities

The New Jersey Environmental Management System contains various tools and utilities you may find helpful when doing your work. Notice that most of these tools enable you to perform your work in a "paperless environment." A few of these tools are:

- ◆ Online reference library—contains standard requirements, related to documents.
- ◆ Tickler notice—provides an alarm you can set to remind yourself or others of things to do in the future (e.g., important meetings or tasks).
- ◆ Note—attaches like a yellow adhesive note to documents. The note appears each time you open the document and remains attached to the document until you delete it.
 - Using the Documentation

Since in NJEMS you can work in almost any order throughout the permitting, planning, and enforcement process, the documentation may not specifically address how you choose to use NJEMS. Instead, this manual describes the most common steps to use when working with NJEMS.

Additionally, this manual describes each process only once. For example, the manual describes the Cancel button once, not on each window with a Cancel button.

This manual uses certain conventions throughout the text so you can interpret information easily.

The following table lists the text formatting conventions used in this manual.

Terms Used	Meaning
Bold font	Indicates key words or phrases in the text.
Italics	References the name of a section or another user manual.

Initial Capitals	Names a specific window, button, or field.
Bold sentence	Describes a specific step in a process or a specific action to perform.

The following table describes the terminology conventions used in this manual.

Terms Used	Meaning
Click	Quickly pressing and releasing the mouse button. This term is used to describe actions performed with command buttons.
Double Click	Clicking the mouse button twice, in double succession.
Drag	Holding the mouse button, while you move the mouse.
Select	Marking an item with the selection cursor. This can appear as a highlight, a dotted rectangle, or both.
Choose	Carrying out an action by selecting and clicking on an item. Choosing an item carries out an action, for example, closing a window or carrying out a menu command.
Below	After the text you are reading. In some cases, the diagram or section referred to may be on the following page
Above	Before the text you are reading. In some cases, the diagram or section referred to may be on the previous page.
Screen	Identifying a display as an example of what the text is describing.

- Getting Started with NJEMS

This section explains the basic functions you need to know in order to use The New Jersey Environmental Management System (NJEMS). These fundamentals include:

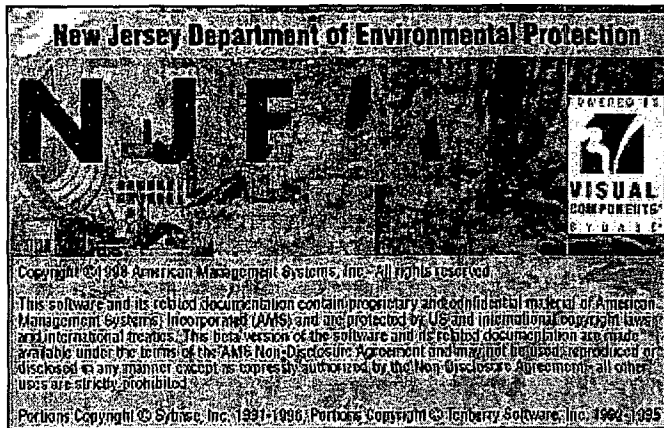
- ◆ How to logon and logoff of the system
- ◆ How to use windows, menus, and dialog boxes.

If you know Microsoft Windows, many of these concepts will be familiar to you. In this case, feel free to skip to Chapter 2: *The NJEMS Desktop*.

Logging On

To start NJEMS, perform the following steps:

1. Locate the NJEMS icon in Windows and double click on it. NJEMS displays a "splash screen" as it opens the application.



NJEMS then displays the Logon Window:

Logon

Enter a User ID and password to log onto
New Jersey Environmental Management System

User ID:

Password:

☐ Save User ID in INI File "end.in"

OK Cancel

2. Click in the User ID field and enter your user ID.
3. Click in the Password field and enter your password.
4. Click the OK button.

The Logon window closes and then you are able to see the "desktop," which is the entire workspace available in NJEMS.

Think of the desktop in the same way you think of the workspace in your office. The desktop contains all the documents you are working on, as well as the tools to do your job (i.e., utilities and reference materials).

Initially, The New Jersey Environmental Management System may look different to you than other applications with which you are familiar. This is because The New Jersey Environmental Management System is an object-oriented, graphical computing environment. Basically, instead of entering commands using only your keyboard, you can also use your mouse to manipulate the objects or items that you see on your desktop. These items appear on your desktop as graphic icons, representing different aspects of your working environment.

This section describes the basic concepts and techniques you need to know in order to begin working in the desktop. These concepts include:

- ◆ Understanding icons and windows
- ◆ Working with windows
- ◆ Using menus
- ◆ Using dialog boxes
- ◆ Understanding the parts of windows

Understanding Icons and Windows

When you initially logon to The New Jersey Environmental Management System, the Central File Window will appear maximized. Windows are screens that

Central File

Location of Interest: Marshall Einhorn's Training Site
Select Location: 123 TESTING RD.
Bergen County NJ 04321 Bergen

Display Activities For:
Program Area: Air/AMS
Program Interest Type: Air
Program Interest: 08888 Marshall Einhorn's Air Training Site

File Activities By:
Category: All
Class: All
Type: All
Status: Current

Activities and Documents

General		
Activity Tracking	02/23/1999	
Continuous Monitoring Inv.	02/23/1999	
BC990001 (RW) Bi-Annual Inspection	Pending 02/24/1999	
Compliance Evaluation	02/24/1999	Checked Out To: kim stojkovich
BOP990002 5 Year Renewal	Pending 02/25/1999	
Activity Tracking	02/25/1999	
Permit Document Set	02/25/1999	Checked Out To: Gary Singer
Permit Activity Summary	02/25/1999	
BOP Received (No Shield)	02/26/1999	Checked Out To: kim stojkovich

File Edit View Options Window Help

Go to: Listed Activities | Workspaces | All Documents | Personal | Create New Document | ... | Open | Read Only

display files and documents, and "hold" applications and utilities while you are using them. For example, when NJEMS is launched, the desktop opens a window displaying the contents of the Central File:

Double clicking on a document listed in the Central File Document Directory will launch a new window for that document. A window's title bar always contains a description of the information displayed in that window, (i.e., the text "Central File" displays in the title bar of the Central File Window).

On all windows in NJEMS, if the contents of the window cannot all be displayed on the screen at one time, a horizontal or vertical scroll bar will appear, allowing the user to move through the contents of the window by scrolling the view up or down.

Working with Windows

As you read from the previous section, windows are a fundamental part of NJEMS. NJEMS displays each document or utility you use on your desktop in a window. This section describes the various ways you can manipulate windows so you can work easily and efficiently on your desktop.

Using Multiple Windows

Often, you have more than one window open on your desktop. The window you are currently working in (i.e., the window in which you see the cursor) is called the active window. Active windows are highlighted in a different color than the other open window(s).

Moving Between Open Windows

One way to change which window is active is to move to another open window. To move between open windows, perform the following step:

- ◆ Move the mouse to the window you wish to make "active" and click.

Note: the desktop always moves the active window in front of all other open windows.

Moving Windows

You can arrange or move a window to a different position on your desktop. For example, you may want to move a document window to a different location so that you can view the contents of the window underneath it.

To move windows, perform the following steps:

- 1. Point to the window's title bar.**
- 2. Press and hold down the mouse button.**
- 3. Drag the title bar to a new location.**

Until you move the cursor to another window, the window you selected remains active.

Note: The actions described in the steps above are called "Drag and Drop." You'll use this technique often when working on the desktop.

Changing the Size of a Window

At times you may wish to change the size of a window on your desktop. You can change the window size by:

- ◆ Maximizing the window
- ◆ Minimizing the window
- ◆ Manually resizing the window
- ◆ Closing the window

The following sections describe each of these techniques.

Maximizing Windows

When working in NJEMS, you may want to view the contents of a window using the full computer screen. You can maximize the window so that it fills the entire desktop by:

- ◆ Clicking on the picture of a full window in the window's title bar. This button is called the Maximize button.



Note: When you maximize a window, the desktop does not close the open windows on your desktop. Instead, these windows remain open behind the maximized window.

Minimizing Windows

You can also minimize windows. Minimizing reduces a window to a title bar at the bottom of the desktop.

Minimizing does not close the window- it shrinks it to a title bar and remains running on the desktop. By clicking on the Maximize button in the title bar, you can quickly maximize the window. This makes it easy for you to quickly move between various documents without cluttering the desktop with several full-size open windows.

You can minimize a window by:

- ◆ Clicking on the picture of the small line in the window's title bar. This button is called the Minimize button.



You can restore a minimized window to its previous size by:

- ◆ Clicking on the Maximize button (pictured in the previous section).

Manually Resizing Windows

You can also manually resize the width and height of the window.

To resize a window:

- ◆ Move the pointer slowly over the border of the window until the pointer changes to a double-arrow.
- ◆ Drag the border to the desired size.

Note: Resizing windows is not recommended for most users because the forms and other windows are designed for you to view them at full-screen.

Closing Windows

At any time, you can close a window by:

- ◆ Clicking on the top right box in the window's title bar.



Using Menus

You can perform many of the basic actions in NJEMS, such as opening, closing, minimizing, and maximizing windows, by using menu commands instead of double clicking with a mouse. Menus are lists of commands that typically appear in a bar across the top of a window.

You can choose a menu command by either:

- ◆ Opening the menu and selecting the command with the mouse— For example, to select the Save command from the File menu, click on the File menu title to open the menu choices, then click on the Save command.
- ◆ Using the keyboard— Many menu commands contain keyboard shortcuts. These shortcuts are listed next to the menu command. For example, to copy an item, select the item to copy and press the CTRL and C keys.

The Control Menu

Each window in the desktop contains a special menu called the Control Menu. The Control menu lists commands that you can use to manipulate a window. To access the Control Menu:

- ◆ Click in the upper left corner of the window's title bar. Typically, you click on a small image in this corner.

The commands in the Control menu should be familiar to you from reading the previous sections.



Using the Toolbar

The Toolbar contains icons for the most commonly used tools and commands on the desktop. Although all of the Toolbar's commands and tools are available in the Menu, the Toolbar provides you with a fast and easy way to access these commands.

To access a command via the toolbar:

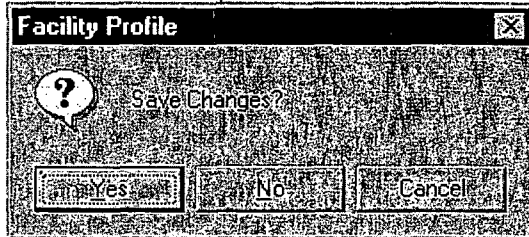
- ◆ **Click on the icon associated with the command that you want to perform.**

For example, you can click on the printer icon to print a document.

Using Dialog Boxes

When working in NJEMS, you'll frequently encounter dialog boxes. Dialog boxes are special types of windows that provide information to you, such as system messages; or request information from you, such as data the desktop needs to complete a command.

For example, when you choose to close a form using the Close command from the file menu, the following dialog box appears:



Note: Whenever you choose a menu command followed by an ellipse (e.g., the Save As or Print commands in the File menu), a dialog box prompts you for additional information.

Because dialog boxes are special types of windows, you can move and arrange the dialog boxes on your desktop as you would any window. However, unlike windows, you cannot close a dialog box until you enter the required information. Continuing the example, you cannot close the Save Changes dialog box until you click either the Yes, No, or Cancel buttons. Once you click on your selection, the dialog box closes automatically and completes the command appropriate to your response.

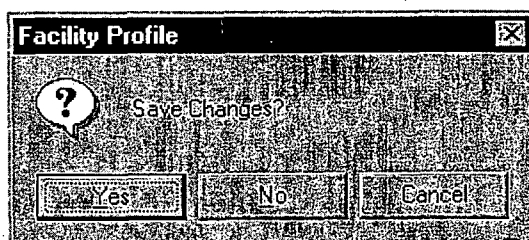
Understanding the Parts of Windows

When entering information into windows, you'll notice that most windows contain an assortment of buttons, boxes, and lists. This section describes the following components of a window and how to use each part.

- ◆ Command buttons
- ◆ Text boxes
- ◆ Long text fields
- ◆ Gray text fields
- ◆ Drop-down list boxes
- ◆ List boxes
- ◆ Radio buttons
- ◆ Check boxes
- ◆ Tabs

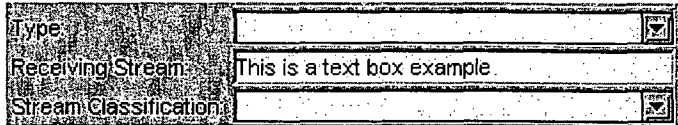
Command Buttons

Command buttons initiate an immediate action using the information you supply. For example, the Yes, No, and Cancel buttons are command buttons. You perform the command by clicking on a button.



Text Boxes

Text boxes are rectangular fields that allow you to enter textual information, such as the name of a document. Often a text box contains default information. In these cases, you can accept the default text, or type in new text.

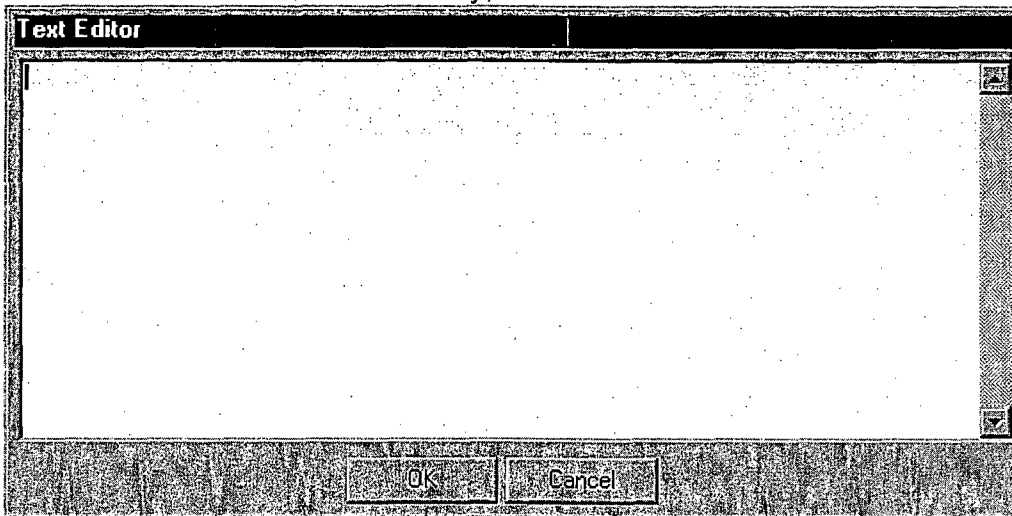


A screenshot of a form with three text boxes. The first box is labeled "Type:" and is empty. The second box is labeled "Receiving Stream:" and contains the text "This is a text box example". The third box is labeled "Stream Classification:" and is empty. Each box has a small square icon in the top right corner.

Long Text Fields

Some screens contain long (typically 50 to 2000 characters) text fields. To enhance data entry, these fields automatically scroll to the left as you type. When you tab out of one of these fields, it displays as many characters as fit in the field, beginning with the first characters entered.

To view the entire text in one of these fields, double-click on the field. The Text Viewer/Editor window opens, display the full text available in that field. You can edit or view the text using this window. If the field from which the Text Viewer/Editor window is read-only, the OK button on the window will be disabled.



A screenshot of the Text Editor window. The window has a title bar that says "Text Editor". The main area is a large text field with a dashed border. At the bottom of the window, there are two buttons: "OK" and "Cancel".

Gray Text Fields

In NJEMS, some text fields are grayed out, but you can still access them if you double-click in them. If a field can get "focus," meaning you can tab to the field and make it active, then you can double click on the field and enter information. A field has focus if a dashed line appears around the field when you tab or click on it.

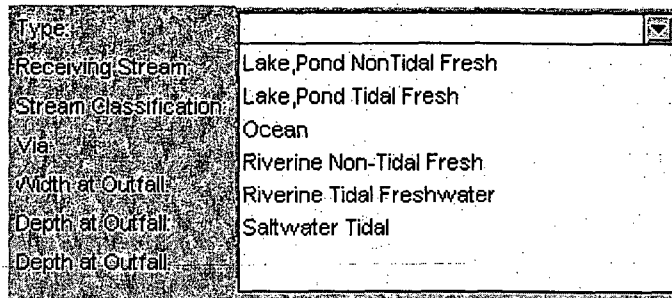
For example, in the Narrative Requirements Screen, the fields in the requirements table can get focus even though they appear gray.

<input checked="" type="checkbox"/>	a	In addition to conditions in Part I of this permit, the conditions in this section are applicable to activities at the permitted location are incorporated by reference. The permittee is required to comply with:	Standard	DGW990005 NEW NJ0063410
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You can double click in these fields to open up another window and enter data.

Drop-Down List Boxes

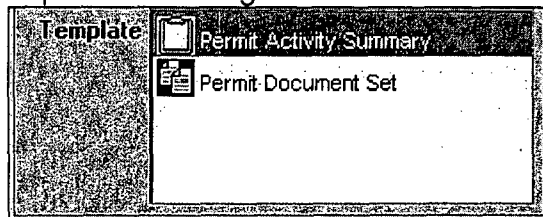
A drop-down list box looks like a normal text box, except the end of the text box contains an arrow button. By clicking on the arrow, the box "drops-down" displaying a list of items from which you may select. If there are more items than can fit in the window, you can scroll through the entire list using the vertical scroll bar located on the box's right side. To choose an item in a list box, click on the option.



A screenshot of a software interface showing a form with several fields. The fields are labeled on the left: 'Type', 'Receiving Stream', 'Stream Classification', 'Via', 'Width at Outfall', 'Depth at Outfall', and 'Depth at Outfall'. To the right of these labels is a large rectangular area containing a list of options. The options are: 'Lake,Pond NonTidal Fresh', 'Lake,Pond Tidal Fresh', 'Ocean', 'Riverine Non-Tidal Fresh', 'Riverine Tidal Freshwater', and 'Saltwater Tidal'. A small arrow button is visible at the top right of the list area.

List Boxes

A List Box is a list of items from which you may select. If there are more items than can fit in the list, you can scroll through the entire list using a vertical scroll bar located on the right side of the list. To choose an item in a list box, click on the option. List boxes are different from drop-down list boxes in that their values are always visible – i.e., the user need not click on the drop-down arrow to expand the listing.



A screenshot of a software interface showing a form with a list box. The list box is labeled 'Template' on the left. The list box contains two items: 'Permit Activity Summary' and 'Permit Document Set'. Each item has a small icon to its left.

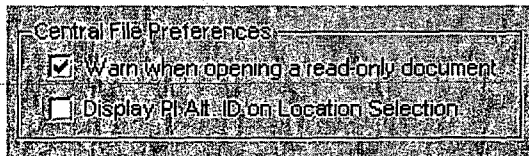
Radio Buttons

Radio buttons appear in a window as a group of mutually exclusive choices. Within each group, you can only select one radio button. The button selected looks like a black dot. You can change options by clicking on another button.



Check Boxes

Check boxes contain a list of options you can turn on and off, similar to a toggle button. By clicking in a check box, you can select as many or as few options in a group as you wish. When an option is enabled or turned on, the check box contains a ✓.



Tabs

Tabs divide the information in one screen so the screen is more manageable. When you click on a tab, an area of the screen with information corresponding to the tab comes to the front.



Exiting NJEMS

To exit NJEMS and return to Microsoft Windows:

- ◆ Choose Exit from the File menu.

NJEMS displays a prompt asking you whether you want to exit the application. If you click the Yes button, the NJEMS application closes and returns you to Microsoft Windows.

The Desktop

The NJEMS Desktop is a Microsoft Windows™ based graphical user interface which is an electronic metaphor for a professional user's office. The Desktop menus are an easy-to-use, top-level directory of all the functions NJEMS has to offer. After you know what the menu commands mean, you can quickly bring up whatever you want to work with on your desktop. To further simplify working with NJEMS, many menu commands have counterparts on the Toolbar, located just beneath the Menu bar. Clicking on a button has the same effect as selecting the corresponding item from a menu. Many menu commands also have keyboard shortcuts, enabling you to navigate without using the mouse.

This chapter gives an overview of the NJEMS Desktop application. The chapter:

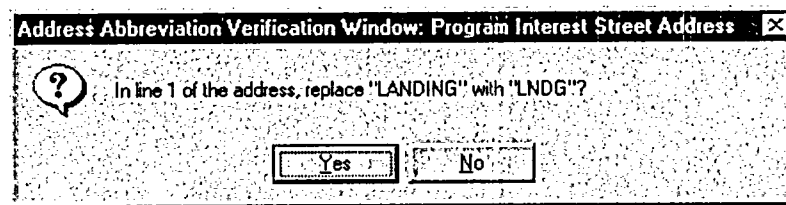
- ◆ Describes the layout of the application (bars and menus)
- ◆ Identifies the NJEMS programs and tools
- ◆ Describes the Central File Screen, from which users retrieve and create documents necessary to issue permits, enter reporting data, and create enforcement actions.
 - The Menu Bar

Because the menu structure in NJEMS conforms to Windows™ guidelines, many of the menu choices are common to other Windows™ programs and should be familiar to you. You can find most of the essential commands you use in NJEMS in the menus displayed in the Menu bar across the top of the screen. The Menu bar consists of several "pull down" menus. There may also be keyboard equivalents, or "hot keys," for certain menus and menu options. Keyboard equivalents are a combination of keys which, when pressed simultaneously, initiate a desktop utility. The drop-down menu always lists available hot key combinations to the right of the option.

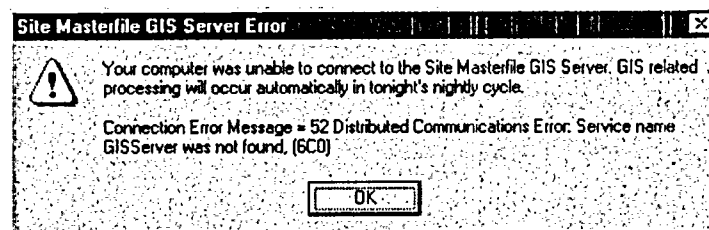
This document outlines the NJEMS menu items first by primary category or drop-down menu (e.g., File or Edit) and then by subcategory (e.g., Cut and Paste belong to one subcategory). In NJEMS, horizontal lines graphically separate subcategory groups on the menus.

The following display provides an example of the Menu bar.



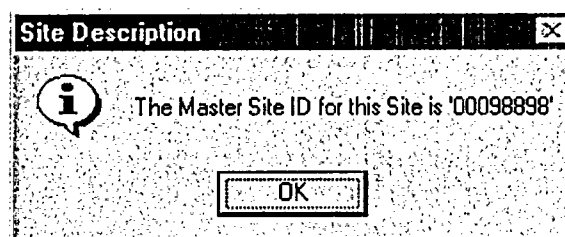


This window will display for each word in the street address that the system is trying to abbreviate. If you do not wish to replace the word, click on the “No” Button. If you wish to replace the word as it is abbreviated, click on the “Yes” Button



Since Site Masterfile is attached to the GIS System, but this functionality is not yet active, this window displays. Click on the “OK” Button

Whenever a new *Site/PI* is added to Site Masterfile, it is assigned a Master Site ID. This window is displaying the sequential number assigned to this *Site/PI* record. Click on the “OK” Button.



19. **Close the Record** – To close the record, click on “File, Close” from the Menu Bar or on the “X” in the upper right hand corner of the screen. The *Site Selection Window* will display with the new *Site/PI* record in the data results window. You can click on the “Cancel” Button to return to the *Site Masterfile Navigation Screen*.

7 Link an Existing Program Interest to a Site

If the *Site* does not currently existing, follow instructions in Section 6 – Add a New *Site/PI/Organization*, Steps 1-10.

After searching, if the *Site* does exist, click on the row to select it, and then on the "Modify" Button, or double-click on the row. The *Site Info Tab* displays.

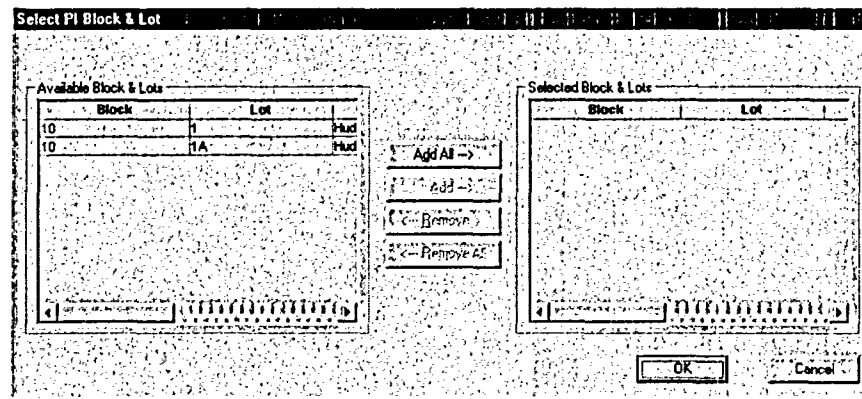
1. Click on the *Program Interest Info Tab*. The *Program Interest Selection Window* displays.

2. Click on the "Add" Button on the *Program Interest Info Tab*.
3. Enter your search criteria and click on the "Find" Button. Once the *Program Interest* is found, click on the row to select it, and then on the "Add PI to Current Site" Button. (This procedure is also used when linking a *Program Interest* to more than one *Site* record.)
4. If additional data needs to be entered, you can enter it now or select from the drop-down lists. To add a **Responsible Entity**, please follow procedures to add a Property Owner above.

Note: If after searching, the *Organization* record does not exist, you can then click on the "Create Org from PI Data" Button (this should be used when the *Organization* data is the same as the *Program Interest*). This will automatically copy data from the *Program Interest Info Tab*, or click on the "Add" Button to enter the *Organization* data manually.

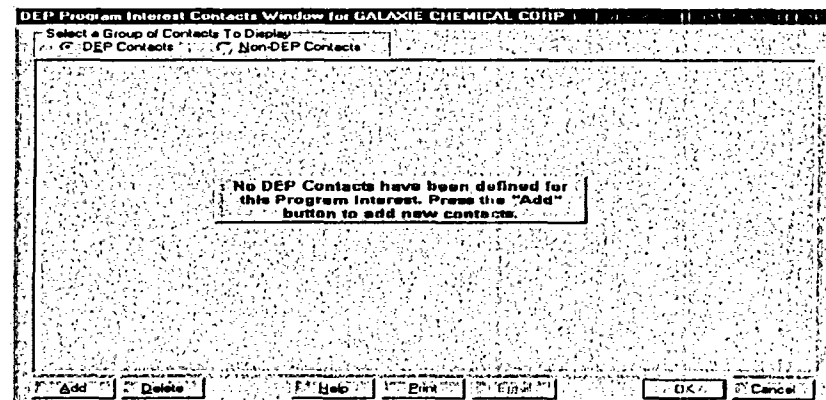
5. If you created a new *Organization* record, click on the "X" in the upper right corner of the screen. You will be prompted to save the record. Click on the "Yes" Button. The *Program Interest Info Tab* will display with the *Organization* name automatically inserted in the responsible entity field. Enter a start date for the property owner.

6. **Add a Block and Lot** – Blocks and lots must be entered on the *Site* record before they can be selected on the *Program Interest*. Click on the "Block & Lot" Button. Click on the "Select Lot & Blocks" Button. The *Select PI Block & Lot Window* displays.



To select specific blocks and lots, click on the row in Available Blocks & Lots to select it, and then on the "Add" Button. To select all of the blocks and lots, click on the "Add All" Button. Click on the "OK" Button. The *PI Block & Lot Window* displays. Click on the "OK" Button to return to the *Program Interest Info Tab*.

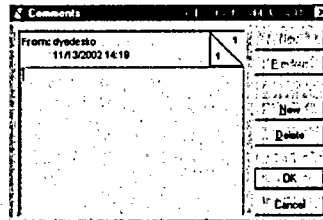
7. **Add a DEP Program Interest Contact** – DEP as well as Non-DEP Program Interest contacts can be entered. You can add one or many contacts for each *Program Interest* record. Click on the "Contacts" Button. The *DEP Program Interests Contact Window* displays.



DEP Contact – Since the DEP Contacts radio button is already selected, click on the "Add" Button. Select the contact type and name from the drop-down list.

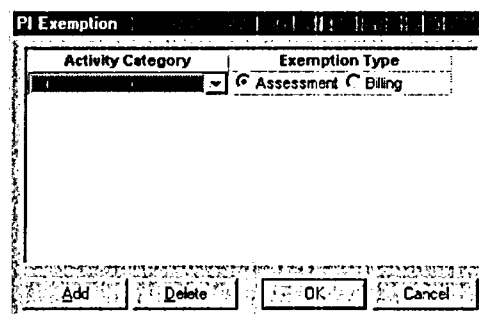
Non-DEP Contact – Click on the Non-DEP Contacts radio button to select it. Click on the “Add” Button. Enter the contact data. If you need to associate an *Organization* with this contact, double-click in the gray field of Contact Org. The *Organization Selection Window* displays. Follow the procedures to add a Property Owner or Responsible Entity above. Click on the “OK” Button to return to the *Program Interest Info Tab*.

8. **Add PI Comments** - If adding PI comments, click on the “Comments” Button. The *Comments Window* will display.



Enter your comments. Click on the “OK” Button to return to the *Program Interest Info Tab*.

9. **PI Exemptions** – If a *Program Interest* record should be exempt from being either assessed or billed, perform the following. Click on the “Exemptions” Button. The *PI Exemption Window* displays.

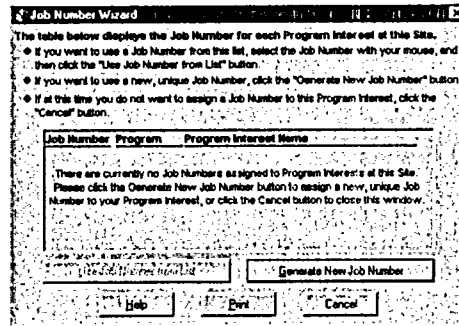


Select the Activity Category from the drop-down list. If you do not want an assessment to be created for the *Program Interest*, make sure the Assessment radio button is selected. If an assessment can be created, but you do not want a bill record to be created, click on the Billing radio button. Click on the “OK” Button. The *Program Interest Info Tab* displays.

10. **Job Numbers** – If a job number needs to be generated for the *Program Interest* record, click on the “Add Job Num.” Button on the *Program Interest Info Tab*. The *Job Number Wizard Window* displays.

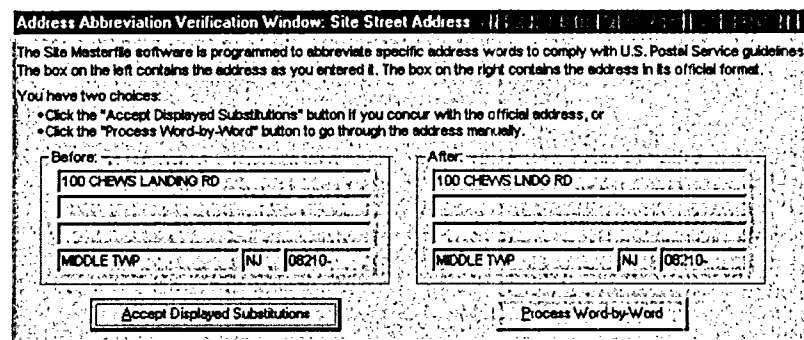
If creating a new job number, click on the “Generate New Job Number” Button. A job number is automatically generated and inserted into the Job Number field. If a job number has already been generated on an existing *Program Interest* record, and you want to select one from the list, click on

the job number to select it and then on the “Use Job Number From List” Button. The job number will automatically be inserted into the Job Number field.

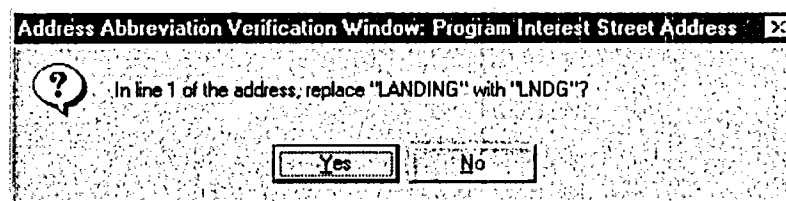


11. **Save the Record** – To save the record, click on “File, Save” from the Menu Bar or on the “Save” icon on the Toolbar.

Address Abbreviation - If your User Preferences are not set to perform an address abbreviation automatically, and the system determines words should be abbreviated, the *Address Abbreviation Verification Window* displays.



It displays the user-entered address, as well as how the address will be abbreviated after the record is saved. If you accept the abbreviation, click on the “Accept Displayed Substitutions” Button. If you do not accept the abbreviation, click on the “Process Word-by-Word” Button. The *Address Abbreviation Verification Window* displays.



This window will display for each word in the street address that the system is trying to abbreviate. If you do not wish to replace the word, click on the "No" Button. If you wish to replace the word as it is abbreviated, click on the "Yes" Button

12. **Close the Record** – To close the record, click on "File, Close" from the Menu Bar or on "X" in the upper right hand corner of the screen. The *Site Selection Window* will display with the new *Site/PI* record in the data results window. You can click on the "Cancel" Button to return to the *Site Masterfile Navigation Screen*.

8 Add a New Program Interest Record to an Existing Site

The first step in this process is opening the *Site Selection Window*. This window can be opened by clicking on the *Sites* picture button on the *Site Masterfile Navigation Screen*.

1. Enter your search criteria, and click on the "Find" Button. When the record displays, click on the row to select it, and then on the "Modify" Button, or double-click on the row. The *Site Info Tab* displays.
2. Click on the "Copy Forward" Button on the *Site Info Tab*. This will copy any data entered on the *Site Info Tab* to the *Program Interest Info Tab*.

If a Property owner was entered on the *Site Info Tab*, a window will display allowing you to select the property owner to be automatically entered as the Responsible Entity on the *Program Interest Info Tab*. Click on the property owner name, and then on the "OK" Button. If you do not wish to select the property owner as the responsible entity, click on the "Cancel" Button.

If Blocks and Lots were entered on the *Site Info Tab*, a window will display allowing you to select the blocks and lots for the *Program Interest*. Add either specific blocks and lots or add all of them and then click on the "OK" Button.

3. Add necessary data. If adding a Responsible Entity, Comments, Exemptions, DEP and Non-DEP PI Contacts, refer to Section 6 – Add a New Site/PI/Organization.
4. **Note:** If a job number has already been generated on an existing *Program Interest* record, and you need to generate one for your *Program Interest*, click on the "Add Job Number" Button. Any existing job numbers will be displayed, you can either click on the job number to select it, and then on the "Use Job Number from List" Button, or

generate a new job number by clicking on the "Generate New Job Number" Button.

5. To save the record, click on "File, Save" from the Menu Bar or on the "Save" icon on the Toolbar.
6. If adding an *Air Program Interest*, follow procedure #18 in Section 6 – Add a New Site/PI/Organization record.
7. **Close the Record** - To close the record, click on "File, Close" from the Menu Bar or on "X" in the upper right hand corner of the screen. The *Site Selection Window* will display with the new *Site/PI* record in the data results window. You can click on the "Cancel" Button to return to the *Site Masterfile Navigation Screen*.

9 Modify an Existing Site/PI/Organization Record

The first step in this process is opening the *Site Selection Window*. This window can be opened by clicking on the *Sites* picture button on the *Site Masterfile Navigation Screen*.

1. Enter your search criteria, and click on the "Find" Button. When the record displays, click on the row to select it, and then on the "Modify" Button, or double-click on the row. The *Site Info Tab* displays.
2. **Modify Site Data** - If the *Site* record has not yet been verified and QA'd by the Data Administration staff, you will have the ability to edit the *Site* record. If it has already been QA'd, the *Site Info Tab* will be grayed-out and a Change Request will need to be submitted.

Insert a New Site Name – (this can only be done if the *Site* record has not yet been QA'd) - In order to preserve the historical data for a record, a new row should be inserted when a facility changes their name. Click in the Site Name field, and then on the "Insert Row" icon on the Toolbar. A new blank row will be inserted. Enter the new *Site* name in the Site Name field. Enter a start date for the new name and an end date for the old name.

3. **Modify Property Owner Data** - Once an *Organization* record has been saved, a Change Request will need to be submitted to update this data.

Insert a New Property Owner - (this can only be done if the *Site* record has not yet been QA'd) - In order to preserve the historical data for a record, a new row should be inserted when a property owner changes (or if you need to add multiple property owners). Click in the Property Owner

field, and then on the "Insert Row" icon on the Toolbar. A new blank row will be inserted. Double-click on the grayed-out Property Owner field. Follow procedures to add a new Property Owner Section 6 – Add a New Site/PI/Organization.

If you are not adding multiple property owners, enter an End Date on the old property owner.

4. **Modify Program Interest Data** – Click on the *Program Interest Info Tab*. Modify necessary data. If more than one *Program Interest* is attached, you may need to click on the "Next" Button to display your *Program Interest*.
5. **Modify Responsible Entity Data** – Once an *Organization* record has been saved, a Change Request will need to be submitted to update this data.

Insert a New Responsible Entity - In order to preserve the historical data for a record, a new row should be inserted when a responsible entity changes (or if you need to add multiple responsible entities). Click in the Responsible Entity field, and then on the "Insert Row" icon on the Toolbar. A new blank row will be inserted. Double-click on the grayed-out Property Owner field. Follow procedures to add a new Property Owner in Section in Section 6 – Add a New Site/PI/Organization.

If you are not adding multiple responsible entities, enter an End Date on the old property owner.

6. If editing Comments, Exemptions, DEP and Non-DEP Site Contacts, please refer to Section 6 – Add a New Site/PI/Organization for instructions on accessing these windows.
7. To save the record, click on "File, Save" from the Menu Bar or on the "Save" icon on the Toolbar.
8. **Close the Record** - To close the record, click on "File, Close" from the Menu Bar or on "X" in the upper right hand corner of the screen. The *Site Selection Window* will display with the new *Site/PI* record in the data results window. You can click on the "Cancel" Button to return to the *Site Masterfile Navigation Screen*.

10 Site/Organization Change Requests

Change Requests are submitted by users with either Update or Read Only access to request modifications to data in Site Masterfile. They can be

submitted for *Site* and *Organization* (Property Owner, Responsible Entity) records. Once submitted, they are assigned a status of Pending. These requests are reviewed by the Data Administration staff. If, after verification it has been decided the modification should be made, the Data Administration staff will modify the record and change the status to Approved. If, after verification it has been decided the modification should not be made, an explanation will be returned in the original Change Request and the status will be set to Denied.

If the *Site* record has not yet been verified and QA'd by the Data Administration staff, you will have the ability to edit the *Site* record. If it has already been QA'd, the *Site Info Tab* will be grayed-out and a Change Request will need to be submitted.

Once an *Organization* record has been saved, a Change Request will need to be submitted to update this data.

Requests should be specific as to what modifications need to be made, and include any information for required fields that are being modified. Example: If a facility has changed names, the new *Site* name as well as the Start Date and End Date for the existing facility name should be submitted. If a new Property Owner is being requested, and the *Organization* record does not currently exist in Masterfile, all required information for that *Organization* should be submitted, including name, start date, organization type, mailing address, etc.

Site Change Request - Any requests for modifications to the *Site*, including adding new or multiple Property Owners should be submitted on the *Site Info Tab*. In the bottom white box labeled "Change Request:", click in this white box, and then on the "Add Row" icon on the Toolbar (or right click your mouse and select "Add Row"). Enter your request (the screen scrolls down to allow for numerous rows of text). Save and close the record. The request will then display on the Data Administration Screen for staff to review.

Organization Change Request - Any requests for modifications to the *Organization*, should be submitted on the *Organization Description Screen*. Double-click in the gray box of the property owner/responsible entity to open the *Organization Description Screen*. Click in the white box in the middle of the screen that is labeled "Description", and then on the "Add Row" icon on the Toolbar (or right click your mouse and select "Add Row"). Enter your request (the screen scrolls down to allow for numerous rows of text). Click on the "X" in the upper right hand corner to save and close the *Organization* record. Save and close the *Site/Program Interest* record. The request will then display on the Data Administration Screen for staff to review.

11 Foreign/Out of State Addresses

If a foreign or out of state address needs to be entered on a *Site, Program Interest, or Organization*:

1. Select the state/country from the drop-down list for the state (which currently defaults to NJ).
2. Once the state/country is selected, the city and zip code fields will become free-text fields to allow you to enter your own city and the zip code.

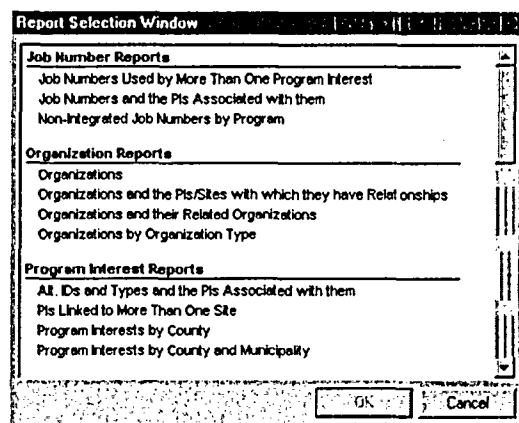
12 Reports

Site Masterfile contains several standard reports designed to provide users with access to data which is not readily available in a consolidated format elsewhere. Each report has a corresponding security component, which allows security to be set up on a report-by-report basis. Therefore, all users may not have access to all reports.

Three screens allow users to select and run any of the available standard reports: the *Reports Selection Window*, the *Report Criteria Window*, and the *Report Screen*.

The ***Report Selection Window*** allows you to select a single report from the list of available reports.

1. To access this window, click on the "Reports" picture button on the *Site Masterfile Navigation Screen*.
2. Click on to select the report, and then on the "OK" Button.



The **Report Criteria Window** allows you to designate selection criteria for a report. It automatically displays after a report has been selected from the **Report Selection Window**.

Note: If criteria is not selected on the **Report Criteria Window**, it will return results for every record in Site Masterfile that quality as per the report you are running. (Below is an example of the **Report Criteria Window** for the Program Interests by County and Municipality Report.)

Report Criteria Window: Program Interests by County and Municipality

Select a County and/or a Municipality, or leave blank to report on all Program Interests, regardless of location.

County: [Drop-down menu]

Municipality: [Drop-down menu]

Select a Program, or leave blank to report on all Programs.

Program: [Drop-down menu]

Select which Sites to report on:

☒ All Sites

☐ Physical Sites

☐ Non-Physical Sites

[OK] [Cancel]

1. Select criteria from the drop-down lists or enter data in fields when appropriate.
2. Click on the "OK" Button.

The **Report Screen** displays the results (if any) of the report. If the report does not return any data, the system displays an appropriate message and allows you to change the selection criteria for the current report or select another report. From this screen, you can print the report as well as save it as an MS Word document, Excel spreadsheet, etc. In order to do this, click on the "File" Menu and click on your selection. (Below is an example of the **Report Screen** for the Program Interests by County and Municipality Report.)

Report Screen: Program Interests by County and Municipality

County: Atlantic Municipality: Atlantic City Program: All

Program Interest Name	Preferred ID Number	Program Interest Type	Action
ACRA - SPRING BOLLIVARD SITE	7027	AP	Yes
ADAMAR OF NEW JERSEY INC	70127	AP	Yes
AMERADA HESS CORP HESS STATION 3024	A7026	AP	No
ATL CITY ATHEMENS ASSN-ATHEMENS STATION	A7206	AP	Yes
ATLANTIC CITY AIRPORT	70227	AP	Yes
ATLANTIC CITY BD OF ED-BRONTON AVENUE SCH	70221	AP	Yes
ATLANTIC CITY BD OF ED-NEW JERSEY AVE SCH	70263	AP	Yes
ATLANTIC CITY BD OF ED-NORTH SIDE SCHOOL	70138	AP	Yes
ATLANTIC CITY BOARD OF EDUCATION	70222	AP	Yes
ATLANTIC CITY C.D. - 20010	70232	AP	Yes
ATLANTIC CITY DEPT OF PUBLIC WORKS-CITY YAF	70216	AP	No
ATLANTIC CITY HOUSING AUTHORITY-4121 TONE	70208	AP	Yes
ATLANTIC CITY LINEN SUPPLY	7054	AP	Yes
ATLANTIC CITY LINEN SUPPLY	70179	AP	No

Selection criteria for report: County = Atlantic, Municipality = Atlantic City, Program = All, All Sites

Number of records: 118

[Change Criteria for Current Report] [Select Different Report]

Below is a list of the standards reports, and the results attained from running them:

Job Numbers Used by More than one Program Interest – This report lists all job numbers which are shared by multiple *Program Interests*.

Job Numbers and the PIs Associated with them – This report lists all job numbers and the *Program Interests* which use each number.

Non-Integrated Job Numbers by Program – This report lists all job numbers created for Programs that are not yet integrated into the Site Masterfile.

Organizations – This report lists basis information about Site Masterfile *Organizations*. It provides information found on the *Organization Description Screen*.

Organizations and the PIs/Sites with which they have Relationships – This report lists *Organizations* and the *Program Interests* and *Sites* they are currently attached to as a Property Owner, Responsible Entity or Non-DEP PI Contact Org.

Organizations and their Related Organizations – This report lists *Organizations* that are related to other *Organizations*.

Organizations by Organization Type – This report lists *Organizations* grouped by a specific Organization type.

Alt. IDs and Types and the PIs Associated with them – This report lists each *Program Interest* which has one or more Alternate IDs associated with it.

PIs Linked to More Than One Site – This report lists information about *Program Interests* that are linked to more than one *Site*.

Program Interests by County – This report lists *Program Interests* located within a specific county.

Program Interests by County and Municipality – This report lists *Program Interests* located within a specific county and municipality.

Program Interests by Program – This report lists *Program Interests* by Program Area.

Program Interests by Program and PI Type – This reports lists *Program Interests* by Program Area and PI Type.

SIC Codes and the Pls Associated with them – This report lists *Program Interests* associated with specific SIC Codes.

Security Components and their Users – This report lists the Site Masterfile security components and the users associated with them. An example of a security component is having access to update the Site Description Screen.

Security Components by User Group – This report lists each User Group and the security components and access level within it.

Users and the Pls/Sites for which they are Contacts – This report lists Site Masterfile Users and the *Program Interests* and/or *Sites* for which they are listed as DEP Site Contact and/or DEP Program Interest Contacts.

Users and their Security Access Level(s) – This report lists Site Masterfile users and the security component(s) to which they have access.

Users by User Group – This report lists User Groups and the individual users that are assigned to the security user group.

Users with Conflicting Security Access – This report lists Site Masterfile users and the security component(s) to which they have multiple and/or conflicting access levels.

Users with Duplicate Security Access – This report lists users and security components to which they have dual (repeated) access levels.

Potential Duplicate Sites Report – This report lists *Sites* which might represent duplicate data entry records.

Sites – This report lists basic information about *Sites* and the *Program Interests* associated with them.

Sites Not in Site Masterfile Shapefile – This reports lists basic information about Non-Physical Sites without GIS coordinates.

Sites and their Related Sites – This report lists *Sites* and other *Site(s)* which have been related through the Site-to-Site X-Ref function on the *Site Info Tab*.

13 De-Activating Program Interests

If your Program Area currently does not have an interest at a particular *Site*, the *Program Interest* record can be de-activated. To de-activate a *Program Interest* record, on the *Program Interest Info Tab*, click to de-select the

checkmark in the "Active" checkbox. The text will turn from blue to red. In the "Date(s) of DEP's Program Interest fields, a start and end date must be entered before the record can be saved.

Note: The *Program Interest* can be activated again at any time by clicking in the "Active" checkbox, and deleting the end date.

14 Deleting Sites/Program Interests

Sites and *Program Interest* records cannot be deleted through the application once they are saved. If it is determined that a *Site* or *Program Interest* has been entered in error, either submit a Site Change Request or e-mail to DEP's Data Administrator.

15 Unlinking Program Interests

If a *Program Interest* record is linked to an incorrect *Site*, it can be unlinked. Submit a Site Change Request or e-mail to DEP's Data Administrator.

If the correct *Site* already exists in Masterfile, it can then be linked to the correct site, by following instructions in Section 7 – Link an Existing Program Interest to a Site. If the correct *Site* does not exist, follow instructions in Section 6 to add the new *Site* and then the instructions to link the *Program Interest*.

16 Transfer Program Interest from One Site to Another

If a *Program Interest* record is connected to an incorrect *Site*, and a *Site* record exists in Masterfile where it should be connected to, it can be transferred from one *Site* to another. Submit a Site Change Request on the *Site* record with the ID of the *Program Interest* that should be transferred with the Master Site ID of the *Site* record the *Program Interest* should be transferred to.

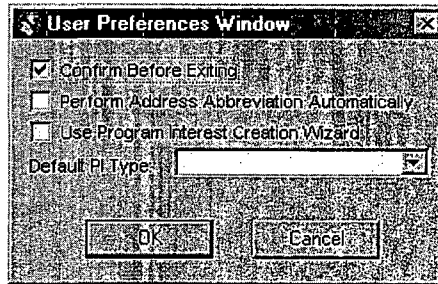
17 Modifying Program Interest Preferred IDs

Once a *Site* and *Program Interest* record have been saved, the PI Preferred ID cannot be edited. If an incorrect ID is detected, submit a Site Change Request or e-mail to DEP's Data Administrator. If the ID should be a specific one, submit the number in the Change Request.

18 User Preferences

There are four User Preferences that can be set for your User ID in Site Masterfile: Confirm Before Exiting, Perform Address Abbreviation Automatically, Use Program Interest Creation Wizard, and Default PI Type.

These preferences can be changed by the user at any time from within the application. To access User Preferences, click on "Tools, User Preferences..." from the Menu Bar. The *User Preferences Window* displays.



Click in the checkbox to either select the preference (if the box does not have a checkmark) or to turn off a preference (to delete the checkmark). Click on the "OK" Button.

Confirm Before Exiting – If turned on, the Site Masterfile will prompt you to confirm "Yes" or "No" every time you choose to exit the application.

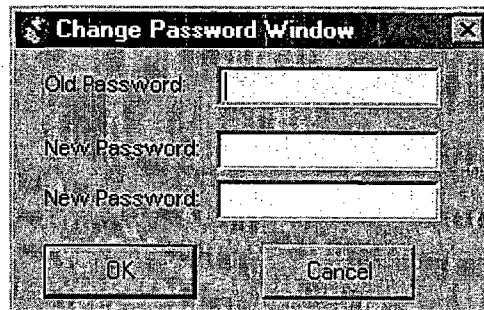
Perform Address Abbreviation Automatically – If turned on, Site Masterfile will automatically verify and update all address information that is entered by capitalizing addresses and replacing some words with their approved abbreviation. If turned off, the address abbreviation verification window will display as instructed in #18 (Address Abbreviation) under Section 6 – Add a New Site/PI/Organization Record, which allows the user the manual process of abbreviating specific words in the address.

Use Program Interest Creation Wizard – There is a step-by-step wizard which guides the user through the process of creating a new *Program Interest*. Once the *Site* record exists (whether it was newly created or was existing), the wizard entails a series of windows where data can be selected or entered to create the new *Program Interest* record.

Default PI Type – If a PI type is selected from this drop-down list, the user does not have to select the Program Interest Type when adding a new *Program Interest* to Site Masterfile. Even if this user preference is selected, the user still has the ability to change the Program Interest type before saving the record.

19 Change Password

If you need to change your password, click on "Tools, Change Password...." from the Menu Bar. The *Change Password Window* displays.



1. Enter your existing password in the "Old Password" field.
2. Enter the new password twice in both of the "New Password" fields.
3. Click on the "OK" Button.

20 User IDs/Password/Security Access

User IDs, Passwords and security access are assigned by DEP's Data Administration staff. If you need Masterfile access, please have your Program Area Data Administrator contact DEP's Help Desk to submit this request. This request should include your name, program area, telephone number and fax number, and what type of access is required (update or read only).

21 Reference Tables

Any updates or additions to Masterfile reference table values should be submitted to DEP's Data Administration staff.

Introduction

1.1 Introduction

The New Jersey Environmental Management System (NJEMS) supports collection and review of permit applications, as well as emission statements, testing documents, monitoring reports and enforcement actions. NJEMS also provides the capability to generate permits. By using NJEMS, you can:

- ◆ Create new permits, modify permits, and renew permits by utilizing requirement libraries and customization functions.
- ◆ Create inspection checklists and record inspection results.
- ◆ Create violations and enforcement actions.
- ◆ Manage reporting data and automate compliance verification.
- ◆ Review your workload and assess the amount of time a task should take to complete.
- ◆ Easily access permitting, planning, testing, and enforcement data you need to do your job.

1.2 Understanding The New Jersey Environmental Management System

NJEMS is a combination of an operating environment, applications, and utilities that run "on top of " Microsoft® Windows™. Because NJEMS runs in the Windows environment, it operates in much the same way as Microsoft Windows.

For instance, like Microsoft Windows, NJEMS is a graphical, object-oriented, multi-tasking environment. This may sound complicated, but it basically means that by using NJEMS:

- ◆ The system calls the files, applications, and documents you work on objects, and represents these objects with small pictures called icons.
- ◆ You manipulate objects by clicking with a mouse or issuing commands from menus.
- ◆ When you open an object (*i.e.*, open a document to work on or start an application) the object's icon opens to a window. Windows are screens that hold documents or applications. The window in which you currently work is the active window. All other open windows on your screen are inactive windows.

Since both Microsoft Windows and NJEMS are graphical environments, you may use many of the same commands, options, and techniques as you would when working with a Windows application, such as Microsoft Word. Examples of the similarities you'll notice between NJEMS and other applications are:

- ◆ Working with text (*i.e.*, cutting, copying, and pasting text).
- ◆ Working with windows (*i.e.*, minimizing, maximizing, and closing windows).
- ◆ Working with dialog boxes.
- ◆ Printing documents.

If you are familiar with Windows, many NJEMS commands will be second nature to you. If you have not yet worked with Windows, please read the section, *Getting Started with NJEMS*.

1.2.1 The New Jersey Environmental Management System

Although there are many similarities between NJEMS and Windows, keep in mind that NJEMS is not just another Windows application. NJEMS is a separate operating environment, designed specifically to help organize and manage your work in a way similar to how you work. For example, unlike a DOS or Microsoft Windows environment, you can:

- ◆ Give specific names to many of the documents you create.
- ◆ You are not limited to eight-character filenames. Instead, you can name your files in a descriptive manner (exactly as you would name them if you were working with paper and pen, not a computer), making it easy for you to locate them and easier for other users to identify the file contents.

- ◆ Store files in the system the same way you might store files in your office. The directory structure of NJEMS is graphically represented to you as activities (similar to folders) and documents. You can place and locate documents by storing them in activities. Note that once a document is located within an activity, it cannot be "moved" to another one.
- ◆ Access items from the Central File in a manner similar to checking books in and out of a library. With the proper authority, you can check out documents to modify. Then check them back in for the next user/reviewer.

1.2.2 New Jersey Environmental Management System Tools and Utilities

The New Jersey Environmental Management System contains various tools and utilities you may find helpful when doing your work. Notice that most of these tools enable you to perform your work in a "paperless environment." A few of these tools are:

- ◆ Online reference library—contains standard requirements, related to documents.
- ◆ Online help facility—contains answers to questions you may have about NJEMS and its forms.
- ◆ Tickler notice—provides an alarm you can set to remind yourself or others of things to do in the future (*e.g.*, important meetings or tasks).
- ◆ Note—attaches like a yellow adhesive note to documents. The note appears each time you open the document and remains attached to the document until you delete it.

1.3 Using the Documentation

Since in NJEMS you can work in almost any order throughout the permitting, planning, and enforcement process, the documentation may not specifically address how you choose to use NJEMS. Instead, this manual describes the most common steps to use when working with NJEMS.

Additionally, this manual describes each process only once. For example, the manual describes the Cancel button once, not on each window with a Cancel button.

This manual uses certain conventions throughout the text so you can interpret information easily.

The following table lists the text formatting conventions used in this manual.

Terms Used	Meaning
Bold font	Indicates key words or phrases in the text.
Italics	References the name of a section or another user manual.
Initial Capitals	Names a specific window, button, or field.
Bold sentence	Describes a specific step in a process or a specific action to perform.

The following table describes the terminology conventions used in this manual.

Terms Used	Meaning
Click	Quickly pressing and releasing the mouse button. This term is used to describe actions performed with command buttons.
Double Click	Clicking the mouse button twice, in double succession.
Drag	Holding the mouse button, while you move the mouse.
Select	Marking an item with the selection cursor. This can appear as a highlight, a dotted rectangle, or both.
Choose	Carrying out an action by selecting and clicking on an item. Choosing an item carries out an action, for example, closing a window or carrying out a menu command.
Below	After the text you are reading. In some cases, the diagram or section referred to may be on the following page
Above	Before the text you are reading. In some cases, the diagram or section referred to may be on the previous page.
Screen	Identifying a display as an example of what the text is describing.

1.3.1 Chapters in the Manual

The New Jersey Environmental Management System *User's Guide* is divided into the following chapters:

- ◆ Chapter 1: Introduction - Describes the basic functions you need to know in order to use NJEMS. The chapter also includes a section on getting started in a Windows environment.
- ◆ Chapter 2: The NJEMS Desktop - Introduces you to The New Jersey Environmental Management System, describing how to customize your desktop. The chapter also discusses how to use the Central File to manage the work on your desktop.
- ◆ Chapter 3: NJEMS Utilities - Describes the utilities in NJEMS that system administrators might use for maintenance or features that all users will need regardless of the area in NJEMS you use. This chapter also discusses how to use the Activity Tracking Screens to track the workflow status at a site or document level.
- ◆ Chapter 4: Permitting Air - Shows you how to create a permit application, and create a permit document set, either from a RADIUS application or from a permit application.
- ◆ Chapter 5: Permitting Water - Shows you how to create a permit document set.
- ◆ Chapter 6: Technical Services Air - Describes the testing forms you need to complete for inspections of Air facilities.
- ◆ Chapter 7: Water Reporting - Describes how to record monitoring results in the water program.
- ◆ Chapter 8: Planning - Describes the process of entering emission information and creating emission statements based on permit forms.
- ◆ Chapter 9: Enforcement - Describes how to record incidents, perform compliance evaluations, manage the violation list, and prepare enforcement actions.

Note: NJEMS currently supports both the air and water programs. Chapters 4, 6 and 8 describe air specific NJEMS functions. Chapters 5 and 7 describe water specific NJEMS functions. All other chapters describe multi-program NJEMS functions. Exceptions to this are identified in the text.

1.4 Getting Started with NJEMS

This section explains the basic functions you need to know in order to use The New Jersey Environmental Management System (NJEMS). These fundamentals include:

- ◆ How to logon and logoff of the system
- ◆ How to use windows, menus, and dialog boxes
- ◆ How to access the online help facility

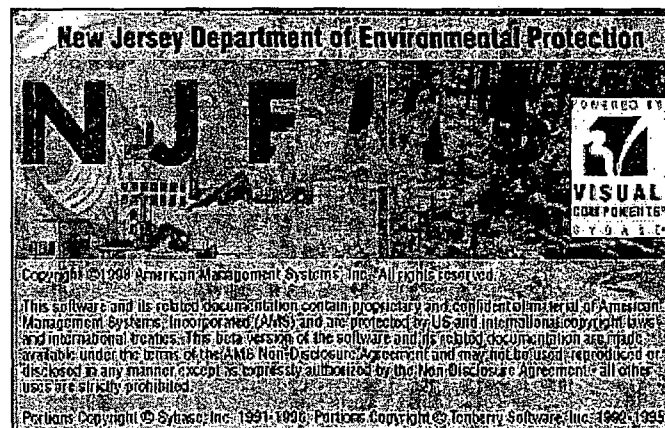
If you know Microsoft Windows, many of these concepts will be familiar to you. In this case, feel free to skip to Chapter 2: *The NJEMS Desktop*.

1.4.1 Logging On

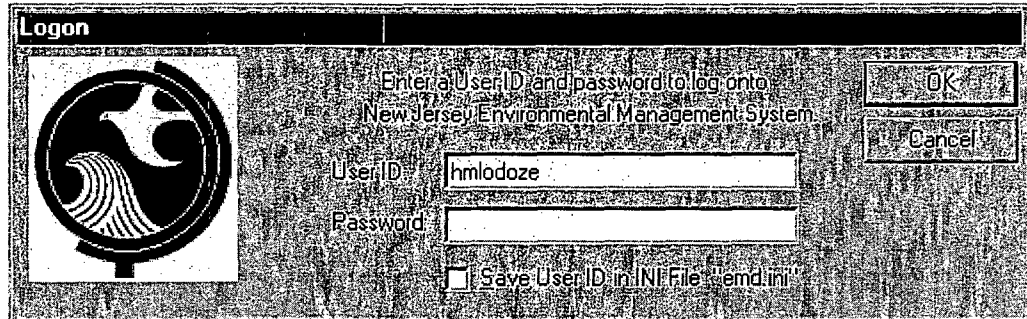
To start NJEMS, perform the following steps:

1. **Locate the NJEMS icon in Windows and double click on it.**

NJEMS displays a “splash screen” as it opens the application.



NJEMS then displays the Logon Window:



2. Click in the User ID field and enter your user ID.
3. Click in the Password field and enter your password.
4. Click the OK button.

The Logon window closes and then you are able to see the "desktop," which is the entire workspace available in NJEMS.

Think of the desktop in the same way you think of the workspace in your office. The desktop contains all the documents you are working on, as well as the tools to do your job (*i.e.*, utilities and reference materials).

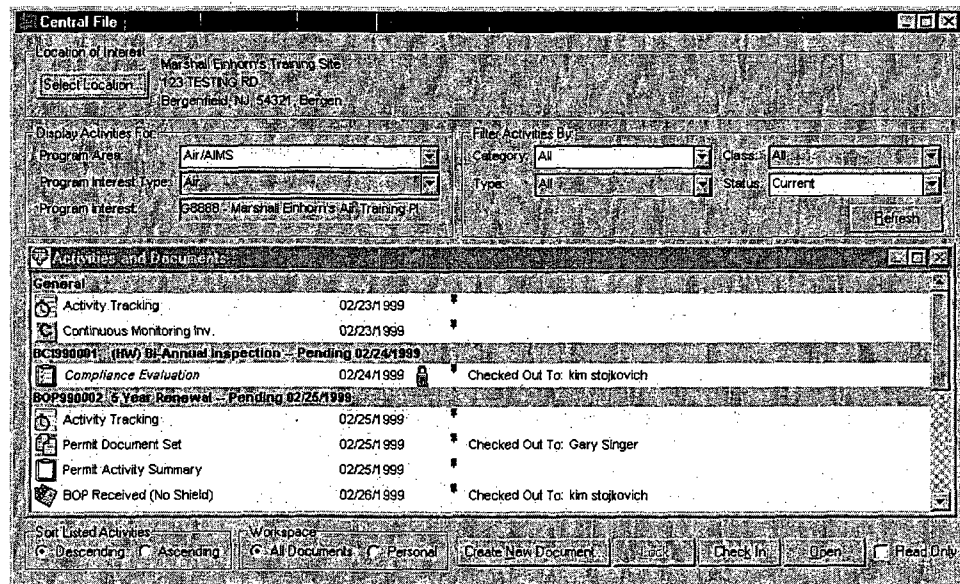
Initially, The New Jersey Environmental Management System may look different to you than other applications with which you are familiar. This is because The New Jersey Environmental Management System is an object-oriented, graphical computing environment. Basically, instead of entering commands using only your keyboard, you can also use your mouse to manipulate the objects or items that you see on your desktop. These items appear on your desktop as graphic icons, representing different aspects of your working environment.

This section describes the basic concepts and techniques you need to know in order to begin working in the desktop. These concepts include:

- ◆ Understanding icons and windows
- ◆ Working with windows
- ◆ Using menus
- ◆ Using dialog boxes
- ◆ Understanding the parts of windows

1.4.2 Understanding Icons and Windows

When you initially logon to The New Jersey Environmental Management System, the Central File Window will appear maximized. Windows are screens that display files and documents, and “hold” applications and utilities while you are using them. For example, when NJEMS is launched, the desktop opens a window displaying the contents of the Central File:



Double clicking on a document listed in the Central File Document Directory will launch a new window for that document. A window's title bar always contains a description of the information displayed in that window, (i.e., the text “Central File” displays in the title bar of the Central File Window).

On all windows in NJEMS, if the contents of the window cannot all be displayed on the screen at one time, a horizontal or vertical scroll bar will appear, allowing the user to move through the contents of the window by scrolling the view up or down.

1.4.3 Working with Windows

As you read from the previous section, windows are a fundamental part of NJEMS. NJEMS displays each document or utility you use on your desktop in a window. This section describes the various ways you can manipulate windows so you can work easily and efficiently on your desktop.

Using Multiple Windows

Often, you have more than one window open on your desktop. The window you are currently working in (*i.e.*, the window in which you see the cursor) is called the active window. Active windows are highlighted in a different color than the other open window(s).

Moving Between Open Windows

One way to change which window is active is to move to another open window. To move between open windows, perform the following step:

- ◆ Move the mouse to the window you wish to make “active” and click.

Note: the desktop always moves the active window in front of all other open windows.

Moving Windows

You can arrange or move a window to a different position on your desktop. For example, you may want to move a document window to a different location so that you can view the contents of the window underneath it.

To move windows, perform the following steps:

1. **Point to the window’s title bar.**
2. **Press and hold down the mouse button.**
3. **Drag the title bar to a new location.**

Until you move the cursor to another window, the window you selected remains active.

Note: The actions described in the steps above are called “Drag and Drop.” You’ll use this technique often when working on the desktop.

Changing the Size of a Window

At times you may wish to change the size of a window on your desktop. You can change the window size by:

- ◆ Maximizing the window
- ◆ Minimizing the window
- ◆ Manually resizing the window
- ◆ Closing the window

The following sections describe each of these techniques.

Maximizing Windows

When working in NJEMS, you may want to view the contents of a window using the full computer screen. You can maximize the window so that it fills the entire desktop by:

- ◆ Clicking on the picture of a full window in the window's title bar. This button is called the Maximize button.



Note: When you maximize a window, the desktop does not close the open windows on your desktop. Instead, these windows remain open behind the maximized window.

Minimizing Windows

You can also minimize windows. Minimizing reduces a window to a title bar at the bottom of the desktop.

Minimizing does not close the window- it shrinks it to a title bar and remains running on the desktop. By clicking on the Maximize button in the title bar, you can quickly maximize the window. This makes it easy for you to quickly move between various documents without cluttering the desktop with several full-size open windows.

You can minimize a window by:

- ◆ Clicking on the picture of the small line in the window's title bar. This button is called the Minimize button.



You can restore a minimized window to its previous size by:

- ◆ Clicking on the Maximize button (pictured in the previous section).

Manually Resizing Windows

You can also manually resize the width and height of the window.

To resize a window:

- ◆ Move the pointer slowly over the border of the window until the pointer changes to a double-arrow.
- ◆ Drag the border to the desired size.

Note: Resizing windows is not recommended for most users because the forms and other windows are designed for you to view them at full-screen.

Closing Windows

At any time, you can close a window by:

- ◆ Clicking on the top right box in the window's title bar.



1.4.4 Using Menus

You can perform many of the basic actions in NJEMS, such as opening, closing, minimizing, and maximizing windows, by using menu commands instead of double clicking with a mouse. Menus are lists of commands that typically appear in a bar across the top of a window.

You can choose a menu command by either:

- ◆ Opening the menu and selecting the command with the mouse— For example, to select the Save command from the File menu, click on the File menu title to open the menu choices, then click on the Save command.
- ◆ Using the keyboard— Many menu commands contain keyboard shortcuts. These shortcuts are listed next to the menu command. For example, to copy an item, select the item to copy and press the CTRL and C keys.

The Control Menu

Each window in the desktop contains a special menu called the Control Menu. The Control menu lists commands that you can use to manipulate a window. To access the Control Menu:

- ◆ Click in the upper left corner of the window's title bar. Typically, you click on a small image in this corner.

The commands in the Control menu should be familiar to you from reading the previous sections.



Using the Toolbar

The Toolbar contains icons for the most commonly used tools and commands on the desktop. Although all of the Toolbar's commands and tools are available in the Menu, the Toolbar provides you with a fast and easy way to access these commands.

To access a command via the toolbar:

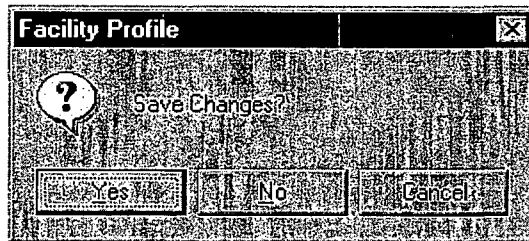
- ◆ Click on the icon associated with the command that you want to perform.

For example, you can click on the printer icon to print a document.

1.4.5 Using Dialog Boxes

When working in NJEMS, you'll frequently encounter dialog boxes. Dialog boxes are special types of windows that provide information to you, such as system messages; or request information from you, such as data the desktop needs to complete a command.

For example, when you choose to close a form using the Close command from the file menu, the following dialog box appears:



Note: Whenever you choose a menu command followed by an ellipse (e.g., the Save As or Print commands in the File menu), a dialog box prompts you for additional information.

Because dialog boxes are special types of windows, you can move and arrange the dialog boxes on your desktop as you would any window. However, unlike windows, you cannot close a dialog box until you enter the required information. Continuing the example, you cannot close the Save Changes dialog box until you click either the Yes, No, or Cancel buttons. Once you click on your selection, the dialog box closes automatically and completes the command appropriate to your response.

1.4.6 Understanding the Parts of Windows

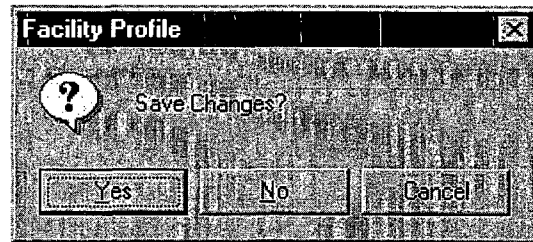
When entering information into windows, you'll notice that most windows contain an assortment of buttons, boxes, and lists. This section describes the following components of a window and how to use each part.

- ◆ Command buttons
- ◆ Text boxes
- ◆ Long text fields

- ◆ Gray text fields
- ◆ Drop-down list boxes
- ◆ List boxes
- ◆ Radio buttons
- ◆ Check boxes
- ◆ Tabs

Command Buttons

Command buttons initiate an immediate action using the information you supply. For example, the Yes, No, and Cancel buttons are command buttons. You perform the command by clicking on a button.



Text Boxes

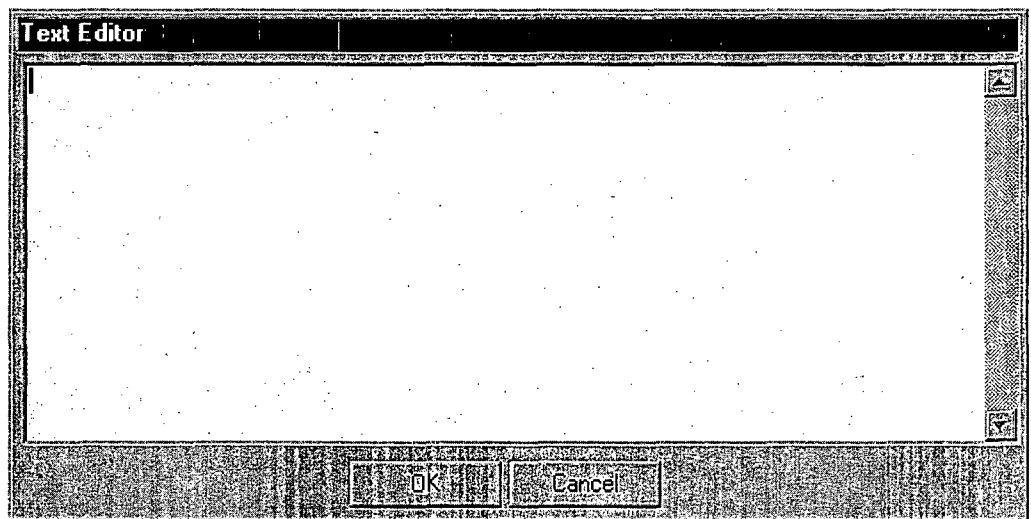
Text boxes are rectangular fields that allow you to enter textual information, such as the name of a document. Often a text box contains default information. In these cases, you can accept the default text, or type in new text.

Type:	<input type="text"/>
Receiving Stream:	This is a text box example
Stream Classification:	<input type="text"/>

Long Text Fields

Some screens contain long (typically 50 to 2000 characters) text fields. To enhance data entry, these fields automatically scroll to the left as you type. When you tab out of one of these fields, it displays as many characters as fit in the field, beginning with the first characters entered.

To view the entire text in one of these fields, double-click on the field. The Text Viewer/Editor window opens, display the full text available in that field. You can edit or view the text using this window. If the field from which the Text Viewer/Editor window is read-only, the OK button on the window will



be disabled.

Gray Text Fields

In NJEMS, some text fields are grayed out, but you can still access them if you double-click in them. If a field can get "focus," meaning you can tab to the field and make it active, then you can double click on the field and enter information. A field has focus if a dashed line appears around the field when you tab or click on it.

For example, in the Narrative Requirements Screen, the fields in the

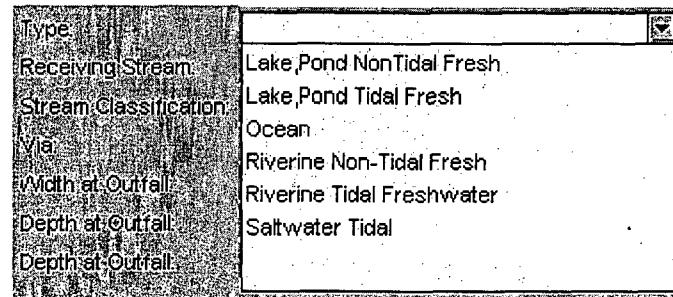
<input checked="" type="checkbox"/>	a	In addition to conditions in Part I of this permit, the conditions in this section are applicable to activities at the permitted location are incorporated by reference. The permittee is required to comply with	Standard	DCW990005 NEW NJ0063410
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requirements table can get focus even though they appear gray.

You can double click in these fields to open up another window and enter data.

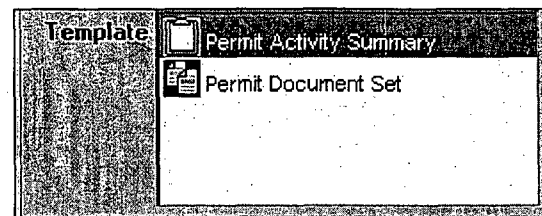
Drop-Down List Boxes

A drop-down list box looks like a normal text box, except the end of the text box contains an arrow button. By clicking on the arrow, the box “drops-down” displaying a list of items from which you may select. If there are more items than can fit in the window, you can scroll through the entire list using the vertical scroll bar located on the box’s right side. To choose an item in a list box, click on the option.



List Boxes

A List Box is a list of items from which you may select. If there are more items than can fit in the list, you can scroll through the entire list using a vertical scroll bar located on the right side of the list. To choose an item in a list box, click on the option. List boxes are different from drop-down list boxes in that their values are always visible – i.e., the user need not click on the drop-down arrow to expand the listing.



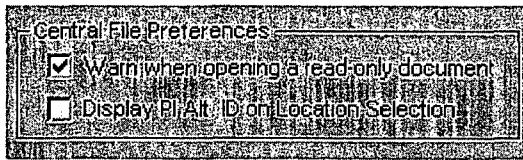
Radio Buttons

Radio buttons appear in a window as a group of mutually exclusive choices. Within each group, you can only select one radio button. The button selected looks like a black dot. You can change options by clicking on another button.



Check Boxes

Check boxes contain a list of options you can turn on and off, similar to a toggle button. By clicking in a check box, you can select as many or as few options in a group as you wish. When an option is enabled or turned on, the check box contains a ✓.



Tabs

Tabs divide the information in one screen so the screen is more manageable. When you click on a tab, an area of the screen with information corresponding to the tab comes to the front.



1.5 Using the Online Help Feature

When using NJEMS, at any point you can receive help via the online help feature. The online help feature contains the same information as the hard copy NJEMS User Guide. The NJEMS Online Help window is very similar to the Help Contents and Index of many Microsoft Windows 95 applications. There are two ways you can access NJEMS Online Help:

- ◆ Using the Help menu
- ◆ Using Context-Sensitive Help

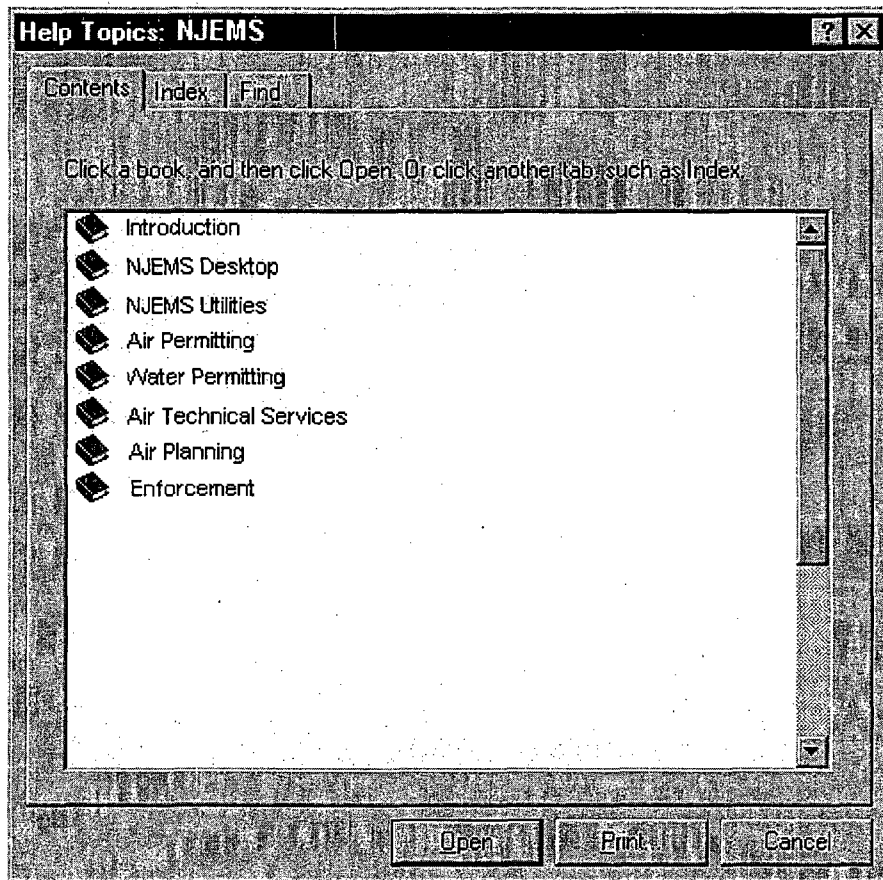
1.5.1 Using the Help Menu

There are two types of help available in NJEMS: general help on the system via the User's Guide, and specific help on how to complete NJEMS forms using the Help on Forms command.

To access both types of help via the menus, perform the following steps:

1. **Choose "Help on Forms" or "User's Guide" from the Help menu.**

The NJEMS Online Help Window (pictured below) will launch. Note that the topic headings listed below were invented for illustration purposes only, and may not reflect the options available when the User Guide is converted into Online Help.



2. Click on a topic name.

NJEMS opens that help topic.

From most Help topic windows you can:

- ◆ Display the definition of the term by clicking on green text with a dashed underline.
- ◆ Move to a related topic by clicking on green text with a solid underline
- ◆ Move through the Help file by clicking on the arrow buttons underneath the Help screen menu bar.
- ◆ Search for a keyword, by clicking on the Search button.

1.5.2 Using Context Sensitive Help

When you are working in NJEMS, you may need help on the screen on which you are currently working. The NJEMS context sensitive help feature will "jump" you to the Help topic relevant to the screen on which you are working.

To access context sensitive help:

- ◆ From any NJEMS window, type Shift + F1

NJEMS display the relevant form instruction help topic window. For example, by typing Shift + F1 while you are reviewing a permit application form, a Help topic appears displaying how to use the application form.

When you finish reading the Help topic, you can exit the Help window or continue working with the online Help files.

1.6 Exiting NJEMS

To exit NJEMS and return to Microsoft Windows:

- ◆ Choose Exit from the File menu.

NJEMS displays a prompt asking you whether you want to exit the application. If you click the Yes button, the NJEMS application closes and returns you to Microsoft Windows.

The NJEMS Desktop

1.1 Introduction

The NJEMS Desktop is a Microsoft Windows™ based graphical user interface which is an electronic metaphor for a professional user's office. The Desktop menus are an easy-to-use, top-level directory of all the functions NJEMS has to offer. After you know what the menu commands mean, you can quickly bring up whatever you want to work with on your desktop. To further simplify working with NJEMS, many menu commands have counterparts on the Toolbar, located just beneath the Menu bar. Clicking on a button has the same effect as selecting the corresponding item from a menu. Many menu commands also have keyboard shortcuts, enabling you to navigate without using the mouse.

This chapter gives an overview of the NJEMS Desktop application. The chapter:

- ◆ Describes the layout of the application (bars and menus)
- ◆ Identifies the NJEMS programs and tools
- ◆ Describes the Central File Screen, from which users retrieve and create documents necessary to issue permits, enter reporting data, and create enforcement actions.

1.2 The Menu Bar

Because the menu structure in NJEMS conforms to Windows™ guidelines, many of the menu choices are common to other Windows™ programs and should be familiar to you. You can find most of the essential commands you use in NJEMS in the menus displayed in the Menu bar across the top of the screen. The Menu bar consists of several "pull down" menus. There may also be keyboard equivalents, or "hot keys," for certain menus and menu options.

Keyboard equivalents are a combination of keys which, when pressed simultaneously, initiate a desktop utility. The drop-down menu always lists available hot key combinations to the right of the option.

This document outlines the NJEMS menu items first by primary category or drop-down menu (*e.g.*, File or Edit) and then by subcategory (*e.g.*, Cut and Paste belong to one subcategory). In NJEMS, horizontal lines graphically separate subcategory groups on the menus.

The following display provides an example of the Menu bar.

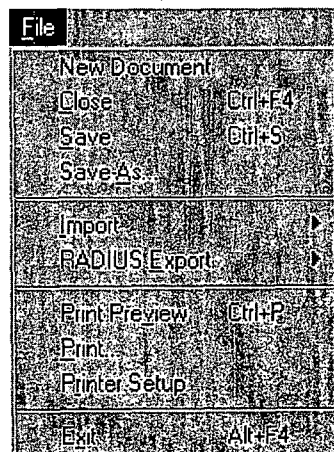


Depending on how the system administrator sets up the system security profiles, some users may not have access to all the items listed under the primary categories in the Menu bar. Options that a user cannot access will be disabled. For example, the System Administration submenu under the Tools menu option will be disabled for most users.

When working with menus, the symbol ">" means the menu item contains a submenu. Ellipses ("...") mean that when you select this menu item, a dialog box will appear asking for more information in order to complete the command.

1.2.1 The File Menu

The File menu is similar to those in other Windows™ applications. It contains commands that affect files or groups of data as a whole. In NJEMS, the File menu options generally apply to the active screen and the set of data contained within it at any particular time.

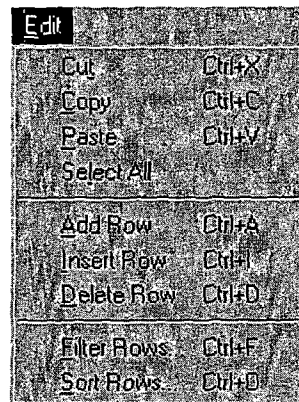


Selecting a menu item allows the user to perform any of the following actions:

- ◆ New Document — open the Create New Document Window and select the appropriate document template for the creation of a new Central File document.
- ◆ Close — closes the currently active, open window.
- ◆ Save — saves the currently active, open window.
- ◆ Save As... — saves the currently active, open window, but allows the user to specify a file name via a standard dialog box.
- ◆ Import...
 - Documents — import RADIUS permit application documents.
- ◆ RADIUS Export...
 - Diskette Wizard — creates Emission Statement Export files for a user-selected list of Program Interests, prompting the user to insert a diskette for each Program Interest's file.
 - Emission Statement — creates a single Emission Statement export file for the Air Emission Statement document currently selected in the Central File.
 - Permit Document — creates a single Permit Document export file for the Air Permit Document Set currently selected in the Central File.
- ◆ Print Preview — launches the Print Preview Window, allowing the user to preview the currently active, open document as it appears when printed.
- ◆ Print... — prints the selected document.
- ◆ Printer Setup — opens the Printer Setup window to allow the user to configure their print settings.
- ◆ Exit — exits the application.

1.2.2 Edit Menu

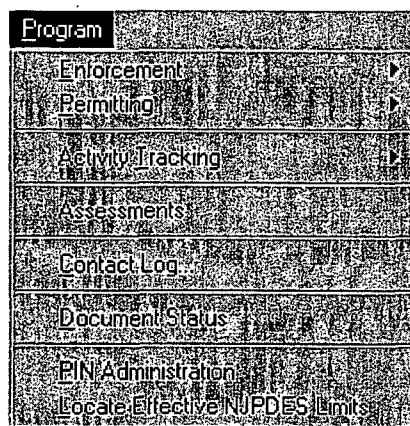
Options in the Edit menu allow you to modify data on the currently active screen.



- ◆ Cut — cuts the current selection (highlighted information) to the clipboard.
- ◆ Copy — copies the current selection (highlighted information) to the clipboard.
- ◆ Paste — pastes the contents of the clipboard to the location of the cursor.
- ◆ Select All — selects all text within a field.
- ◆ Insert Row — inserts a row into the current Data Window, above the current cursor position.
- ◆ Add Row — adds a row to the bottom of the Data Window where the cursor currently resides.
- ◆ Delete Row — removes the row where the cursor currently resides from a Data Window.
- ◆ Filter Rows... — launches the system-wide Filter Utility Window, allowing the user to filter records in the Data Window where the cursor currently resides.
- ◆ Sort Rows... — launches the system-wide Sort Utility Window, allowing the user to sort records in the Data Window where the cursor currently resides.

1.2.3 Program Menu

The Program menu allows you to access particular NJEMS screens associated



with DEP functions and processes.

Selecting a menu option allows the user to perform the following actions:

- ◆ Enforcement
 - Incidents – launches the Incidents Screen, for recording complaints and incident (i.e., spills, releases) self-reports.
 - Violation List – launches the Violation List Screen.
 - Inspection Targeting – launches the Air Inspection Targeting Screen.
- ◆ Permitting
 - Air – Contains an additional submenu with two items:
 - Permit Administrative Check – performs the administrative check routine on the Air Permit Application Document currently selected in the Central File.
 - Error Log – launches the Error Log Window displaying the results of the administrative check routine for the Air Permit Application Document currently selected in the Central File.
 - Water – Contains an additional submenu with three items:

Monitoring Report Pre-Print Production— launches the Monitoring Report Pre-Print Production Screen, used to pre-print Water monitoring report forms.

Monitoring Results— launches the Monitoring Results Screen, used for the data entry of Water monitoring report values.

Locate Effective NJPDES Limits— Launches the Locate Effective Limits Document Window, used to quickly find the NJPDES permit document which contains the Limits and Monitoring Requirements which are currently effective for a particular NJPDES permit number.

- Planning— contains an additional submenu with two items:

Emission Administrative Check— performs the emission statement administrative check on the Air Emission Statement document currently selected in the Central File.

Create Emission Statement Logs— batch creates Emission Statement activities, awaiting the import or entry of Emission Statement data.

- ◆ Activity Tracking— contains an additional submenu with three items:

- To Do List— launches the To-Do View of Activity Tracking for the current user.
- Program Interest Summary— launches the Program Interest Summary View of Activity Tracking, displaying all tasks relevant for a particular Program Interest.
- Task Summary— launches the Task Summary View of Activity Tracking, displaying all tasks of a certain Category, Class and Type for all Program Interests in the system.

- ◆ Assessments— launches the Assessments/Invoicing Screen.

- ◆ Contact Log...— launches the Contact Log screen, used for recording details of conversations with responsible parties at regulated sites.

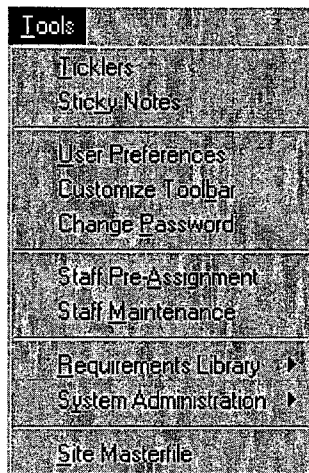
- ◆ Document Status— launches the Document Status Window, used for making requirements bearing documents effective.

- ◆ PIN Administration— launches the AIR PIN Administration screen, used for assigning RADIUS certification PIN numbers.

- ◆ Locate Effective NJPDES Limits— highlights the document in the Central File containing the currently effective NJPDES limits.

1.2.4 Tools Menu

In any large-scale system, users should periodically customize or reset certain system-wide parameters and values as well as access special system tools designed to ease system use. In NJEMS, all such functions are available through the Tools menu.



- ◆ Ticklers — launches the Tickler Window, allowing users to create timed reminders for themselves and others.
- ◆ Sticky Notes — launches the “Sticky Note” pad that has been attached to a document selected in the Central File, or if there is none, creates a blank notepad for the selected document.
- ◆ User Preferences — launches the User Preferences Window, allowing the user to set several customizable features of Desktop functionality.
- ◆ Customize Toolbar — launches the Customize Toolbar Window, allowing the user to specify the edge of the screen where the toolbar will be displayed.
- ◆ Change Password — launches the Change Password Window, allowing the user to change the password they use to log onto NJEMS.
- ◆ Staff Pre-Assignment — launches the Staff Pre-Assignment Screen, allowing the mapping of staff to functional area assignments for different Program Interests.
- ◆ Staff Maintenance — launches the Staff Maintenance Screen, used to maintain identification information on DEP staff members who are NJEMS users.

- ◆ Requirements Library— contains an additional submenu with two items:
 - Import Spreadsheet— launches the Permit Conditions Library Tool Window, allowing the user to load corrective actions, profiles, and sets for both permit and non-permit libraries.
 - Requirements Library Maintenance— launches the Requirements Library Maintenance Screen.
- ◆ System Administration— contains an additional submenu with two items:
 - Reference Table Maintenance— launches the Reference Table Maintenance Screen, allowing the user to modify code and description values for most system reference tables.
 - Security Maintenance— launches the Security Maintenance Screen, allowing authorized users to control the access privileges of each user of NJEMS.
- ◆ Site Masterfile— launches the Site Masterfile Application

1.2.5 Reports Menu

The Reports Menu contains a list of standard reports that may be launched from the desktop.

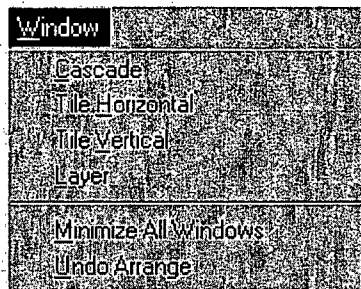


- ◆ Enforcement— contains an additional submenu with one item:
 - Compliance Evaluation Summary— When a Compliance Evaluation Screen has been selected in the Central File, launches the Print Preview Window for the Compliance Evaluation Summary report.
- ◆ Permitting— contains an additional submenu with two items:
 - Air— This menu option exists as a placeholder only. Currently there are no Reports developed for the Air program that appear in this menu. Over time, as more Air standard reports are developed, DEP may modify the submenu to launch additional reports.

- Water — This menu option exists as a placeholder only. Currently there are no Reports developed for the Water program that appear in this menu. Over time, as more Water standard reports are developed, DEP may modify the submenu to launch additional reports.
- ◆ Planning — this menu option exists as a placeholder only. Currently there are no Reports developed for the Planning program that appear in this menu. Over time, as more Planning standard reports are developed, DEP may modify the submenu to launch additional reports.

1.2.6 Window Menu

The Window menu contains commands that define how the system arranges open windows on the desktop.

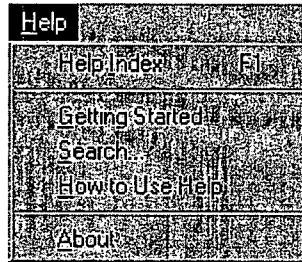


- ◆ Cascade — arranges the open windows so that the title bar of each window is visible.
- ◆ Tile Horizontal — arranges the open windows so that each occupies an equal portion of the screen in the horizontal dimension.
- ◆ Tile Vertical — arranges the open windows so that each occupies an equal portion of the screen in the vertical dimension.
- ◆ Layer — arranges the open windows one on top of another, so that only one window is visible at one time.
- ◆ Minimize all Windows — minimizes all open windows to the desktop.
- ◆ Undo Arrange — removes any of the above window arrangements, restoring all windows to their previous size beneath the currently active window.

At the bottom of the menu is a list of currently open windows, which you can use to easily navigate through the windows. A checkmark displays next to the currently active window.

1.2.7 Help Menu

The Help Menu provides access to the NJEMS Online Help functions.



- ◆ Help Index— launches the Index Window for the system-wide Help file.
- ◆ Getting Started— opens the system-wide Help file and automatically navigates to the “Getting Started” section, providing direct access to the basic information needed to use the Desktop.
- ◆ Search...— launches the Search Window, allowing the user to enter a text string that will be used to search the Help file index.
- ◆ How to Use Help— Opens the system-wide Help file and automatically navigates to the “How to Use Help” section, providing direct access to information on how to find information regarding system usage.
- ◆ About — launches the About Window, which provides information about the system application (e.g., version number, copyright information).

1.3 Toolbar

The toolbar contains the most commonly used tools and commands on the desktop. Although all of the Toolbar's commands and tools are available in the Menu bar, the Toolbar provides a fast and easy way to access these commands.

If the toolbar is not visible on your desktop, perform the following steps:

1. Click on the **Customize Toolbar** option on the **Tools** menu.
2. Then, select the **NJEMS Toolbar** in the "Toolbars" area of the window and press the **OK** button.

The NJEMS Toolbar appears:



By clicking on the appropriate icon on the Toolbar (listed from left to right), you can perform the following actions:

- ◆ **Save** — saves all information in the current window to the database.
- ◆ **Print** — prints the Data Window in which the cursor currently resides.
- ◆ **Cut** — cuts the current selection (highlighted information) to the clipboard.
- ◆ **Copy** — copies the current selection (highlighted information) to the clipboard.
- ◆ **Paste** — pastes the contents of the clipboard to the location of the cursor.
- ◆ **Select All** — selects all objects on the screen.
- ◆ **Add Row** — adds a row to the end of the Data Window where the cursor currently resides.
- ◆ **Insert Row** — inserts a row above the row of the Data Window where the cursor currently resides.
- ◆ **Delete Row** — deletes the row of the Data Window where the cursor currently resides.
- ◆ **Filter Rows** — launches the system-wide Filter Utility Window.

- ◆ Sort Rows — launches the system-wide Sort Utility Window.
- ◆ Masterfile — launches the Site Masterfile Application.
- ◆ Help — launches the NJEMS Help Window.
- ◆ Exit — Exits the NJEMS application.

1.3.1 Tooltips

The Toolbar includes “tooltips” — pop up help that identifies each of the toolbar buttons. If you hold the mouse pointer directly over a toolbar button (but do not click the mouse button) while tooltips are enabled, the label for that button appears in a pop-up “bubble” beside the button.

You may also customize the standard toolbar by repositioning it, turning “tooltips” on or off, and turning labels on or off.

1.4 Status Line

Across the bottom of the NJEMS Desktop lies a single gray bar. At its far left side, this bar displays hints for available actions, or text indicating the progress of system processing. The status line is visible from every screen within NJEMS. The Status Line shown in the following figure displays the text “Ready.”



Other elements of the Status Line include:

- ◆ The Pencil icon, which displays as pictured above when you have opened the active window and the Read Only checkbox on the Central File is unchecked. For more information about the Read Only checkbox, see section 1.5.13
- ◆ The Date and Time display (shows the Date and Time as set on your PC clock).

1.5 Central File Screen

The Central File screen is the user's command center for creating and using the data entry. This window displays screens and other "documents" that are stored in the database. It is available to all users of all of the DEPs' "new generation" data systems.

When a user finishes logging on to NJEMS, the Central File screen is automatically launched and maximized on the desktop. If the user had previously used NJEMS, the system "remembers" their Central File settings and restores that information on screen the next time the user logs on.

To open a "file-drawer" and view its contents, you first select a DEP Master Site by entering search criteria in the Location Selection Window. This window opens when you click the "Select Location..." button. You can search by any program-specific ID number used for the site (i.e., a Program Interest ID). For more information about selecting a DEP Master Site, see section 1.5.1 below.

Once you select a site, NJEMS displays a list of DEP work activities and their associated documents in the Document Directory table on the screen. A system-assigned ID identifies individual work activities with a label describing the specific activity and its current status. For example, the folder labeled "PEA980001 Prescribed Enforcement Action, Pending" designates the first Prescribed Enforcement Action (PEA) created in the calendar year 1998 (980001) involving the selected Site—an Order that has not yet been issued (i.e., "Pending").

Underneath each activity heading is a list of one or more 'documents'—data screens, word processing documents, or other document formats—associated with that work activity. You can open any listed document by double clicking on its line on the screen. You can create new activities and also add new documents under existing activities.

The following picture of the Central File Screen has numbered tags pointing to various features. Please refer to the sections below for more information on each tagged feature.

2.5.1

2.5.2

2.5.3

2.5.4

2.5.5

2.5.6

Central File

Location of Interest: Trenton Iron Works - Chambersburg Plant #3
314 Industrial Avenue
Chambersburg, NJ 08625 Mercer County

Select Location: [Dropdown]

Display Activities For: [Dropdown] Filter Activities By: [Dropdown]

Program Area: [Dropdown] Category: [Dropdown] Class: [Dropdown] Status: [Dropdown]

Program Interest Type: [Dropdown]

Program Interest: [Text]

Activities and Documents For: WO365656, Trenton Works - Chambersburg Plant #3, Chambersburg

General

Activity Tracking

Facility Profile

AEA980008 Administrative Order NOCAPA Issued 4/6/98

Enforcement Action	4/1/98	Checked Out To: Rich Paul
(Correspondence 1)	4/8/98	
(Correspondence 2)	4/23/98	
(Correspondence 3)	5/2/98	

Sort Listed Activities: [Dropdown]

Descending [Radio] Ascending [Radio]

Workspace: All Documents [Radio] Personal [Radio]

Create New Document [Button] Lock [Button] Check Out [Button] Open [Button] Read Only [Button]

2.5.13

2.5.7

2.5.8

2.5.9

2.5.11

2.5.10

2.5.12

1.5.1 Selecting a Location of Interest

The Central File allows users to work with documents for all Program Interests at a Masterfile Site. In order to retrieve the documents you wish to work with, you must select the Program Interest they are associated with. To select a Program Interest, perform the following steps:

1. Click the Select Location... button.

Site ID #	PI ID #	Program Interest Name	Municipality	Type	Active
00018628/H3862		Henry's Air Program Interest	Sandyston Twp	Air	<input checked="" type="checkbox"/>

The Location Selection Window appears.

The Location Selection Window allows a user to specify search criteria the system will use to search the Masterfile for Program Interests at particular Sites. The Location Selection Window allows users to search for Program Interests four different ways:

- ◆ By Site ID Number – When the user has selected the Search by Site radio button, and entered a value in the ID Number field at the top of the Window, the system will find:
 - All Program Interests that exist at Site records having a Site ID Number which matches or partially matches the user-specified-value.
- ◆ By Site Name – When the user has selected the Search by Site radio button, and entered a value in the Name field at the top of the Window, the system will find:

- All Program Interests that exist at Site records having a Site Name which matches or partially matches the user-specified value.
- ◆ By Program Interest ID Number – When the user has selected the Search by Program Interest radio button, and entered a value in the ID Number field at the top of the Window, the system will find:
 - All Program Interests that exist at any Site record, provided that the Program Interest has a Program Interest ID Number that matches or partially matches the user-specified value.
- ◆ By Program Interest Name – When the user has selected the Search by Program Interest radio button, and entered a value in the Name field at the top of the Window, the system will find:
 - All Program Interests that exist at any Site record, provided that the Program Interest has a Program Interest Name that matches or partially matches the user-specified value.

2. Enter search criteria and click the “Search Now” button.

The screen displays all applicable Program Interest records.

3. Highlight the desired Program Interest and click on the OK button.

The Location Selection Window will close, and the system will default the Central File’s Current Location of Interest Display (see section 1.5.2) below) the Site Name and address for the Program Interest selected. Additionally, the Display Activities For selectors will be defaulted according to the Program Interest selected.

The Central File is now ready to display documents related to the Program Interest selected in the Location Selection Window, or any other Program Interest at that same Site.

Other Location Selection Window Controls

Show All/Show
Active Radio
Buttons

The Show All/Show Active radio buttons in the bottom left hand corner of the Location Selection Window will modify the Program Interest records shown when a search is performed:

- ◆ If the Show All radio button is selected, all Program Interests which meet the search criteria, regardless of whether they have been designated as “Active” in the Site Masterfile will be retrieved.

*Displaying
Alternate ID's*

- ◆ If the Show Only Active radio button is selected, only those Program Interests which meet the search criteria and have been designated as "Active" in the Site Masterfile will be retrieved.

A Program Interest Alternate ID number is any string of text or numbers which allows some meaningful "alternate" identification of the Program Interest, when for some reason it is insufficient or inconvenient to know the Program Interest only by its Program Interest Preferred ID Number. For example:

- ◆ NJPDES Permit Numbers – DWQ is accustomed to using the NJPDES permit number, representing an instance of permit authorization at a particular Program Interest, as an identifier for the Program Interest. Since Program Interests may have multiple instances of authorization, they are sometimes "known" by more than one NJPDES number. DWQ staff are so familiar with the Program Interests they regulate that these NJPDES numbers are more meaningful for facility identification than any other code or name.
- ◆ TWA Project Numbers – The Treatment Works program is accustomed to using the TWA Project Number, representing an instance of a new Treatment Works project, as an identifier for the Program Interest. Since Program Interests may have multiple Treatment Works Projects, they are sometimes "known" by more than one Project number. Treatment Works staff are less dependant on the Project Number as a Program Interest identifier than NJPDES permitting staff are on NJPDES Permit Numbers, but still find it helpful and meaningful to track Program Interests in this manner.

While many programs may take advantage of the Program Interest Alternate ID feature, not all will use the Alternate ID for Program Interest identification. When selecting a Program Interest from the Location Selection Window, the Alternate ID column would be irrelevant for such users. Other programs may depend so heavily on the Alternate ID column that they cannot easily make a selection without consulting it.

Consequently, users may show or hide the Program Interest Alternate ID column in the Location Selection Window, by checking or unchecking the Display Alternate PI ID's checkbox at the bottom of the Location Selection Window.

1.5.2 Current Location of Interest Display

This area of the Central File shows the Site Name and Address of the Site linked to the Program Interest the user chose in the Location Selection Window. For information on choosing a Program Interest, see section 1.5.1 above. When you log off of NJEMS, the system "remembers" the Site you were working with at the time, and returns you to that record when you log back in. This feature prevents you from having to search for the same Site you were working with the last time you logged on.

1.5.3 Display Activities For Controls

These three drop-down fields constrain the display of work activities in the Document Display below. When you select a Program Interest in the Location Selection Window, these three fields are default filled based on your selection. However, you may always change them later to view documents other than those associated with the Program Interest you selected.

- ◆ Program Area— This drop-down contains all the different Program Areas which have Program Interests at the Site identified in the Current Location of Interest Display (see section 1.5.2 above). Choosing a Program Area filters the available Program Interest Types in the Program Interest Type selector below to only those appropriate for the Program Area selected. If there is only one Program Area at the Site, this field will be defaulted to that value and uneditable.
- ◆ Program Interest Type— This drop-down contains all the different Program Interest Types for the Program Area selected above. For example, if the Program Area selected = "Air," the Program Interest Type selector might contain the values "Right-to-Know," "Pesticides," and "TCPA," if there are Program Interests of those three Types at the Site. If there is only one Program Interest Type at the Site for the Program Area selected, this field will be defaulted to that value and uneditable.
- ◆ Program Interest— This drop-down contains all the different Program Interest for the Program Interest Type selected above. For example, if the Program Area selected = "Air," and the Program Interest Type selector = "Pesticides," the Program Interest selector might contain one or more values, each identifying a different Pesticides Program Interest at the Site. If there is only one Program Interest at the Site for the Program Area and Program Interest Type selected, this field will be defaulted to that value and uneditable.

Selecting the value "All"

When there is more than one value available in the Program Area, Program Interest Type, or Program Interest drop-downs, the value "All" will also appear in the drop-down. The bullets below explain what choosing "All" in each of these selectors tells the system:

- ◆ Program Area selector – Choosing "All" from the Program Area selector means: "I'd like to view all the documents at this Site, regardless of their relevant Program, Program Interest Type, or Program Interest."
 - Choosing "All" from the Program Area selector disables the Program Interest Type and Program Interest selectors, and automatically defaults their values to "All."
- ◆ Program Interest Type selector – Choosing "All" from the Program Interest Type selector means: "Regardless of their relevant Program Interest and Program Interest Type, I'd like to view all the documents at this Site which are relevant to the Program Area I previously selected."
 - Choosing "All" from the Program Interest Type selector disables the Program Interest selector, and automatically defaults its value to "All."
- ◆ Program Interest selector – Choosing "All" from the Program Interest selector means: "Regardless of the relevant Program Interest, I'd like to view all the documents at this Site which are relevant to the Program Area and Program Interest Type I previously selected."

Using the Display Activities For Controls

Follow these steps to use the Display Activities For Controls to tell the system which Program Area(s), Program Interest Type(s), and Program Interest(s) you wish to view documents for:

1. Choose a value from the Program Area selector.

The Program Interest Type selector will be enabled, defaulted, or disabled as appropriate (see previous information in this section).

2. Choose a value from the Program Interest Type selector.

The Program Interest selector will be enabled, defaulted, or disabled as appropriate (see previous information in this section).

3. Choose a value from the Program Interest selector.

1.5.4 Filter Activities By Controls

The four Filter Activities By selector fields further constrain the activities which will appear in the Document Directory below.

- ◆ Activity Category – Contains all possible Activity Categories, and the value “All.” See section 1.5.6 for a description of the term “Activity Category.” Choosing an Activity Category filters the available Activity Classes in the Activity Class selector to only those appropriate for the Activity Category selected.
- ◆ Activity Class – Contains all possible Activity Classes, and the value “All.” See section 1.5.6 for a description of the term “Activity Class.” Choosing an Activity Class filters the available Activity Types in the Activity Type selector to only those appropriate for the Activity Class selected.
- ◆ Activity Type – Contains all possible Activity Types, and the value “All.” See section 1.5.6 for a description of the term “Activity Type.”
- ◆ Activity Status – Contains all possible Activity Statuses, and the value “All.” See section 1.5.6 for a description of the term “Activity Status.”

Selecting the value “All”

The bullets below explain what choosing “All” in each of these selectors tells the system:

- ◆ Activity Category selector – Choosing “All” from the Activity Category selector tells the system: “I’d like to see all documents, regardless of their Activity Category, Class, or Type.”
 - Choosing “All” from the Activity Category selector disables the Activity Class and Activity Type selectors, and defaults each to the value “All.”
- ◆ Activity Class selector – Choosing “All” from the Activity Class selector tells the system: “I’d like to see all documents in the Activity Category I previously selected, regardless of their Activity Class or Type.”
 - Choosing “All” from the Activity Class selector disables the Activity Type selector, and defaults its value to “All.”

- ◆ Activity Type selector – Choosing “All” from the Activity Type selector tells the system: “I’d like to see all documents in the Activity Category and Class I previously selected, regardless of their Activity Type.”
- ◆ Activity Status selector – Choosing “All” from the Activity Status selector tells the system: “I’d like to see all documents in the Activity Category, Class, and Type I previously selected, regardless of its Activity Status.”

Using the Filter Activities By Controls

Follow these steps to use the Filter Activities By Controls to tell the system which activities you wish to view:

1. Choose a value from the Activity Category selector.

The Activity Class selector will be enabled, defaulted, or disabled as appropriate (see previous information in this section).

2. Choose a value from the Activity Class selector.

The Activity Type selector will be enabled, defaulted, or disabled as appropriate (see previous information in this section).

3. Choose a value from the Activity Type selector.

4. Choose a value from the Activity Status selector.

1.5.5 Refresh Button

The Refresh button on the right hand side of the Central File must be clicked in order to retrieve the appropriate documents (based on the current values of the Display Activities For and Filter Activities By controls) into the Document Directory below.

To re-retrieve the Document Directory based on new choices in the Display Activities For and Filter Activities By controls, click the Refresh button.

1.5.6 Document Directory

The Document Directory table in the lower half of the screen lists DEP work activities and their associated data-documents for one or more Program Interests at the selected Site. Double clicking on a listed document will open it for viewing or updating.

The Document Directory is retrieved based on a user's selections in the Display Activities For and Filter Activities By Controls (described above) when the Refresh button is clicked. See section 1.5.5 for more information about the Refresh button.

Activity Headings

The Document Directory is organized by activities (with the exception of the "General" documents described later in this section). Each activity has a heading in the Document Directory (the gray bars in the previous Central File picture). This heading may be thought of as the label on a file folder that contains documents pertaining to the activity. The documents "in the folder" are listed under the heading. All folders contain at least an Activity Tracking Screen, (see chapter 3, *NJEMS Utilities*) for more information about the Activity Tracking Screen) and may contain numerous other items that users have created or imported in the course of their work on the activity.

Each activity heading contains at least three elements that make up a unique identifier for the activity within the set of all activities that have been defined for the Program Interest:

- ◆ an Activity Class code, generally corresponding to a DEP program;
- ◆ an Activity ID Number; and
- ◆ an Activity Type label.

Some kinds of water permitting activities also have a "Link ID" following the Activity Type label. Many activities also have two more items in their heading—the Activity Status and its Activity Status Date.

Examples:

- ◆ DSW980001 Major Modification NJ3456789 — Approved 5/23/98
- ◆ WCE990002 Compliance Evaluation Inspection — Conducted 7/18/99
- ◆ AEA980001 Administrative Order — Amended 3/2/99

The following sub-sections describe each of these elements in turn.

Activity Class Codes

An Activity Class is a general work class, usually corresponding to a program area or other organizational sub-division of work. For example:

- ◆ DSW — Discharge to Surface Water (NJPDES)
- ◆ TWA — Treatment Works (Approval or Denial)
- ◆ BOP — Air Operating Permit
- ◆ SCI — Standard Compliance Inspection

While not displayed in the Activity Heading, each Activity Class belongs to a single Activity Category, which is a yet-higher level aggregation of Activity Classes. For example, the Activity Class "Water Permitting," contains multiple Activity Classes, such as:

- ◆ Discharge to Surface Water (DSW)
- ◆ Discharge to Ground Water (DGW)
- ◆ Significant Indirect User (SIU)
- ◆ Residuals (RES)

Activity ID Numbers

Each activity added to the system receives a system-generated identification number. The combination of this identification number and the Activity Class code forms a unique identifier for a given activity, within all activities for the same Program Interest.

Activity ID numbers are six digits long—the last two digits of the calendar year in which the activity was created (but not necessarily completed), followed by a four-digit sequence number. The sequence number is incremented by one for each new activity of the same Activity Class for an individual PI within the same year. Thus:

- ◆ DSW970001 = The first Discharge to Surface Water permitting activity created for the facility, created in 1997
- ◆ DSW970002 = The second Discharge to Surface Water permitting activity created for the facility, created in 1997

- ◆ DSW980001 = The third Discharge to Surface Water permitting activity created for the facility, but the first created in 1998.

The system-assigned ID number is useful primarily as a means of placing activities in chronological order, within their Activity Class, in the Document Directory. In general (but not always), the higher the sequence number, the more recent the activity.

Activity Types

The Activity Type is a descriptor of the nature of the individual activity:

- ◆ DSW980001 Major Modification NJ3456789 – Effective 5/23/98
- ◆ SCI980001 NJPDES Inspection – Conducted 7/18/99
- ◆ AEA980001 Notice of Violation – Amended 3/2/99

Link IDs

Many activities generated by the Division of Water Quality also will have a number on the right end of their heading. This "Link ID" serves a different purpose for different DWQ Activity Classes.

- ◆ In NJPDES permitting Activity Classes (DSW, DGW, SIU, RES, and PER), the Link ID is the facility's NJPDES Permit Number for the Activity Class (permitting program). This number is included for the convenience of DWQ permitting staff, who customarily use the number as a Program Interest identifier within their permitting program.

DSW980001 Major Modification NJ3456789 – Effective 5/23/98

- ◆ In the TWA (Treatment Works Approval) Activity Class, the Link ID is a number used to link all TWA activities that relate to the same treatment works project.

TWA980001 Stage 2 98-100 – Approved 1/11/98

No Link IDs are currently used for Air activities, and none has yet been identified for Enforcement activities.

Activity Status

The system automatically adds the Activity Status to the activity heading when certain Document Status changes occur for the documents listed beneath the activity heading.

- ◆ DSW980001 Major Modification NJ3456789 — Effective 5/23/98
- ◆ WCE990002 Compliance Evaluation Inspection — Conducted 7/18/99
- ◆ AEA980001 Administrative Order — Amended 3/2/99

Activity Status Date

The system automatically sets the Activity Status Date appropriate for the Activity Type and Document Status of the documents listed beneath the Activity heading.

The "General" Heading

The activity heading "General", which always appears at the top of the document list (when filtering doesn't exclude it), is a "folder" for documents that do not pertain to any individual activity. For example, the generic Activity Tracking Screen listed under this heading has a variety of uses, including long-term scheduling of inspection visits and recording of compliance assistance activities involving the facility. Users may create and file general correspondence or spreadsheets under the General heading.

Documents

The system can store documents of four general kinds and provide access to them via the Document Directory:

- ◆ Activity Log—instances of the Activity Tracking Screen.
- ◆ Form—instances of all other screens used to enter data into, or display data from, the system's database;
- ◆ Word Processing—*Microsoft Word* documents;
- ◆ DOS File—any file readable by the DOS operating system, including spreadsheet, graphic, and word processing files that are created outside of the system's desktop environment and imported into the Central File.

Most items listed under a gray-bar activity heading are individual documents that may be opened by double-clicking on the line. In some cases, such as the Water Permit Document Set, the line-item represents a collection of screens that are packaged together, and clicking on the line opens a table of contents from which any member of the set may then be opened.

Note that double-clicking on an existing Word Processing Document will automatically launch Microsoft Word.

Note that DOS Files cannot be viewed or edited from within the Central File. When a DOS File is launched, the system saves it from the database to a temporary directory on your hard drive, where it can be launched and edited with the appropriate application. When editing is finished, it may be re-imported into the Central File.

A document's line in the Document Directory has some or all of the following elements:

- ◆ An icon representing the template-type from which the document was created (e.g., a Permitting Document Set, a word processing form-letter, an enforcement document);
- ◆ The name of the document, as provided by the user who created the document, either by accepting the default template name or assigning a custom name;
- ◆ The date on which the document was created;
- ◆ If the document has been locked, a Lock icon; and
- ◆ A Push-Pin icon, indicating whether a "Sticky Note" has been attached to the document. The default is a pin without note. If any user has attached a Sticky Note to the document, the icon appears as a pin with a note under it. The note(s) will automatically appear when the document is opened. Double-clicking on the Push-Pin icon displays the notepad, allowing the user to read and/or add notes without opening the document itself. See section 1.6 for more information about Sticky Notes.

Alias Documents

"Alias" documents are special system-created entries in the Document Directory which "point" to a user-created document at a different Program Interest than the one currently selected. When the user double-clicks or otherwise attempts to launch an alias document, the system follows the alias' pointer to a parent document at a different Program Interest, and launches that document.

Typically, documents are only relevant for the Program Interest they are created at, and consequently appear in the Document Directory only when that Program Interest is selected in the Central File. However, there is one kind of document that may contain information relevant to multiple Program Interests: the Compliance Evaluation Screen.

The Compliance Evaluation Screen is used to create inspection checklists of permit and non-permit requirements, for one or multiple Program Interests at the same Site. When multiple Program Interests are involved in one inspection, the Compliance Evaluation Screen becomes part of the document "history" of each Program Interest, rather than just the one where the screen was created. However, it is inefficient for the database to replicate the information stored for that Compliance Evaluation Screen across each Program Interest involved. Consequently, the system automatically creates an alias to display in the Document Directory of each Program Interest involved, provided it was not the Program Interest where the document was physically created. For more information about the Compliance Evaluation Screen, see section **Error! Reference source not found..**

1.5.7 Sort Listed Activities Control

The Sort Listed Activities radio buttons control whether the Activities currently listed in the Document Directory appear in Ascending or Descending order by Activity Number. Click on the radio button of your choice to select that option.

1.5.8 Workspace Control

- ◆ When the All Documents radio button is selected, the Document Directory displays all documents, regardless of whether they are checked out to the current user or to a different user.
- ◆ When the Personal radio button is selected, the Document Directory displays only those documents that have been checked out to the current user.

Click on the radio button of your choice to select it.

See section 1.5.10 below for more information about checking documents in and out of the Central File.

1.5.9 Create New Document Button

In addition to organizing access to existing documents, the Central File Screen provides the capability for system users to create new activities or to create new documents for existing activities. The mechanism for accomplishing this is the Create New Document Window (pictured below) which appears when the user clicks on the Create New Document button on the bottom of the Central File Screen.

Create New Document

Program Interest: []

Activity

Category: []

Class: []

ID: 00 []

Type: []

Document

Type: []

Template: []

Title: []

[OK] [Cancel]

The Create New Document button is always enabled. If no activity heading or document row is selected when the user clicks the button, the system assumes they wish to create a new document under a new activity heading, and does not default any selectors in the Create New Document Window. If an existing activity heading or document row is selected, the system assumes they wish to associate the new Document with an existing activity heading, and defaults appropriate selectors accordingly in the Create New Document Window.

Note that all users, regardless of security privileges, may click the Create New Document button to launch the Create New Document Window. However, when the user clicks the OK button on the Create New Document Window, the system checks to determine whether they currently have Update or greater privileges for the Document Type they have selected to create. If not, the system presents a message indicating that they do not have sufficient privileges to create the Document Type selected.

To create a New Document, perform the following steps:

1. Click on the Create New Document Button at the bottom of the Central File.

The Create New Document Window appears.

2. In the Activity Category selector, choose the Activity Category applicable for the document you wish to create.

See section 1.5.6 above for a definition of the term "Activity Category."

3. In the Activity Class selector, choose the Activity Class applicable for the document you wish to create.

See section 1.5.6 above for a definition of the term "Activity Class."

4. **In the Activity ID selector, choose the two digit year and the sequential number of the Activity.**

If creating a new document within a new activity heading, select the value which includes "(NEW)" appended to the end of the number.

5. **In the Activity Type selector, choose the Activity Type applicable for the document you wish to create.**

See section 1.5.6 above for a definition of the term "Activity Type."

6. **In the Document Type selector, choose one of the four basic document template types:**

Form
Word Processing
DOS File
Activity Log

7. **In the Template field below, click on the appropriate Document Template.**

A Template is a master version of the document from which a copy is made each time a specific document instance is created in the Central File. Note that the term "Template" encompasses the system's data entry screens as well as the more-familiar word processing templates.

If no templates are available based on your selections, the text "No Templates Available" will appear. Once a Template has been selected, the Title field below may become enabled.

8. **If the Title field is enabled, you may change the Title of the document you are about to create by typing in a new value in this field.**

This Title will appear in the Central File next to the new document. For some kinds of templates, the Title field is intentionally disabled, so that the document cannot be re-titled.

9. **Click the OK button.**

The Create New Document Window will close, and the new document will be created in the Central File. Note that newly created documents are

automatically checked out to the current user. See section 1.5.10 for more information about checking documents in and out of the Central File.

1.5.10 Check In/Check Out

While users with appropriate security privileges are always free to view documents in read-only mode, users must first "check out" a document if they intend to make modifications to the document. Checked out documents do not actually leave the Central File, but their status changes so that they may only be modified by the person who checked them out. Checked out documents are automatically launched in read-only mode when opened by a different user.

Documents remain checked out until that person checks them back in. However, system administrators have the ability to check a document back in at any time, regardless of who has it checked out.

To check a document out, perform the following steps:

1. Click once on the document in the Central File you want to check out.
2. Click on the Check Out button at the bottom of the Central File Screen.

Note that when you check out a document, the system displays the text "Checked out To:" with your User ID following the colon.

To check a document in, perform the following steps:

1. Click once on the document in the Central File you want to check in.
2. Click on the Check In button at the bottom of the Central File Screen.

Note that when you check in a document, the system removes the check out User ID previously recorded.

1.5.11 Lock Button

When a checked-in document has been selected in the Document Directory (by clicking on it one time with the mouse), users with appropriate security privileges may use the Lock button at the bottom of the Central File to "lock" that document against any further editing. This typically takes place when a document has finished all the stages of review, and is ready to be considered as the "legal record." For some kinds of documents, locking is a preparatory step to making a document effective. When a document becomes effective, it

means that NJEMS begins holding the regulatee responsible for the requirements the document contains.

To lock a document, users with appropriate privileges should perform the following steps:

1. **Highlight the document of interest in the Document Directory by clicking on it once with the mouse.**

Make sure the document is not currently checked out to any user.

2. **Click the Lock button at the bottom of the Central File.**
3. **When NJEMS issues a warning message, click the OK button to continue with the locking process.**

Once the document is locked, a small lock icon will appear on the document's entry in the Document Directory.

1.5.12 Open Document Button

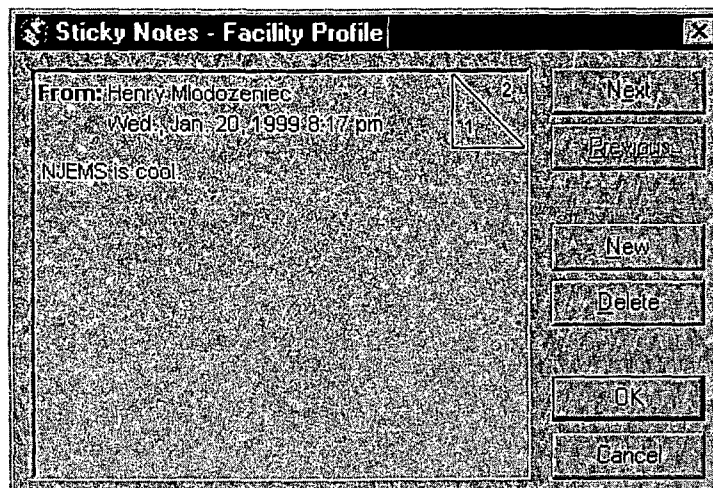
This button provides an alternate method (other than double-clicking) to open a document selected in the Central File. If this button is clicked when a document has been selected in the Central File, it will be launched.

1.5.13 Read Only Checkbox

When the Read-Only checkbox is checked, all documents the user opens (to which they have at least read-only security privileges) will be automatically opened in read-only mode, where no modifications to the document are possible. When this checkbox is checked, the Pencil Icon in the Status Line will appear with a red "X" through it, as a visual indication of Read-Only status.

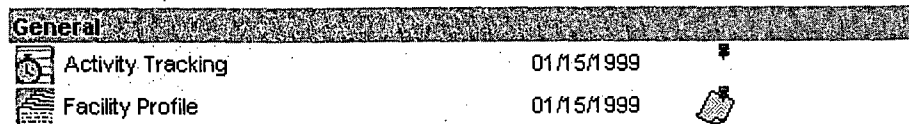
1.6 Sticky Notes

The Sticky Notes Window allows users to attach electronic messages to any document listed in the Central File document directory. Once at least one sticky note has been created for a particular document, the system automatically launches the Sticky Notes Window each time that document is opened, so that anyone viewing the document has an opportunity to view the notes first. Once it has been automatically launched, users may keep the Sticky Notes Window open while they work with the document, or close it if they desire.



*Central File
Display*

When a document has at least one sticky note attached, the system displays a picture of a yellow note beneath a pushpin, just to the right of the document creation date listed in the Central File. A picture of a pushpin with no notes beneath indicates a document with no sticky notes attached.



*Launching the
Sticky Notes Window*

There are three ways to launch the Sticky Notes Window for a Central File Document:

- ◆ Select that document row in the Central File, and then select the Sticky Notes menu entry from the Tools menu of the Desktop.

Viewing Sticky Notes

- ◆ Launch a document from the Central File, and then select the Sticky Notes menu entry from the Tools menu of the Desktop.
- ◆ For a document with at least one note attached, double-click on the yellow note and pushpin picture for that document.

Since multiple sticky notes from different users may be attached to the same document, when the Window opens, the system displays the first (and oldest) note in the "stack." At the top of each "page" of notes appears the first and last name of the user who added the note, as well as the date and time when it was added. The text of the note appears just beneath this "author" information. In the upper right hand corner of the note appears information about what page of the "stack" is being viewed, in standard "X of Y" format (where X is the current page number, and Y is the total number of pages).

There are two ways to navigate between notes in the "stack:"

- ◆ Use the "Next" and "Previous" buttons on the right side of the Sticky Notes Window.
- ◆ Click on the appropriate part of the "X of Y" page number in the upper right hand corner of the note. Clicking on the "Y" portion of the page number navigates to the next note in the stack, and clicking on the "X" portion navigates to the previous.

Adding New Sticky Notes

Users may add new sticky notes to the stack by clicking the "New" button on the right hand side of the Window. New notes are automatically stamped with the first and last name of their creator (the current user), and the date and time the note was created.

Editing & Deleting Sticky Notes

Individual note pages may be edited or deleted only by the person that created them (the author). Users may delete notes they authored by clicking the Delete button on the right side of the Sticky Notes Window.

Document Attachment Only

Note that sticky notes are attached to an entire Central File Document—they cannot be "attached" to a subpart of that document (i.e., a field, control, page, or tab).

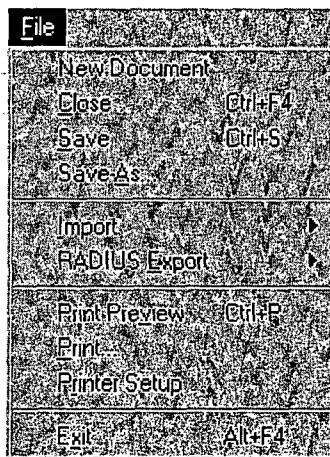
Depending on how the system administrator sets up the system security profiles, some users may not have access to all the items listed under the primary categories in the Menu bar. Options that a user cannot access will be disabled. For example, the System Administration submenu under the Tools menu option will be disabled for most users.

When working with menus, the symbol ">" means the menu item contains a submenu. Ellipses ("...") mean that when you select this menu item, a dialog box will appear asking for more information in order to complete the command.

The File Menu

The File menu is similar to those in other Windows™ applications. It contains commands that affect files or groups of data as a whole. In NJEMS, the File menu options generally apply to the active screen and the set of data contained within it at any particular time.

Selecting a menu item allows the user to perform any of the following actions:



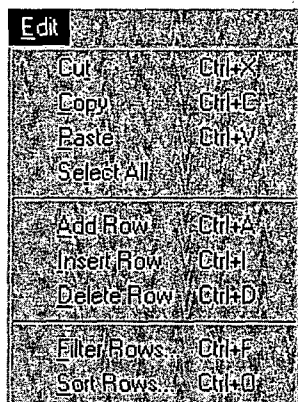
- ◆ New Document— open the Create New Document Window and select the appropriate document template for the creation of a new Central File document.
- ◆ Close— closes the currently active, open window.
- ◆ Save— saves the currently active, open window.
- ◆ Save As... — saves the currently active, open window, but allows the user to specify a file name via a standard dialog box.
- ◆ Import...
 - Documents— import RADIUS permit application documents.
- ◆ RADIUS Export...
 - Diskette Wizard— creates Emission Statement Export files for a user-selected list of Program Interests, prompting the user to insert a diskette for each Program Interest's file.
 - Emission Statement— creates a single Emission Statement export file for the Air Emission Statement document currently selected in the Central File.
 - Permit Document— creates a single Permit Document export file for the Air Permit Document Set currently selected in the Central File.

- ◆ **Print Preview**— launches the Print Preview Window, allowing the user to preview the currently active, open document as it appears when printed.
- ◆ **Print...**— prints the selected document.
- ◆ **Printer Setup**— opens the Printer Setup window to allow the user to configure their print settings.
- ◆ **Exit**— exits the application.

Edit Menu

Options in the Edit menu allow you to modify data on the currently active screen.

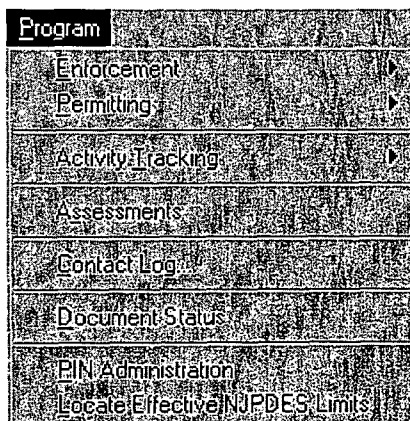
- ◆ **Cut**— cuts the current selection (highlighted information) to the clipboard.



- ◆ **Copy**— copies the current selection (highlighted information) to the clipboard.
- ◆ **Paste**— pastes the contents of the clipboard to the location of the cursor.
- ◆ **Select All**— selects all text within a field.
- ◆ **Insert Row**— inserts a row into the current Data Window, above the current cursor position.
- ◆ **Add Row**— adds a row to the bottom of the Data Window where the cursor currently resides.
- ◆ **Delete Row**— removes the row where the cursor currently resides from a Data Window.
- ◆ **Filter Rows...**— launches the system-wide Filter Utility Window, allowing the user to filter records in the Data Window where the cursor currently resides.
- ◆ **Sort Rows...**— launches the system-wide Sort Utility Window, allowing the user to sort records in the Data Window where the cursor currently resides.

Program Menu

The Program menu allows you to access particular NJEMS screens associated with DEP functions and processes.

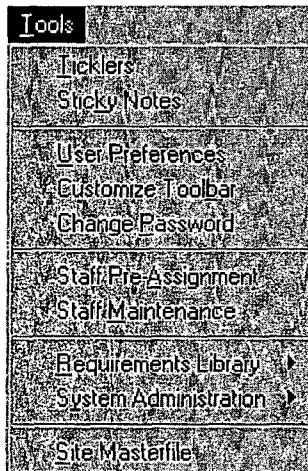


Selecting a menu option allows the user to perform the following actions:

- ◆ Enforcement
 - Incidents— launches the Incidents Screen, for recording complaints and incident (i.e., spills, releases) self-reports.
 - Violation List— launches the Violation List Screen.
 - Inspection Targeting— launches the Air Inspection Targeting Screen.
- ◆ Permitting
 - Air— Contains an additional submenu with two items:
 - Permit Administrative Check— performs the administrative check routine on the Air Permit Application Document currently selected in the Central File.
 - Error Log— launches the Error Log Window displaying the results of the administrative check routine for the Air Permit Application Document currently selected in the Central File.
 - Water— Contains an additional submenu with three items:
 - Monitoring Report Pre-Print Production— launches the Monitoring Report Pre-Print Production Screen, used to pre-print Water monitoring report forms.
 - Monitoring Results— launches the Monitoring Results Screen, used for the data entry of Water monitoring report values.
 - Locate Effective NJPDES Limits— Launches the Locate Effective Limits Document Window, used to quickly find the NJPDES permit document which contains the Limits and Monitoring Requirements which are currently effective for a particular NJPDES permit number.
 - Planning— contains an additional submenu with two items:
 - Emission Administrative Check— performs the emission statement administrative check on the Air Emission Statement document currently selected in the Central File.
 - Create Emission Statement Logs— batch creates Emission Statement activities, awaiting the import or entry of Emission Statement data.
- ◆ Activity Tracking— contains an additional submenu with three items:
 - To Do List— launches the To-Do View of Activity Tracking for the current user.
 - Program Interest Summary— launches the Program Interest Summary View of Activity Tracking, displaying all tasks relevant for a particular Program Interest.
 - Task Summary— launches the Task Summary View of Activity Tracking, displaying all tasks of a certain Category, Class and Type for all Program Interests in the system.
- ◆ Assessments— launches the Assessments/Invoicing Screen.
- ◆ Contact Log...— launches the Contact Log screen, used for recording details of conversations with responsible parties at regulated sites.
- ◆ Document Status— launches the Document Status Window, used for making requirements bearing documents effective.

- ◆ PIN Administration—launches the AIR PIN Administration screen, used for assigning RADIUS certification PIN numbers.
- ◆ Locate Effective NJPDES Limits— highlights the document in the Central File containing the currently effective NJPDES limits.
- ◆ Tools Menu

In any large-scale system, users should periodically customize or reset certain system-wide parameters and values as well as access special system tools designed to ease system use. In NJEMS, all such functions are available through the Tools menu.



- ◆ Ticklers— launches the Tickler Window, allowing users to create timed reminders for themselves and others.
- ◆ Sticky Notes— launches the "Sticky Note" pad that has been attached to a document selected in the Central File, or if there is none, creates a blank notepad for the selected document.
- ◆ User Preferences— launches the User Preferences Window, allowing the user to set several customizable features of Desktop functionality.
- ◆ Customize Toolbar— launches the Customize Toolbar Window, allowing the user to specify the edge of the screen where the toolbar will be displayed.
- ◆ Change Password— launches the Change Password Window, allowing the user to change the password they use to log onto NJEMS.
- ◆ Staff Pre-Assignment— launches the Staff Pre-Assignment Screen, allowing the mapping of staff to functional area assignments for different Program Interests.
- ◆ Staff Maintenance— launches the Staff Maintenance Screen, used to maintain identification information on DEP staff members who are NJEMS users.
- ◆ Requirements Library— contains an additional submenu with two items:
 - Import Spreadsheet— launches the Permit Conditions Library Tool Window, allowing the user to load corrective actions, profiles, and sets for both permit and non-permit libraries.
 - Requirements Library Maintenance— launches the Requirements Library Maintenance Screen.
- ◆ System Administration— contains an additional submenu with two items:

- Reference Table Maintenance— launches the Reference Table Maintenance Screen, allowing the user to modify code and description values for most system reference tables.
- Security Maintenance— launches the Security Maintenance Screen, allowing authorized users to control the access privileges of each user of NJEMS.

◆ Site Masterfile— launches the Site Masterfile Application

Reports Menu

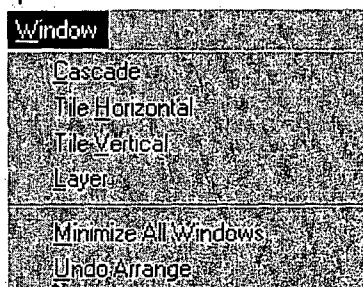
The Reports Menu contains a list of standard reports that may be launched from the desktop.



- ◆ Enforcement— contains an additional submenu with one item:
 - Compliance Evaluation Summary— When a Compliance Evaluation Screen has been selected in the Central File, launches the Print Preview Window for the Compliance Evaluation Summary report.
- ◆ Permitting— contains an additional submenu with two items:
 - Air— This menu option exists as a placeholder only. Currently there are no Reports developed for the Air program that appear in this menu. Over time, as more Air standard reports are developed, DEP may modify the submenu to launch additional reports.
 - Water— This menu option exists as a placeholder only. Currently there are no Reports developed for the Water program that appear in this menu. Over time, as more Water standard reports are developed, DEP may modify the submenu to launch additional reports.
- ◆ Planning— this menu option exists as a placeholder only. Currently there are no Reports developed for the Planning program that appear in this menu. Over time, as more Planning standard reports are developed, DEP may modify the submenu to launch additional reports.

Window Menu

The Window menu contains commands that define how the system arranges open windows on the desktop.



- ◆ Cascade— arranges the open windows so that the title bar of each window is visible.

- ◆ Tile Horizontal— arranges the open windows so that each occupies an equal portion of the screen in the horizontal dimension.
- ◆ Tile Vertical— arranges the open windows so that each occupies an equal portion of the screen in the vertical dimension.
- ◆ Layer— arranges the open windows one on top of another, so that only one window is visible at one time.
- ◆ Minimize all Windows— minimizes all open windows to the desktop.
- ◆ Undo Arrange— removes any of the above window arrangements, restoring all windows to their previous size beneath the currently active window.

At the bottom of the menu is a list of currently open windows, which you can use to easily navigate through the windows. A checkmark displays next to the currently active window.

Toolbar

The toolbar contains the most commonly used tools and commands on the desktop. Although all of the Toolbar's commands and tools are available in the Menu bar, the Toolbar provides a fast and easy way to access these commands. If the toolbar is not visible on your desktop, perform the following steps:

1. Click on the **Customize Toolbar** option on the **Tools** menu.
2. Then, select the **NJEMS Toolbar** in the "Toolbars" area of the window and press the **OK** button.

The NJEMS Toolbar appears:



By clicking on the appropriate icon on the Toolbar (listed from left to right), you can perform the following actions:

- ◆ Save— saves all information in the current window to the database.
- ◆ Print— prints the Data Window in which the cursor currently resides.
- ◆ Cut— cuts the current selection (highlighted information) to the clipboard.
- ◆ Copy— copies the current selection (highlighted information) to the clipboard.
- ◆ Paste— pastes the contents of the clipboard to the location of the cursor.
- ◆ Select All— selects all objects on the screen.
- ◆ Add Row— adds a row to the end of the Data Window where the cursor currently resides.
- ◆ Insert Row— inserts a row above the row of the Data Window where the cursor currently resides.
- ◆ Delete Row— deletes the row of the Data Window where the cursor currently resides.
- ◆ Filter Rows— launches the system-wide Filter Utility Window.
- ◆ Sort Rows— launches the system-wide Sort Utility Window.
- ◆ Masterfile— launches the Site Masterfile Application.
- ◆ Exit— Exits the NJEMS application.

Tooltips

The Toolbar includes “tooltips”—pop up help that identifies each of the toolbar buttons. If you hold the mouse pointer directly over a toolbar button (but do not click the mouse button) while tooltips are enabled, the label for that button appears in a pop-up “bubble” beside the button.

You may also customize the standard toolbar by repositioning it, turning “tooltips” on or off, and turning labels on or off.

- Status Line

Across the bottom of the NJEMS Desktop lies a single gray bar. At its far left side, this bar displays hints for available actions, or text indicating the progress of system processing. The status line is visible from every screen within NJEMS. The Status Line shown in the following figure displays the text “Ready.”

Other elements of the Status Line include:



- ◆ The Pencil icon, which displays as pictured above when you have opened the active window and the Read Only checkbox on the Central File is unchecked. For more information about the Read Only checkbox, see section **Error!**

Reference source not found.

The Date and Time display (shows the Date and Time as set on your PC clock).

Activity Tracking

Department of Environmental Protection

Activity Tracking

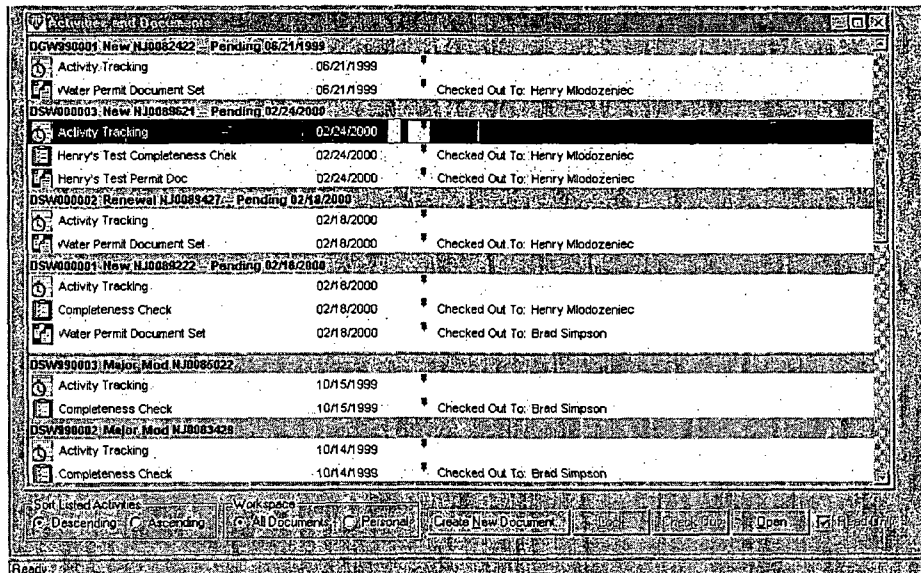
Activity Tracking is an elaborate, yet easy to use aspect of NJEMS with the capability for keeping track of due dates, staff assignments, and task completion for various kinds of DEP work activities.

Activity Tracking consists of four screens, each providing a different view of the same task-tracking data. The four views are described as follows:

- **Activity View**—lists the tasks (workflow and submittals) associated with a particular document.
- **To-Do-List**—displays tasks that have been assigned to a single staff member, looking across all activities, and all Program Interests (PIs).
- **Program Interest Summary**—lists all tasks for all activities for a single Program Interest.
- **Task Summary**—displays all incidences of a specified Task Type looking across all activities and all Program Interests.

Activity View

The **Activity View** is used to schedule, assign, and record the completion date of tasks associated with specific activities. Whenever a new work activity is created, NJEMS automatically creates an **Activity View** and adds it to the Central File Document Directory for that activity. The **Activity View** for a work activity usually appears as the first document beneath the Central File activity heading. It will have the title “**Activity Tracking**”.



Shown below is the Activity View Screen that is created by default with each new work activity.

Submitted?	Task	Assigned To	Priority	Default Due	Revised Due	Completed Date	Hours To Complete	Status
	Administrative Review Period Begins	Modicorinc/Hel	Low	02/24/2000		02/24/2000		
	Application Received By DEP	Modicorinc/Hel	Low	02/24/2000		02/24/2000		
	Application Package Received By Administrative Review	Modicorinc/Hel	Low	02/24/2000		02/24/2000		
	Administrative Review Period Ends	Modicorinc/Hel	Low	02/25/2000		02/24/2000		
	Application Received By Administrative Review	Modicorinc/Hel	Low	02/25/2000		02/24/2000		
	Application Package Received By Administrative Review	Modicorinc/Hel	Low	02/25/2000		02/24/2000		
	Application Package Received By Administrative Review	Modicorinc/Hel	Low	02/25/2000		02/24/2000		
	Application Package Received By Administrative Review	Modicorinc/Hel	Low	02/25/2000		02/24/2000		
	Application Package Received By Administrative Review	Modicorinc/Hel	Low	02/25/2000		02/24/2000		
	Application Package Received By Administrative Review	Modicorinc/Hel	Low	02/25/2000		02/24/2000		
	Application Package Received By Administrative Review	Modicorinc/Hel	Low	02/25/2000		02/24/2000		
	Application Package Received By Administrative Review	Modicorinc/Hel	Low	02/25/2000		02/24/2000		

After an activity is has been created, the **Activity View** (launched from the Central File) contains a default list of standard tasks associated with the workflow of the particular activity created. The primary use of the **Activity View** is to quickly communicate the tasks associated with this activity; to whom those tasks are assigned; and allow users to monitor task completion.

The fields and drop-down lists at the top of the window are used to filter the tasks that are displayed in the data window. Those fields are:

- **Facility** – identifies the Program Interest Preferred ID, the Program Interest Name, and the municipality (e.g. Trenton) where the Program Interest is located.
- **Program Interest** – displays the Program Interest that the tasks displayed in the data window relate to. This field is only editable if the Facility contains more than one PI.
- **Subject Item** – drop-down that provides the capability to filter the tasks. The **All** option lists all of the tasks for the activity. The **Workflow Tasks** lists all of the tasks that must be completed by the DEP for this NJPDES permit document. Specific Subject Items, such as **GDR** (General Discharge Requirements) displays all of the Monitoring Report and associated facility submittal tasks.

- There are two checkboxes within the **Activity View**. The first one is the **Show Monitored Location** checkbox. This checkbox is located in the upper right hand corner of the window and is used to control the display of an extra column in the **Task List** below. When checked, the **Monitored Location** column is inserted to the left of the **Task** column. The second checkbox is **Show OS and Step**. This checkbox is located directly under **Show Monitored Location** and when checked, the **OS, Step** column is added to the left of the **Task** column.

At the bottom of the Activity View Screen is the **Reassign Tasks** button. When it is clicked, the **Reassign Tasks** window opens. This window allows the user to select the person to which **all** uncompleted tasks for the associated activity will be reassigned. Only users with supervisor privileges may use the Reassign Tasks window. The button will appear disabled for all other users.

Additional functionality is available through the right-click menu. This feature is accessible from most screens, by applying focus to the main screen and right clicking, and offers the ability to rapidly access commonly used functions. Some of the functions in the right-click menu for **Activity Tracking** are insert, add, and delete a row. If a new task is needed, select one of the following options:

- Click **Add Row** to place the task at the end of the task list.
- Click **Insert Row** to insert the task above the currently highlighted row.
After selecting either **Add Row** or **Insert Row**, NJEMS opens the **Task Selection** window. To create a new task, select the **Task**, **Due Date** and **Predecessor Task** needed, then click the **OK** button. When finished using the **Activity Tracking** log, choose **Save** from the **File** menu to save the changes. **Close** the window and NJEMS will return to the **Central File** and record the newly created task.

To-Do-List

The **To-Do-List** Screen sorts and filters the **Activity Tracking** database to display only the tasks that have been assigned to a specified staff member, across all activities and all PIs. The name listed at the top of the

New Jersey Environmental Management System

File Edit Program Tools Reports Window Help

Activity Tracking - To Do List

Start Member: Blomgren, Brad / G:\Data\Incomplete Tasks / All Tasks

Program Interest	Submitter?	Task	Activity	Due Date	Completed Date	Assigned Priority	
15312 HENRY HEIDE New Brunswick City		Receive app. and record receipt date	BOP990001 5 Year R/H	4/1/99		Low	No editio
15312 HENRY HEIDE New Brunswick City		Receive general permit registration	BOP990001 Baser	10/14/99		Low	No editio
15312 HENRY HEIDE New Brunswick City		Acknowledge receipt of general permit	BOP990001 Baser	10/14/99		Low	No editio
15312 HENRY HEIDE New Brunswick City		Screen general permit registration	BOP990001 Baser	10/14/99		Low	No editio
MUD065220 4004 Jola Bar and Grill, Sanbornville Twp.		Begin Administrative Review Period	DV990002 Major M/I	10/15/99		Low	No editio
15312 HENRY HEIDE New Brunswick City		Receiving app. and record receipt date	BOP990002 5 Year R/H	5/1/99		Low	No editio
15312 HENRY HEIDE New Brunswick City		Receiving app. and record receipt date	BOP990003 Lake On	5/1/99		Low	No editio
15312 HENRY HEIDE New Brunswick City		Receive amendment and record date	BOP990004 American	10/15/99		Low	No editio
15312 HENRY HEIDE New Brunswick City		Receive general permit registration	BOP990002 Advisory	10/15/99		Low	No editio
15312 HENRY HEIDE New Brunswick City		Acknowledge receipt of general permit	BOP990002 Advisory	10/15/99		Low	No editio
15312 HENRY HEIDE New Brunswick City		Screen General Permit Registration	BOP990002 Advisory	10/15/99		Low	No editio
15312 HENRY HEIDE New Brunswick City		Receiving general permit registration	BOP990002 Baser	10/15/99		Low	No editio
15312 HENRY HEIDE New Brunswick City		Acknowledge receipt of general permit	BOP990003 Seab Re	10/15/99		Low	No editio
15312 HENRY HEIDE New Brunswick City		Screen general permit registration	BOP990003 Seab Re	10/15/99		Low	No editio
15312 HENRY HEIDE New Brunswick City		Receiving traffic study	NOL990001 Modeling	10/15/99		Low	No editio
15312 HENRY HEIDE New Brunswick City		Comment on Traffic Study	NOL990001 Modeling	10/15/99		Low	No editio
15312 HENRY HEIDE New Brunswick City		Inital Summary Memo	NOL990001 Modeling	10/15/99		Low	No editio
15312 HENRY HEIDE New Brunswick City		Receiving application	BOP990002 Contract	10/15/99		Low	No editio
15312 HENRY HEIDE New Brunswick City		Acknowledge receipt of application	BOP990002 Contract	10/15/99		Low	No editio
15312 HENRY HEIDE New Brunswick City		Screen application	BOP990002 Contract	10/15/99		Low	No editio
15312 HENRY HEIDE New Brunswick City		Assign application	BOP990002 Contract	10/15/99		Low	No editio
15312 HENRY HEIDE New Brunswick City		Begin permit review process	BOP990002 Contract	10/15/99		Low	No editio
15312 HENRY HEIDE New Brunswick City		App permit review	BOP990002 Contract	10/15/99		Low	No editio
MUD065220 4004 Jola Bar and Grill, Sanbornville Twp.		Begin Administrative Review Period	DV990002 Major M/I	10/15/99		Low	No editio
4004 Jola Bar and Grill, Sanbornville Twp.		Begin Administrative Review Period	NLA990001 Stage 2	10/15/99		Low	No editio
4004 Jola Bar and Grill, Sanbornville Twp.		Begin Administrative Review Period	NLA990002 Stage 1	10/15/99		Low	No editio
15312 HENRY HEIDE New Brunswick City		Receiving process	BOP990001 5 year R/H	6/1/99		Low	No editio
15312 HENRY HEIDE New Brunswick City		Receiving process	BOP990002 5 year R/H	7/1/99		Low	No editio
15312 HENRY HEIDE New Brunswick City		Receiving process	BOP990003 H&B On	10/17/99		Low	No editio
15312 HENRY HEIDE New Brunswick City		Receiving process	BOP990004 Ameron	10/20/99		Low	No editio
15312 HENRY HEIDE New Brunswick City		Receiving app and record receipt date	BOP990005 Hill Co	10/20/99		Low	No editio

444 total records for this Staff Member

March 6, 2000 10:10AM

The **Program Interest Summary Screen** lists all tasks for a single Program Interest, looking across all activities involving that PI. Through additional filtering, the user can narrow the display to all PIs with incomplete tasks, all PIs with impending deadlines, etc.

Activity Tracking

New Jersey Environmental Management System

Activity Tracking - PI Summary

1304 SHADETREE LN
Absecon, NJ 08202

Completion Status: All Tasks

Show Task Name

Show Monitored Locations

Activity	Submitted	Task	Subject Name	Assigned To	Due Date	Completed Date
NO00000001	NOV 1999	Begin Draft Permit	NO00000001	Modorovic, Her	10/22/1999	10/22/1999
NO00000002	NOV 1999	Begin Draft Permit	NO00000002	Modorovic, Her	10/22/1999	10/22/1999
NO00000003	NOV 1999	Begin Draft Permit	NO00000003	Modorovic, Her	10/22/1999	10/22/1999
NO00000004	NOV 1999	Begin Draft Permit	NO00000004	Modorovic, Her	10/22/1999	10/22/1999
NO00000005	NOV 1999	Begin Draft Permit	NO00000005	Modorovic, Her	10/22/1999	10/22/1999
NO00000006	NOV 1999	Begin Draft Permit	NO00000006	Modorovic, Her	10/22/1999	10/22/1999
NO00000007	NOV 1999	Begin Draft Permit	NO00000007	Modorovic, Her	10/22/1999	10/22/1999
NO00000008	NOV 1999	Begin Draft Permit	NO00000008	Modorovic, Her	10/22/1999	10/22/1999
NO00000009	NOV 1999	Begin Draft Permit	NO00000009	Modorovic, Her	10/22/1999	10/22/1999
NO00000010	NOV 1999	Begin Draft Permit	NO00000010	Modorovic, Her	10/22/1999	10/22/1999
NO00000011	NOV 1999	Begin Draft Permit	NO00000011	Modorovic, Her	10/22/1999	10/22/1999
NO00000012	NOV 1999	Begin Draft Permit	NO00000012	Modorovic, Her	10/22/1999	10/22/1999
NO00000013	NOV 1999	Begin Draft Permit	NO00000013	Modorovic, Her	10/22/1999	10/22/1999
NO00000014	NOV 1999	Begin Draft Permit	NO00000014	Modorovic, Her	10/22/1999	10/22/1999
NO00000015	NOV 1999	Begin Draft Permit	NO00000015	Modorovic, Her	10/22/1999	10/22/1999
NO00000016	NOV 1999	Begin Draft Permit	NO00000016	Modorovic, Her	10/22/1999	10/22/1999
NO00000017	NOV 1999	Begin Draft Permit	NO00000017	Modorovic, Her	10/22/1999	10/22/1999
NO00000018	NOV 1999	Begin Draft Permit	NO00000018	Modorovic, Her	10/22/1999	10/22/1999
NO00000019	NOV 1999	Begin Draft Permit	NO00000019	Modorovic, Her	10/22/1999	10/22/1999
NO00000020	NOV 1999	Begin Draft Permit	NO00000020	Modorovic, Her	10/22/1999	10/22/1999
NO00000021	NOV 1999	Begin Draft Permit	NO00000021	Modorovic, Her	10/22/1999	10/22/1999
NO00000022	NOV 1999	Begin Draft Permit	NO00000022	Modorovic, Her	10/22/1999	10/22/1999
NO00000023	NOV 1999	Begin Draft Permit	NO00000023	Modorovic, Her	10/22/1999	10/22/1999
NO00000024	NOV 1999	Begin Draft Permit	NO00000024	Modorovic, Her	10/22/1999	10/22/1999
NO00000025	NOV 1999	Begin Draft Permit	NO00000025	Modorovic, Her	10/22/1999	10/22/1999
NO00000026	NOV 1999	Begin Draft Permit	NO00000026	Modorovic, Her	10/22/1999	10/22/1999
NO00000027	NOV 1999	Begin Draft Permit	NO00000027	Modorovic, Her	10/22/1999	10/22/1999
NO00000028	NOV 1999	Begin Draft Permit	NO00000028	Modorovic, Her	10/22/1999	10/22/1999
NO00000029	NOV 1999	Begin Draft Permit	NO00000029	Modorovic, Her	10/22/1999	10/22/1999
NO00000030	NOV 1999	Begin Draft Permit	NO00000030	Modorovic, Her	10/22/1999	10/22/1999
NO00000031	NOV 1999	Begin Draft Permit	NO00000031	Modorovic, Her	10/22/1999	10/22/1999
NO00000032	NOV 1999	Begin Draft Permit	NO00000032	Modorovic, Her	10/22/1999	10/22/1999
NO00000033	NOV 1999	Begin Draft Permit	NO00000033	Modorovic, Her	10/22/1999	10/22/1999
NO00000034	NOV 1999	Begin Draft Permit	NO00000034	Modorovic, Her	10/22/1999	10/22/1999
NO00000035	NOV 1999	Begin Draft Permit	NO00000035	Modorovic, Her	10/22/1999	10/22/1999
NO00000036	NOV 1999	Begin Draft Permit	NO00000036	Modorovic, Her	10/22/1999	10/22/1999
NO00000037	NOV 1999	Begin Draft Permit	NO00000037	Modorovic, Her	10/22/1999	10/22/1999
NO00000038	NOV 1999	Begin Draft Permit	NO00000038	Modorovic, Her	10/22/1999	10/22/1999
NO00000039	NOV 1999	Begin Draft Permit	NO00000039	Modorovic, Her	10/22/1999	10/22/1999
NO00000040	NOV 1999	Begin Draft Permit	NO00000040	Modorovic, Her	10/22/1999	10/22/1999
NO00000041	NOV 1999	Begin Draft Permit	NO00000041	Modorovic, Her	10/22/1999	10/22/1999
NO00000042	NOV 1999	Begin Draft Permit	NO00000042	Modorovic, Her	10/22/1999	10/22/1999
NO00000043	NOV 1999	Begin Draft Permit	NO00000043	Modorovic, Her	10/22/1999	10/22/1999
NO00000044	NOV 1999	Begin Draft Permit	NO00000044	Modorovic, Her	10/22/1999	10/22/1999
NO00000045	NOV 1999	Begin Draft Permit	NO00000045	Modorovic, Her	10/22/1999	10/22/1999
NO00000046	NOV 1999	Begin Draft Permit	NO00000046	Modorovic, Her	10/22/1999	10/22/1999
NO00000047	NOV 1999	Begin Draft Permit	NO00000047	Modorovic, Her	10/22/1999	10/22/1999
NO00000048	NOV 1999	Begin Draft Permit	NO00000048	Modorovic, Her	10/22/1999	10/22/1999
NO00000049	NOV 1999	Begin Draft Permit	NO00000049	Modorovic, Her	10/22/1999	10/22/1999
NO00000050	NOV 1999	Begin Draft Permit	NO00000050	Modorovic, Her	10/22/1999	10/22/1999
NO00000051	NOV 1999	Begin Draft Permit	NO00000051	Modorovic, Her	10/22/1999	10/22/1999
NO00000052	NOV 1999	Begin Draft Permit	NO00000052	Modorovic, Her	10/22/1999	10/22/1999
NO00000053	NOV 1999	Begin Draft Permit	NO00000053	Modorovic, Her	10/22/1999	10/22/1999
NO00000054	NOV 1999	Begin Draft Permit	NO00000054	Modorovic, Her	10/22/1999	10/22/1999
NO00000055	NOV 1999	Begin Draft Permit	NO00000055	Modorovic, Her	10/22/1999	10/22/1999
NO00000056	NOV 1999	Begin Draft Permit	NO00000056	Modorovic, Her	10/22/1999	10/22/1999
NO00000057	NOV 1999	Begin Draft Permit	NO00000057	Modorovic, Her	10/22/1999	10/22/1999
NO00000058	NOV 1999	Begin Draft Permit	NO00000058	Modorovic, Her	10/22/1999	10/22/1999
NO00000059	NOV 1999	Begin Draft Permit	NO00000059	Modorovic, Her	10/22/1999	10/22/1999
NO00000060	NOV 1999	Begin Draft Permit	NO00000060	Modorovic, Her	10/22/1999	10/22/1999
NO00000061	NOV 1999	Begin Draft Permit	NO00000061	Modorovic, Her	10/22/1999	10/22/1999
NO00000062	NOV 1999	Begin Draft Permit	NO00000062	Modorovic, Her	10/22/1999	10/22/1999
NO00000063	NOV 1999	Begin Draft Permit	NO00000063	Modorovic, Her	10/22/1999	10/22/1999
NO00000064	NOV 1999	Begin Draft Permit	NO00000064	Modorovic, Her	10/22/1999	10/22/1999
NO00000065	NOV 1999	Begin Draft Permit	NO00000065	Modorovic, Her	10/22/1999	10/22/1999
NO00000066	NOV 1999	Begin Draft Permit	NO00000066	Modorovic, Her	10/22/1999	10/22/1999
NO00000067	NOV 1999	Begin Draft Permit	NO00000067	Modorovic, Her	10/22/1999	10/22/1999
NO00000068	NOV 1999	Begin Draft Permit	NO00000068	Modorovic, Her	10/22/1999	10/22/1999
NO00000069	NOV 1999	Begin Draft Permit	NO00000069	Modorovic, Her	10/22/1999	10/22/1999
NO00000070	NOV 1999	Begin Draft Permit	NO00000070	Modorovic, Her	10/22/1999	10/22/1999
NO00000071	NOV 1999	Begin Draft Permit	NO00000071	Modorovic, Her	10/22/1999	10/22/1999
NO00000072	NOV 1999	Begin Draft Permit	NO00000072	Modorovic, Her	10/22/1999	10/22/1999
NO00000073	NOV 1999	Begin Draft Permit	NO00000073	Modorovic, Her	10/22/1999	10/22/1999
NO00000074	NOV 1999	Begin Draft Permit	NO00000074	Modorovic, Her	10/22/1999	10/22/1999
NO00000075	NOV 1999	Begin Draft Permit	NO00000075	Modorovic, Her	10/22/1999	10/22/1999
NO00000076	NOV 1999	Begin Draft Permit	NO00000076	Modorovic, Her	10/22/1999	10/22/1999
NO00000077	NOV 1999	Begin Draft Permit	NO00000077	Modorovic, Her	10/22/1999	10/22/1999
NO00000078	NOV 1999	Begin Draft Permit	NO00000078	Modorovic, Her	10/22/1999	10/22/1999
NO00000079	NOV 1999	Begin Draft Permit	NO00000079	Modorovic, Her	10/22/1999	10/22/1999
NO00000080	NOV 1999	Begin Draft Permit	NO00000080	Modorovic, Her	10/22/1999	10/22/1999
NO00000081	NOV 1999	Begin Draft Permit	NO00000081	Modorovic, Her	10/22/1999	10/22/1999
NO00000082	NOV 1999	Begin Draft Permit	NO00000082	Modorovic, Her	10/22/1999	10/22/1999
NO00000083	NOV 1999	Begin Draft Permit	NO00000083	Modorovic, Her	10/22/1999	10/22/1999
NO00000084	NOV 1999	Begin Draft Permit	NO00000084	Modorovic, Her	10/22/1999	10/22/1999
NO00000085	NOV 1999	Begin Draft Permit	NO00000085	Modorovic, Her	10/22/1999	10/22/1999
NO00000086	NOV 1999	Begin Draft Permit	NO00000086	Modorovic, Her	10/22/1999	10/22/1999
NO00000087	NOV 1999	Begin Draft Permit	NO00000087	Modorovic, Her	10/22/1999	10/22/1999
NO00000088	NOV 1999	Begin Draft Permit	NO00000088	Modorovic, Her	10/22/1999	10/22/1999
NO00000089	NOV 1999	Begin Draft Permit	NO00000089	Modorovic, Her	10/22/1999	10/22/1999
NO00000090	NOV 1999	Begin Draft Permit	NO00000090	Modorovic, Her	10/22/1999	10/22/1999
NO00000091	NOV 1999	Begin Draft Permit	NO00000091	Modorovic, Her	10/22/1999	10/22/1999
NO00000092	NOV 1999	Begin Draft Permit	NO00000092	Modorovic, Her	10/22/1999	10/22/1999
NO00000093	NOV 1999	Begin Draft Permit	NO00000093	Modorovic, Her	10/22/1999	10/22/1999
NO00000094	NOV 1999	Begin Draft Permit	NO00000094	Modorovic, Her	10/22/1999	10/22/1999
NO00000095	NOV 1999	Begin Draft Permit	NO00000095	Modorovic, Her	10/22/1999	10/22/1999
NO00000096	NOV 1999	Begin Draft Permit	NO00000096	Modorovic, Her	10/22/1999	10/22/1999
NO00000097	NOV 1999	Begin Draft Permit	NO00000097	Modorovic, Her	10/22/1999	10/22/1999
NO00000098	NOV 1999	Begin Draft Permit	NO00000098	Modorovic, Her	10/22/1999	10/22/1999
NO00000099	NOV 1999	Begin Draft Permit	NO00000099	Modorovic, Her	10/22/1999	10/22/1999
NO00000100	NOV 1999	Begin Draft Permit	NO00000100	Modorovic, Her	10/22/1999	10/22/1999

102 total records for this program interest

March 6, 2000 10:12 AM

After opening the Program Interest Summary Screen, the user can click the **Select Program Interest** button to select a different PI. This is the same **PI Selection** window used in the **Central File**. The **Completion Status** drop down can be used to narrow down the list of tasks and provides filtering for complete tasks only, incomplete tasks only, or all tasks.

Task Summary

The **Task Summary** view sorts and filters the **Activity Tracking** database to display all instances of a single Task Type (e.g., "Begin Draft Permit Stage"), looking across all Program Interests. In the **Task Summary** view, several fields are present to narrow the list of tasks displayed. The **Show Task Name** checkbox allows the user to view the task name associated with each activity. This checkbox is helpful if the task drop down is set to **All**.

New Jersey Environmental Management System

File Edit Program Tools Reports Window Help

Activity Tracking - Task Summary

Activity: NUDES Permits Discharge to Ground Wt New

(Category) (Class) (Type)

Date: 3/1/2000

P Number: P Name:

☐ All Tasks
☐ Show Task Name
☐ Show Monitored Location

Program Interest	Activity	Subject Item	Submitted?	Due Date	Completed Date	Assigned To	Assigned By
NU0092422 Int. Bar and Grit (40054)	DOWS90001 New MF		<input checked="" type="checkbox"/>	06/21/1999		Mozdarianos, Henry	Mozdarianos, Henry
NU0092422 Int. Bar and Grit (40054)	DOWS90001 New MF		<input checked="" type="checkbox"/>	06/21/1999		Mozdarianos, Henry	Mozdarianos, Henry
NU0094620 COS Water Pt (40701)	DOWS90001 New MF		<input checked="" type="checkbox"/>	06/26/1999		Gentry, Luke	Gentry, Luke
NU0094620 COS Water Pt (40701)	DOWS90001 New MF		<input checked="" type="checkbox"/>	06/26/1999		Gentry, Luke	Gentry, Luke
NU0094624 Closures Test Pt (40052)	DOWS90001 New MF		<input checked="" type="checkbox"/>	10/14/1999		Gentry, Luke	Gentry, Luke
NU0094624 Closures Test Pt (40052)	DOWS90001 New MF		<input checked="" type="checkbox"/>	10/14/1999		Gentry, Luke	Gentry, Luke
NU0096428 Bob West Backyard Westwater (4084)	DOWS90001 New MF		<input checked="" type="checkbox"/>	11/17/1999		West, Robert	West, Robert
NU0096428 Bob West Backyard Westwater (4084)	DOWS90001 New MF		<input checked="" type="checkbox"/>	11/17/1999		West, Robert	West, Robert
NU0000025 Marshall Erdman's Water Training Pt (398)	DOWA000002 New MF		<input checked="" type="checkbox"/>	02/28/2000		Simpson, Brad	Simpson, Brad
NU0000025 Marshall Erdman's Water Training Pt (398)	DOWA000002 New MF		<input checked="" type="checkbox"/>	02/28/2000		Simpson, Brad	Simpson, Brad
NU0096426 Bob West Backyard Westwater (4084)	DOWS90001 New DOF		<input checked="" type="checkbox"/>	03/02/2000		Roguessee, Jeff	RWEST
NU0090221 Marshalls Pl Unit (40730)	DOWA000001 New MF		<input checked="" type="checkbox"/>	03/02/2000		Simpson, Brad	Simpson, Brad
NU0090221 Marshalls Pl Unit (40730)	DOWA000001 New MF		<input checked="" type="checkbox"/>	03/02/2000		Simpson, Brad	Simpson, Brad
NU0098226 BRAD'S WATER Pt (40731)	DOWA000002 New MF		<input checked="" type="checkbox"/>	03/02/2000		Simpson, Brad	Simpson, Brad
NU0098226 BRAD'S WATER Pt (40731)	DOWA000002 New MF		<input checked="" type="checkbox"/>	03/02/2000		Simpson, Brad	Simpson, Brad
NU0098226 BRAD'S WATER Pt (40731)	DOWA000003 New MF		<input checked="" type="checkbox"/>	03/02/2000		Simpson, Brad	Simpson, Brad
NU0098226 BRAD'S WATER Pt (40731)	DOWA000003 New MF		<input checked="" type="checkbox"/>	03/02/2000		Simpson, Brad	Simpson, Brad

17 total records for this Task

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The **PI Number** or **PI Name** fields are used to search the list of displayed tasks. If the user wants to view a certain PI Number, then they would enter that number in the **PI Number** field and hit the Tab key. The system will then highlight the first occurrence of this PI Number. The same functionality applies to the **PI Name** field. It is also important to note that these two fields cannot be used to retrieve records.

central File

Department of Environmental Protection

Central File Screen

The Central File screen is the user's command center for creating and using the data entry. This window displays screens and other "documents" that are stored in the database. It is available to all users of all of the DEPs' "new generation" data systems.

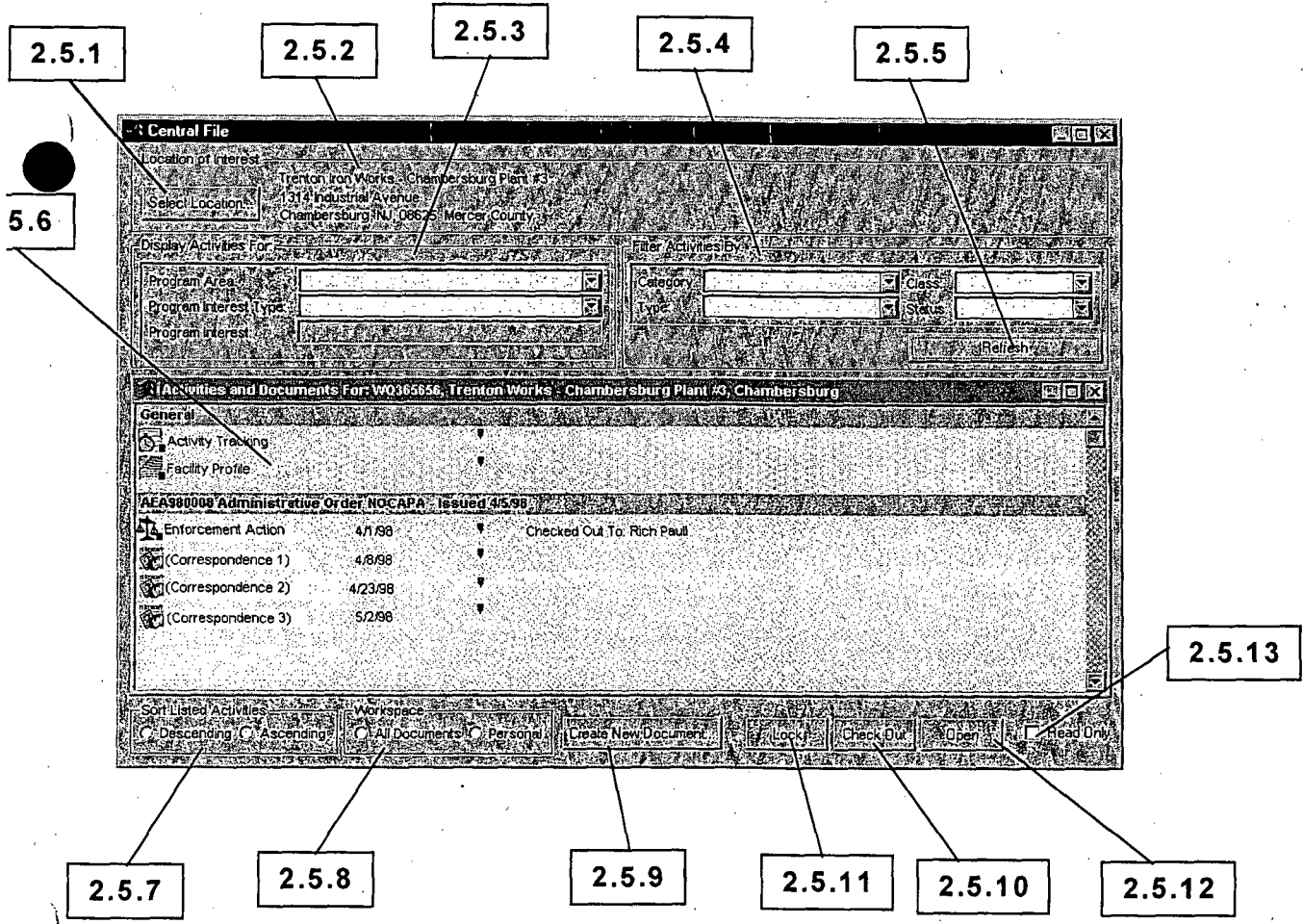
When a user finishes logging on to NJEMS, the Central File screen is automatically launched and maximized on the desktop. If the user had previously used NJEMS, the system "remembers" their Central File settings and restores that information on screen the next time the user logs on.

To open a "file-drawer" and view its contents, you first select a DEP Master Site by entering search criteria in the Location Selection Window. This window opens when you click the "Select Location..." button. You can search by any program-specific ID number used for the site (i.e., a Program Interest ID). For more information about selecting a DEP Master Site, see section 0 below.

Once you select a site, NJEMS displays a list of DEP work activities and their associated documents in the Document Directory table on the screen. A system-assigned ID identifies individual work activities with a label describing the specific activity and its current status. For example, the folder labeled "PEA980001 Prescribed Enforcement Action, Pending" designates the first Prescribed Enforcement Action (PEA) created in the calendar year 1998 (980001) involving the selected Site—an Order that has not yet been issued (i.e., "Pending").

Underneath each activity heading is a list of one or more 'documents'—data screens, word processing documents, or other document formats—associated with that work activity. You can open any listed document by double clicking on its line on the screen. You can create new activities and also add new documents under existing activities.

The following picture of the Central File Screen has numbered tags pointing to various features. Please refer to the sections below for more information on each tagged feature.



Selecting a Location of Interest

The Central File allows users to work with documents for all Program Interests at a Masterfile Site. In order to retrieve the documents you wish to work with, you must select the Program Interest they are associated with. To select a Program Interest, perform the following steps:

1. Click the **Select Location...** button.

Site ID #	PI ID #	Program Interest Name	Municipality	Type	Active
00018628 IH662		Henry's Air Program Interest	Sandyston Twp	Air	<input checked="" type="checkbox"/>

The Location Selection Window appears.

The Location Selection Window allows a user to specify search criteria the system will use to search the Masterfile for Program Interests at particular Sites. The Location Selection Window allows users to search for Program Interests four different ways:

- ◆ **By Site ID Number**— When the user has selected the Search by Site radio button, and entered a value in the ID Number field at the top of the Window, the system will find:
 - All Program Interests that exist at Site records having a Site ID Number which matches or partially matches the user-specified-value.
- ◆ **By Site Name**— When the user has selected the Search by Site radio button, and entered a value in the Name field at the top of the Window, the system will find:
 - All Program Interests that exist at Site records having a Site Name which matches or partially matches the user-specified value.

- ◆ By Program Interest ID Number— When the user has selected the Search by Program Interest radio button, and entered a value in the ID Number field at the top of the Window, the system will find:
 - All Program Interests that exist at any Site record, provided that the Program Interest has a Program Interest ID Number that matches or partially matches the user-specified value.
- ◆ By Program Interest Name— When the user has selected the Search by Program Interest radio button, and entered a value in the Name field at the top of the Window, the system will find:
 - All Program Interests that exist at any Site record, provided that the Program Interest has a Program Interest Name that matches or partially matches the user-specified value.

2. Enter search criteria and click the “Search Now” button.

The screen displays all applicable Program Interest records.

3. Highlight the desired Program Interest and click on the OK button.

The Location Selection Window will close, and the system will default the Central File's Current Location of Interest Display (see section 0) below) the Site Name and address for the Program Interest selected. Additionally, the Display Activities For selectors will be defaulted according to the Program Interest selected.

The Central File is now ready to display documents related to the Program Interest selected in the Location Selection Window, or any other Program Interest at that same Site.

Other Location Selection Window Controls

w All/Show
ve Radio
ons

The Show All/Show Active radio buttons in the bottom left hand corner of the Location Selection Window will modify the Program Interest records shown when a search is performed:

- ◆ If the Show All radio button is selected, all Program Interests which meet the search criteria, regardless of whether they have been designated as “Active” in the Site Masterfile will be retrieved.
- ◆ If the Show Only Active radio button is selected, only those Program Interests which meet the search criteria and have been designated as “Active” in the Site Masterfile will be retrieved.

A Program Interest Alternate ID number is any string of text or numbers which allows some meaningful "alternate" identification of the Program Interest, when for some reason it is insufficient or inconvenient to know the Program Interest only by its Program Interest Preferred ID Number. For example:

- ◆ **NJPDES Permit Numbers**— DWQ is accustomed to using the NJPDES permit number, representing an instance of permit authorization at a particular Program Interest, as an identifier for the Program Interest. Since Program Interests may have multiple instances of authorization, they are sometimes "known" by more than one NJPDES number. DWQ staff are so familiar with the Program Interests they regulate that these NJPDES numbers are more meaningful for facility identification than any other code or name.
- ◆ **TWA Project Numbers**— The Treatment Works program is accustomed to using the TWA Project Number, representing an instance of a new Treatment Works project, as an identifier for the Program Interest. Since Program Interests may have multiple Treatment Works Projects, they are sometimes "known" by more than one Project number. Treatment Works staff are less dependant on the Project Number as a Program Interest identifier than NJPDES permitting staff are on NJPDES Permit Numbers, but still find it helpful and meaningful to track Program Interests in this manner.

While many programs may take advantage of the Program Interest Alternate ID feature, not all will use the Alternate ID for Program Interest identification. When selecting a Program Interest from the Location Selection Window, the Alternate ID column would be irrelevant for such users. Other programs may depend so heavily on the Alternate ID column that they cannot easily make a selection without consulting it.

Consequently, users may show or hide the Program Interest Alternate ID column in the Location Selection Window, by checking or unchecking the Display Alternate PI ID's checkbox at the bottom of the Location Selection Window.

Current Location of Interest Display

This area of the Central File shows the Site Name and Address of the Site linked to the Program Interest the user chose in the Location Selection Window. For information on choosing a Program Interest, see section 0 above. When you log off of NJEMS, the system "remembers" the Site you were working with at the time, and returns you to that record when you log back in. This feature prevents you from having to search for the same Site you were working with the last time you logged on.

Display Activities For Controls

These three drop-down fields constrain the display of work activities in the Document Display below. When you select a Program Interest in the Location Selection Window, these three fields are default filled based on your selection. However, you may always change them later to view documents other than those associated with the Program Interest you selected.

- ◆ **Program Area**— This drop-down contains all the different Program Areas which have Program Interests at the Site identified in the Current Location of Interest Display (see section 0 above). Choosing a Program Area filters the available Program Interest Types in the Program Interest Type selector below to only those appropriate for the Program Area selected. If there is only one Program Area at the Site, this field will be defaulted to that value and uneditable.
- ◆ **Program Interest Type**— This drop-down contains all the different Program Interest Types for the Program Area selected above. For example, if the Program Area selected = "Air," the Program Interest Type selector might contain the values "Right-to-Know," "Pesticides," and "TCPA," if there are Program Interests of those three Types at the Site. If there is only one Program Interest Type at the Site for the Program Area selected, this field will be defaulted to that value and uneditable.
- ◆ **Program Interest**— This drop-down contains all the different Program Interest for the Program Interest Type selected above. For example, if the Program Area selected = "Air," and the Program Interest Type selector = "Pesticides," the Program Interest selector might contain one or more values, each identifying a different Pesticides Program Interest at the Site. If there is only one Program Interest at the Site for the Program Area and Program Interest Type selected, this field will be defaulted to that value and uneditable.

Selecting the value "All"

When there is more than one value available in the Program Area, Program Interest Type, or Program Interest drop-downs, the value "All" will also appear in the drop-down. The bullets below explain what choosing "All" in each of these selectors tells the system:

- ◆ **Program Area selector**— Choosing "All" from the Program Area selector means: "I'd like to view all the documents at this Site, regardless of their relevant Program, Program Interest Type, or Program Interest."
 - Choosing "All" from the Program Area selector disables the Program Interest Type and Program Interest selectors, and automatically defaults their values to "All."

- ◆ Program Interest Type selector— Choosing “All” from the Program Interest Type selector means: “Regardless of their relevant Program Interest and Program Interest Type, I’d like to view all the documents at this Site which are relevant to the Program Area I previously selected.”
 - Choosing “All” from the Program Interest Type selector disables the Program Interest selector, and automatically defaults its value to “All.”
- ◆ Program Interest selector— Choosing “All from the Program Interest selector means: “Regardless of the relevant Program Interest, I’d like to view all the documents at this Site which are relevant to the Program Area and Program Interest Type I previously selected.”

Using the Display Activities For Controls

Follow these steps to use the Display Activities For Controls to tell the system which Program Area(s), Program Interest Type(s), and Program Interest(s) you wish to view documents for:

1. Choose a value from the Program Area selector.

The Program Interest Type selector will be enabled, defaulted, or disabled as appropriate (see previous information in this section).

2. Choose a value from the Program Interest Type selector.

The Program Interest selector will be enabled, defaulted, or disabled as appropriate (see previous information in this section).

3. Choose a value from the Program Interest selector.

Filter Activities By Controls

The four Filter Activities By selector fields further constrain the activities which will appear in the Document Directory below.

- ◆ Activity Category— Contains all possible Activity Categories, and the value “All.” See section 0 for a description of the term “Activity Category.” Choosing an Activity Category filters the available Activity Classes in the Activity Class selector to only those appropriate for the Activity Category selected.
- ◆ Activity Class— Contains all possible Activity Classes, and the value “All.” See section 0 for a description of the term “Activity Class.” Choosing an Activity Class filters the available Activity Types in the Activity Type selector to only those appropriate for the Activity Class selected.

- ◆ Activity Type— Contains all possible Activity Types, and the value "All." See section 0 for a description of the term "Activity Type."
- ◆ Activity Status— Contains all possible Activity Statuses, and the value "All." See section 0 for a description of the term "Activity Status."

Selecting the value "All"

The bullets below explain what choosing "All" in each of these selectors tells the system:

- ◆ Activity Category selector— Choosing "All" from the Activity Category selector tells the system: "I'd like to see all documents, regardless of their Activity Category, Class, or Type."
 - Choosing "All" from the Activity Category selector disables the Activity Class and Activity Type selectors, and defaults each to the value "All."
- ◆ Activity Class selector— Choosing "All" from the Activity Class selector tells the system: "I'd like to see all documents in the Activity Category I previously selected, regardless of their Activity Class or Type."
 - Choosing "All" from the Activity Class selector disables the Activity Type selector, and defaults its value to "All."
- ◆ Activity Type selector— Choosing "All" from the Activity Type selector tells the system: "I'd like to see all documents in the Activity Category and Class I previously selected, regardless of their Activity Type."
- ◆ Activity Status selector— Choosing "All" from the Activity Status selector tells the system: "I'd like to see all documents in the Activity Category, Class, and Type I previously selected, regardless of its Activity Status."

Using the Filter Activities By Controls

Follow these steps to use the Filter Activities By Controls to tell the system which activities you wish to view:

1. Choose a value from the Activity Category selector.

The Activity Class selector will be enabled, defaulted, or disabled as appropriate (see previous information in this section).

2. Choose a value from the Activity Class selector.

The Activity Type selector will be enabled, defaulted, or disabled as appropriate (see previous information in this section).

3. Choose a value from the Activity Type selector.
4. Choose a value from the Activity Status selector.

Refresh Button

The Refresh button on the right hand side of the Central File must be clicked in order to retrieve the appropriate documents (based on the current values of the Display Activities For and Filter Activities By controls) into the Document Directory below.

To re-retrieve the Document Directory based on new choices in the Display Activities For and Filter Activities By controls, click the Refresh button.

Document Directory

The Document Directory table in the lower half of the screen lists DEP work activities and their associated data-documents for one or more Program Interests at the selected Site. Double clicking on a listed document will open it for viewing or updating.

The Document Directory is retrieved based on a user's selections in the Display Activities For and Filter Activities By Controls (described above) when the Refresh button is clicked. See section 0 for more information about the Refresh button.

Activity Headings

The Document Directory is organized by activities (with the exception of the "General" documents described later in this section). Each activity has a heading in the Document Directory (the gray bars in the previous Central File picture). This heading may be thought of as the label on a file folder that contains documents pertaining to the activity. The documents "in the folder" are listed under the heading. All folders contain at least an Activity Tracking Screen, (see chapter 3, *NJEMS Utilities*) for more information about the Activity Tracking Screen) and may contain numerous other items that users have created or imported in the course of their work on the activity.

Each activity heading contains at least three elements that make up a unique identifier for the activity within the set of all activities that have been defined for the Program Interest:

- ◆ an Activity Class code, generally corresponding to a DEP program;
- ◆ an Activity ID Number; and

- ◆ an Activity Type label.

Some kinds of water permitting activities also have a "Link ID" following the Activity Type label. Many activities also have two more items in their heading—the Activity Status and its Activity Status Date.

Examples:

- ◆ DSW980001 Major Modification NJ3456789 — Approved 5/23/98
- ◆ WCE990002 Compliance Evaluation Inspection — Conducted 7/18/99
- ◆ AEA980001 Administrative Order — Amended 3/2/99

The following sub-sections describe each of these elements in turn.

Activity Class Codes

An Activity Class is a general work class, usually corresponding to a program area or other organizational sub-division of work. For example:

- ◆ DSW — Discharge to Surface Water (NJPDES)
- ◆ TWA — Treatment Works (Approval or Denial)
- ◆ BOP—Air Operating Permit
- ◆ SCI— Standard Compliance Inspection

While not displayed in the Activity Heading, each Activity Class belongs to a single Activity Category, which is a yet-higher level aggregation of Activity Classes. For example, the Activity Class "Water Permitting," contains multiple Activity Classes, such as:

- ◆ Discharge to Surface Water (DSW)
- ◆ Discharge to Ground Water (DGW)
- ◆ Significant Indirect User (SIU)
- ◆ Residuals (RES)

Activity ID Numbers

Each activity added to the system receives a system-generated identification number. The combination of this identification number and the Activity Class code forms a unique identifier for a given activity, within all activities for the same Program Interest.

Activity ID numbers are six digits long—the last two digits of the calendar year in which the activity was created (but not necessarily completed), followed by a four-digit sequence number. The sequence number is incremented by one for

each new activity of the same Activity Class for an individual PI within the same year. Thus:

- ◆ DSW970001 = The first Discharge to Surface Water permitting activity created for the facility, created in 1997
- ◆ DSW970002 = The second Discharge to Surface Water permitting activity created for the facility, created in 1997
- ◆ DSW980001 = The third Discharge to Surface Water permitting activity created for the facility, but the first created in 1998.

The system-assigned ID number is useful primarily as a means of placing activities in chronological order, within their Activity Class, in the Document Directory. In general (but not always), the higher the sequence number, the more recent the activity.

Activity Types

The Activity Type is a descriptor of the nature of the individual activity:

- ◆ DSW980001 Major Modification NJ3456789 — Effective 5/23/98
- ◆ SCI980001 NJPDES Inspection — Conducted 7/18/99
- ◆ AEA980001 Notice of Violation — Amended 3/2/99

Link IDs

Many activities generated by the Division of Water Quality also will have a number on the right end of their heading. This "Link ID" serves a different purpose for different DWQ Activity Classes.

- ◆ In NJPDES permitting Activity Classes (DSW, DGW, SIU, RES, and PER), the Link ID is the facility's NJPDES Permit Number for the Activity Class (permitting program). This number is included for the convenience of DWQ permitting staff, who customarily use the number as a Program Interest identifier within their permitting program.

DSW980001 Major Modification NJ3456789 — Effective 5/23/98

- ◆ In the TWA (Treatment Works Approval) Activity Class, the Link ID is a number used to link all TWA activities that relate to the same treatment works project.

TWA980001 Stage 2 98-100 — Approved 1/11/98

No Link IDs are currently used for Air activities, and none has yet been identified for Enforcement activities.

Activity Status

The system automatically adds the Activity Status to the activity heading when certain Document Status changes occur for the documents listed beneath the activity heading.

- ◆ DSW980001 Major Modification NJ3456789 — Effective 5/23/98
- ◆ WCE990002 Compliance Evaluation Inspection — Conducted 7/18/99
- ◆ AEA980001 Administrative Order — Amended 3/2/99

Activity Status Date

The system automatically sets the Activity Status Date appropriate for the Activity Type and Document Status of the documents listed beneath the Activity heading.

The “General” Heading

The activity heading “General”, which always appears at the top of the document list (when filtering doesn’t exclude it), is a “folder” for documents that do not pertain to any individual activity. For example, the generic Activity Tracking Screen listed under this heading has a variety of uses, including long-term scheduling of inspection visits and recording of compliance assistance activities involving the facility. Users may create and file general correspondence or spreadsheets under the General heading.

Documents

The system can store documents of four general kinds and provide access to them via the Document Directory:

- ◆ Activity Log—instances of the Activity Tracking Screen.
- ◆ Form—instances of all other screens used to enter data into, or display data from, the system’s database;
- ◆ Word Processing—*Microsoft Word* documents;
- ◆ DOS File—any file readable by the DOS operating system, including spreadsheet, graphic, and word processing files that are created outside of the system’s desktop environment and imported into the Central File.

Most items listed under a gray-bar activity heading are individual documents that may be opened by double-clicking on the line. In some cases, such as the Water Permit Document Set, the line-item represents a collection of screens that are packaged together, and clicking on the line opens a table of contents from which any member of the set may then be opened.

Note that double-clicking on an existing Word Processing Document will automatically launch Microsoft Word.

Note that DOS Files cannot be viewed or edited from within the Central File. When a DOS File is launched, the system saves it from the database to a temporary directory on your hard drive, where it can be launched and edited with the appropriate application. When editing is finished, it may be re-imported into the Central File.

A document's line in the Document Directory has some or all of the following elements:

- ◆ An icon representing the template-type from which the document was created (e.g., a Permitting Document Set, a word processing form-letter, an enforcement document);
- ◆ The name of the document, as provided by the user who created the document, either by accepting the default template name or assigning a custom name;
- ◆ The date on which the document was created;
- ◆ If the document has been locked, a Lock icon; and
- ◆ A Push-Pin icon, indicating whether a "Sticky Note" has been attached to the document. The default is a pin without note. If any user has attached a Sticky Note to the document, the icon appears as a pin with a note under it. The note(s) will automatically appear when the document is opened. Double-clicking on the Push-Pin icon displays the notepad, allowing the user to read and/or add notes without opening the document itself. See section 1.1 for more information about Sticky Notes.

Alias Documents

"Alias" documents are special system-created entries in the Document Directory which "point" to a user-created document at a different Program Interest than the one currently selected. When the user double-clicks or otherwise attempts to launch an alias document, the system follows the alias' pointer to a parent document at a different Program Interest, and launches that document.

Typically, documents are only relevant for the Program Interest they are created at, and consequently appear in the Document Directory only when that Program Interest is selected in the Central File. However, there is one kind of document that may contain information relevant to multiple Program Interests: the Compliance Evaluation Screen.

The Compliance Evaluation Screen is used to create inspection checklists of permit and non-permit requirements, for one or multiple Program Interests at the same Site. When multiple Program Interests are involved in one inspection, the Compliance Evaluation Screen becomes part of the document "history" of each Program Interest, rather than just the one where the screen was created.

However, it is inefficient for the database to replicate the information stored for that Compliance Evaluation Screen across each Program Interest involved. Consequently, the system automatically creates an alias to display in the Document Directory of each Program Interest involved, provided it was not the Program Interest where the document was physically created. For more information about the Compliance Evaluation Screen, see section **Error! Reference source not found..**

Sort Listed Activities Control

The Sort Listed Activities radio buttons control whether the Activities currently listed in the Document Directory appear in Ascending or Descending order by Activity Number. Click on the radio button of your choice to select that option.

Workspace Control

- ◆ When the All Documents radio button is selected, the Document Directory displays all documents, regardless of whether they are checked out to the current user or to a different user.
- ◆ When the Personal radio button is selected, the Document Directory displays only those documents that have been checked out to the current user.

Click on the radio button of your choice to select it.

See section 0 below for more information about checking documents in and out of the Central File.

Create New Document Button

In addition to organizing access to existing documents, the Central File Screen provides the capability for system users to create new activities or to create new documents for existing activities. The mechanism for accomplishing this is the Create New Document Window (pictured below) which appears when the user clicks on the Create New Document button on the bottom of the Central File Screen.

The Create New Document button is always enabled. If no activity heading or document row is selected when the user clicks the button, the system assumes they wish to create a new document under a new activity heading, and does not default any selectors in the Create New Document Window. If an existing activity heading or document row is selected, the system assumes they wish to associate the new Document with an existing activity heading, and defaults appropriate selectors accordingly in the Create New Document Window. Note that all users, regardless of security privileges, may click the Create New Document button to launch the Create New Document Window. However, when the user clicks the OK button on the Create New Document Window, the system checks to determine whether they currently have Update or greater privileges for the Document Type they have selected to create. If not, the system presents a message indicating that they do not have sufficient privileges to create the Document Type selected.

To create a New Document, perform the following steps:

1. Click on the Create New Document Button at the bottom of the Central File.

The Create New Document Window appears.

2. In the Activity Category selector, choose the Activity Category applicable for the document you wish to create.

See section 0 above for a definition of the term "Activity Category."

3. In the Activity Class selector, choose the Activity Class applicable for the document you wish to create.

See section 0 above for a definition of the term "Activity Class."

4. **In the Activity ID selector, choose the two digit year and the sequential number of the Activity.**

If creating a new document within a new activity heading, select the value which includes "(NEW)" appended to the end of the number.

5. **In the Activity Type selector, choose the Activity Type applicable for the document you wish to create.**

See section 0 above for a definition of the term "Activity Type."

6. **In the Document Type selector, choose one of the four basic document template types:**

Form
Word Processing
DOS File
Activity Log

7. **In the Template field below, click on the appropriate Document Template.**

A Template is a master version of the document from which a copy is made each time a specific document instance is created in the Central File. Note that the term "Template" encompasses the system's data entry screens as well as the more-familiar word processing templates.

If no templates are available based on your selections, the text "No Templates Available" will appear. Once a Template has been selected, the Title field below may become enabled.

8. **If the Title field is enabled, you may change the Title of the document you are about to create by typing in a new value in this field.**

This Title will appear in the Central File next to the new document. For some kinds of templates, the Title field is intentionally disabled, so that the document cannot be re-titled.

9. **Click the OK button.**

The Create New Document Window will close, and the new document will be created in the Central File. Note that newly created documents are automatically checked out to the current user. See section 0 for more information about checking documents in and out of the Central File.

Check In/Check Out

While users with appropriate security privileges are always free to view documents in read-only mode, users must first "check out" a document if they intend to make modifications to the document. Checked out documents do not actually leave the Central File, but their status changes so that they may only be modified by the person who checked them out. Checked out documents are automatically launched in read-only mode when opened by a different user. Documents remain checked out until that person checks them back in. However, system administrators have the ability to check a document back in at any time, regardless of who has it checked out.

To check a document out, perform the following steps:

1. **Click once on the document in the Central File you want to check out.**
2. **Click on the Check Out button at the bottom of the Central File Screen.**

Note that when you check out a document, the system displays the text "Checked out To:" with your User ID following the colon.

To check a document in, perform the following steps:

1. **Click once on the document in the Central File you want to check in.**
2. **Click on the Check In button at the bottom of the Central File Screen.**

Note that when you check in a document, the system removes the check out User ID previously recorded.

Lock Button

When a checked-in document has been selected in the Document Directory (by clicking on it one time with the mouse), users with appropriate security privileges may use the Lock button at the bottom of the Central File to "lock" that document against any further editing. This typically takes place when a document has finished all the stages of review, and is ready to be considered as the "legal record." For some kinds of documents, locking is a preparatory step to making a document effective. When a document becomes effective, it means that NJEMS begins holding the regulatee responsible for the requirements the document contains.

To lock a document, users with appropriate privileges should perform the following steps:

1. **Highlight the document of interest in the Document Directory by clicking on it once with the mouse.**

Make sure the document is not currently checked out to any user.

2. **Click the Lock button at the bottom of the Central File.**
3. **When NJEMS issues a warning message, click the OK button to continue with the locking process.**

Once the document is locked, a small lock icon will appear on the document's entry in the Document Directory.

Open Document Button

This button provides an alternate method (other than double-clicking) to open a document selected in the Central File. If this button is clicked when a document has been selected in the Central File, it will be launched.

Read Only Checkbox

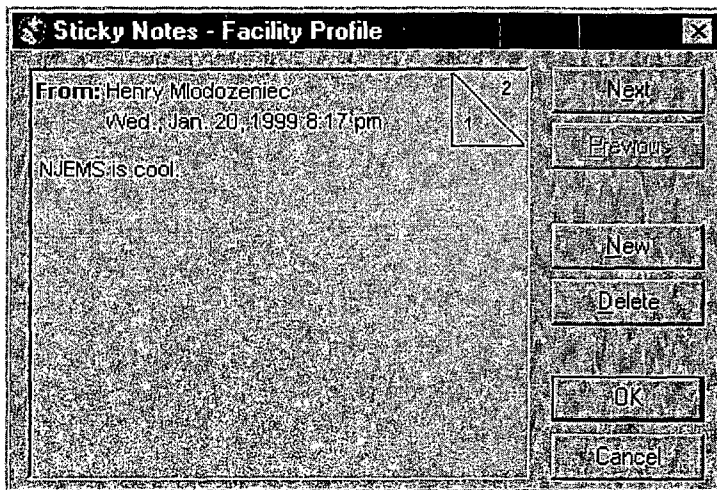
When the Read-Only checkbox is checked, all documents the user opens (to which they have at least read-only security privileges) will be automatically opened in read-only mode, where no modifications to the document are possible. When this checkbox is checked, the Pencil Icon in the Status Line will appear with a red "X" through it, as a visual indication of Read-Only status.

1.1 Sticky Notes

The Sticky Notes Window allows users to attach electronic messages to any document listed in the Central File document directory. Once at least one sticky note has been created for a particular document, the system automatically launches the Sticky Notes Window each time that document is opened, so that anyone viewing the document has an opportunity to view the notes first. Once it has been automatically launched, users may keep the Sticky Notes Window open while they work with the document, or close it if they desire.

Central File Display

When a document has at least one sticky note attached, the system



displays a picture of a yellow note beneath a pushpin, just to the right of the document creation date listed in the Central File. A picture of a pushpin with no notes beneath indicates a document with no sticky notes attached.

Launching the
Sticky Notes
Window

There are three ways to launch the Sticky Notes Window for a Central File Document:

- ◆ Select that document row in the Central File, and then select the Sticky Notes menu entry from the Tools menu of the Desktop.
- ◆ Launch a document from the Central File, and then select the Sticky Notes menu entry from the Tools menu of the Desktop.
- ◆ For a document with at least one note attached, double-click on the yellow note and pushpin picture for that document.

Viewing Sticky
Notes

Since multiple sticky notes from different users may be attached to the same document, when the Window opens, the system displays the first (and oldest) note in the "stack." At the top of each "page" of notes appears the first and last name of the user who added the note, as well as the date and time when it was added. The text of the note appears just beneath this "author"

information. In the upper right hand corner of the note appears information about what page of the "stack" is being viewed, in standard "X of Y" format (where X is the current page number, and Y is the total number of pages).

There are two ways to navigate between notes in the "stack."

- ◆ Use the "Next" and "Previous" buttons on the right side of the Sticky Notes Window.
- ◆ Click on the appropriate part of the "X of Y" page number in the upper right hand corner of the note. Clicking on the "Y" portion of the page number navigates to the next note in the stack, and clicking on the "X" portion navigates to the previous.

*ling New Sticky
es*

Users may add new sticky notes to the stack by clicking the "New" button on the right hand side of the Window. New notes are automatically stamped with the first and last name of their creator (the current user), and the date and time the note was created.

*ing & Deleting
ky Notes*

Individual note pages may be edited or deleted only by the person that created them (the author). Users may delete notes they authored by clicking the Delete button on the right side of the Sticky Notes Window.

*ument
chment Only*

Note that sticky notes are attached to an entire Central File Document—they cannot be "attached" to a subpart of that document (i.e., a field, control, page, or tab).

August 29, 2007 OAS/CRCPD/NRC Teleconference

1. State Update on the Implementation of Fingerprinting Orders - Paul Schmidt and Janet Schlueter/FSME

- Fingerprinting Working Group briefed Commission in July that there would be a delay in the September deadline
- The working group along with staff created a Commission paper with several questions for the Commission.
 - i. NRC is currently waiting for edits on Staff Paper for Commission from NRC's General Counsel.
- Additionally, the NRC sent memo to Commission stating that NRC would not meet the Sept. Fingerprinting deadline.
- Q/A - NRC - Licensees can be informed that NRC is working on Fingerprinting requirements. NRC requests that Agreement States that have not already responded to Office of General Counsel's request, please respond to this request as soon as possible.

2. Upcoming Amendments to Part 35 - Neelam Bhalla/FSME

- Working group will be formed in Sept. 2007
 - Agreement State member will be requested.
- Goals - Draft Rule Late 2008 - Final Rule 2009
- Primary change - medical events to be changed from dose based to activity based.

3. Status of Decommissioning Sites in Agreement States - Richard Change/FSME, Lydia Chang/FSME

- NRC has received responses from all Agreement States - Thank You from NRC.

4. Update on GAO Response Action Plan - John Kinnerman/FSME, John Hickey/FSME

- Senate held a hearing on July 12, 2007
 - i. Commission and GAO presented
 - ii. Senate and GAO published reports with recommendations. Action plan developed from these recommendations.
- Sept. 4, 2007 - Public Commission briefing scheduled with NRC Staff on NRC's Action Plan to GAO sting.
- NRC Letter dated August 29, 2007 includes the Action Plan
- Aug. 29, 2007 letter will be made publicly available.

- Action Plan has been sent to the Commission for approval.
- Action Plan
 - i. An external review panel of three experts to review NRC's licensing process.
 - ii. A new working group - FSME and Agreement State Co-chaired.
 - iii. Add rule making to add Category 3.5 sources to the National Source Tracking System.
 - iv. Work on the development of web based Licensing
 - v. General License Devices
 - 1. Create a Working Group to look at both short term goals and long term goals for general licenses.
 - 2. Implement additional requirements to NRC's current GL rulemaking.
- NRC plans on presenting the Action Plan more in depth at the OAS meeting

Barbara Hamrick question - DNDO pushing web based licensing. Was DNDO's desire for web based licensing included in the Action Plan? NRC's Response - Did not put DNDO's request in Action Plan.

5. Update on Gemstone Issue - Duncan White/ FSME

- NRC is performing a health assessment to determine if additional regulations are needed for distribution of radio-gemstones
- NRC will ask Agreement States for additional information.

6. OAS/CRCPD Commission Briefing - Paul Schmidt/WI, Debbie Gilley/FL Janet Schlueter/FSME

- Paul Schmidt summarized the issues addressed at the OAS/CRCPD Commission Briefing.
- NRC/States input on the OAS/CRCPD Commission Briefing
 - NRC pleased with how the Commission briefing went
 - i. Senior Management and Commissioners pleased with briefing
 - NRC will give an update on rule petitions at OAS meeting
 - i. NRC should publish NARM rule next week in Federal Register.

7. Update on OAS Annual Meeting - Paul Schmidt/WI

- OAS website has updated information on the meeting.
- Please send in meeting registration forms for the meeting as soon as possible.
- Two Commissioners plan to attend the meeting.
- GAO plans on sending several individuals. Other federal agencies plan on attending too.
- There will be several, facilitated discussions on specific topics, to provide opportunity for more detailed discussion and information sharing.

Next OAS/CRCPD/NRC Teleconference call will be October 17, 2007.

NJDEP Site Masterfile

*Department of Environmental Protection
December 2002*

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1 Introduction

The Site Masterfile is an information system which consists of a central shared database containing DEP's master copy of descriptive data about Sites, properties and other locations of interest to one or more program areas, and the key organizations and individuals related to these sites (e.g. property owners, responsible entities, and contacts).

2 Site Masterfile Entities

The Site Masterfile has three major, interrelated entities: Sites, Program Interests, and Organizations.

What is a Site?

A *Physical Site* is a single, contiguous property that has a potential or observed impact on public health and/or the environment which necessitates regulation by the department. Usually, a *Site* is the location of a facility, operation or resource that is regulated by, monitored by, or otherwise of interest to DEP.

A *Non-Physical Site* is a *Site* that is of interest to DEP, but does not have a physical location. For example, possibly a pesticide applicator.

A *Site* may have contacts, property owners and related sites. A *Site* must have at least one *Program Interest*.

What is a Program Interest?

A *Program Interest* (PI) is a logical grouping of resources, activities or operations located at a DEP-designated *Site*, which is of interest to one or more program areas, often before the activity is permitted.

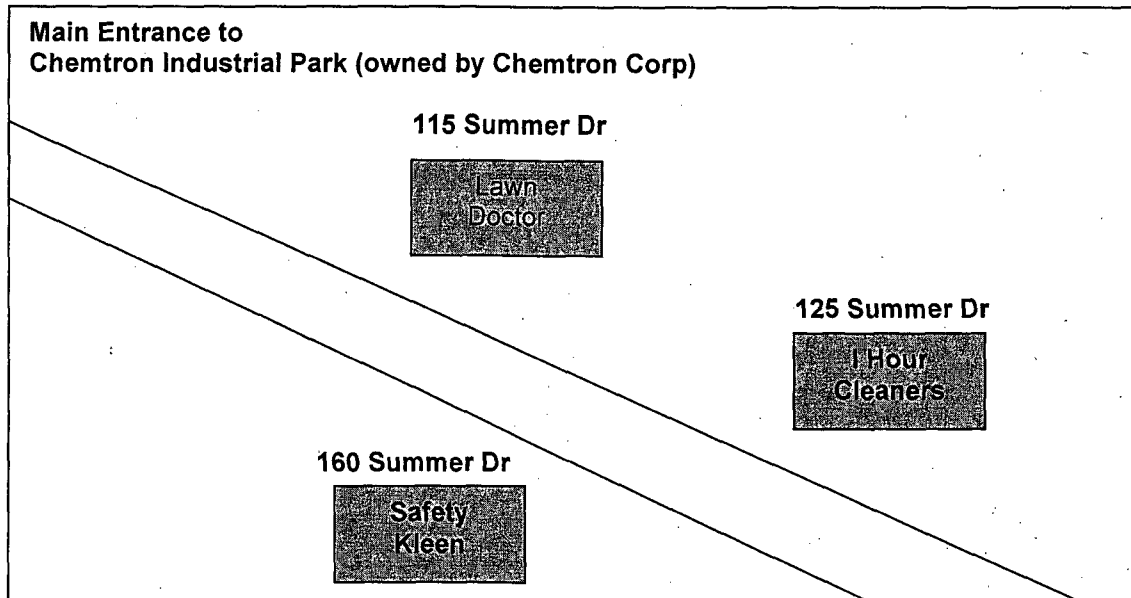
It is possible for one or more program areas to have one or more *Program Interests* located at the same *Site*. For example, a major waste disposal center. Three different program areas (Air, Water and Solid Waste) could have *Program Interests* at the same *Site*.

In addition, a *Program Interest* can exist and be linked to many *Sites*. For example, a single licensed pesticide applicator, with a single license number may operate as a *Program Interest* at many regulated DEP *Sites*.

What is an Organization?

An *Organization* is a person, company, utility, association, a federal, state, or local agency or any other *Organization* of interest to DEP. They can be property owners for a *Site*, responsible entities for a *Program Interest*, and also be designated as Non-DEP contacts.

Below is an example of the three major entities of Site Masterfile:



Site = Lawn Doctor @ Chemtron Ind Pk
115 Summer Dr
Anytown, NJ 08629

Program Interest = Lawn Doctor
115 Summer Dr
Anytown, NJ 08629

Organization = Chemtron Corp - (Property Owner and/or Resp. Entity)
35 Commerce Dr
New York, NY 10091

3 Custodianship

The custodianship rule is designed to prevent one user of shared data from making changes to that data without the other user's agreement. Data is shared when there is more than one *Program Interest* for the *Site*.

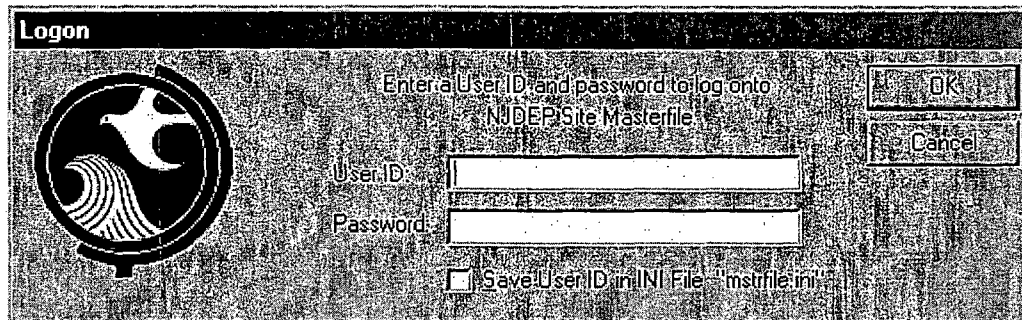
Sites and *Organizations* are the entities subject to the custodianship rules. Once a *Site* record is verified for correctness and QA'd from the Data Administrator on the Administration Screen, program area users are no longer able to modify the *Site* record. *Organization* records cannot be modified once the record is saved to the database. Therefore, any modifications that need to be made to either the *Site* or the *Organization* record must be submitted through Masterfile's Change Request process (found either on the *Site* or the *Organization* screen – Section 10 – Site/Organization Change Requests).

4 Logging On

Launch the Site Masterfile by double-clicking on the Site Masterfile icon on your desktop, or by clicking on the Site Masterfile icon on the Toolbar within NJEMS Central File. The *Logon Window* will display. Enter your User ID and Password, then click the "OK" Button.

Note: The first time you log on, your password will be the same as your User ID (example: jsmith, jsmith). After logging on, the system will prompt you to change your password.

The Logon Window



5 Searching for a Site

In order to prevent duplication of records within Site Masterfile, the system forces the user to search the database three times before any new *Site* records can be added.

The first step in this process is opening the *Site Selection Window*. This window can be opened by clicking on the *Sites* picture button on the *Site Masterfile Navigation Screen*.

The Site Selection Window

Site Selection Window

Current or Former Site or PI Name

Site or PI Address

Property Owner or Resp. Entity

Site ID PI ID or Alt PI ID

Block Lot

Site or PI ZIP Code

Site or PI County

Site or PI Municipality

Clear All Search Criteria

Please enter search criteria above and then click the Find button.

Find Add Delete Modify Cancel

Entering Search Criteria

The *Site Selection Window* contains a number of fields where you can enter the criteria for the *Site* you are searching for. You can enter criteria in as many fields as necessary. There are two system checks placed on the search criteria. First, you may not search using the same criteria twice in a row. Second, there is a table in the database where the system administrators will set a threshold value of how many records can be returned at one time. If the criteria you entered would return a number that exceeds the value, you will be prompted to adjust your criteria.

The results of the search depend on two variables: the combination and number of search fields that you enter and the number of characters that you enter into the search fields. If you enter a value in only one field, you will get all the results that match that field value. However, if you enter a value in more than one field, you will get the results that match both fields. For example, if you search using the Site name "Exxon", you may get the following results:

Site Name	Street Address	Municipality
Exxon Corp USA	1234 Main St	Trenton
Exxon Corp	410 State St	Trenton
Exxon Service Station	Rt 1	Princeton Junction
Dupont Exxon Ventures	4219 4 th St	New Brunswick

If you searched with the values Site Name: Exxon and Municipality: Princeton Junction, it would only return one of the above records (the third record in the table above). The more criteria entered in the fields, the more specific your search requirements become.

The number of characters that you enter in search fields also affect the results of the search. For example, if you enter "Washington" in the Site or PI Address field, the system could return the entries of "Washington St", "Washington Ave", "Washington Rd" and any other variation of "Washington...."

Note: If you need to search for any entries that have numbers or characters preceding "Washington", you must enter the % sign before your search criteria (example: %Washington). This method of searching exists for Current or Former Site or PI Name, Site or PI Address, Property Owner or Resp. Entity, and Block and Lot. The search fields that do not require the % sign are zip code, county, municipality or Site, PI and Alt ID fields.

Executing a Site Search

After entering the search criteria, execute the search by clicking on the "Find" Button. The *Search Results Data Window* displays all of the *Site* records as well as the associated *Program Interests* that match the criteria you specified in the search fields, listed alphabetically by *Site* name.

If you need to clear entered search criteria, click on the "Clear All Search Criteria" Button.

If you need to close the *Site Selection Window*, click on the "Cancel" Button.

View an Existing Site Record

After executing a search, you may open a record by selecting the row (click on the row with your mouse) and then on the "View" Button or just by double-clicking on the row. The *Site Description Screen* opens with the *Site Info Tab* displayed. There is also a *Program Interest Info Tab* which enables you to view any associated *Program Interest* records.

To close the record and return to the *Site Selection Window*, click on "File, Close" on the Menu Bar or click on the "X" in the upper right hand corner of the window.

6 Add a New Site/PI/Organization Record

Prior to adding a new *Site/PI* record, you must first search to determine whether or not the record exists. See Section 5 – Searching for a Site for more details.

Note: Depending on the search criteria that is entered, records may be returned. If, after three searches the returned records do not match the Site/PI you need to add, the "Add" Button will become active.

1. **Add a New Site Record** - Click on the "Add" Button. A blank *Site Info Tab* will display.

2. Enter all appropriate data for the site record. Some fields on the *Site Info Tab* are required. If data is not entered in any required fields, the system will prompt you to do so upon saving the record.
3. **Add a New Property Owner** - To add a new Property Owner, double-click on the gray property owner field on the *Site Info Tab*.

The *Organization Selection Window* displays. You must perform three searches before adding a new *Organization* record. The same search procedures are present on this window as with the *Site Selection Window*.

If, after entering search criteria, the *Organization* record exists, you can double-click on the row. It will automatically insert the *Organization* name in the property owner field on the *Site Info Tab*.

If, after three searches, you do not find the *Organization* record, the "Add" Button becomes active.

4. Click on the "Add" Button. A blank *Organization Description Screen* displays.

5. Enter all appropriate data for the organization record. Some fields on the *Organization Description Screen* are required. If data is not entered in any required fields, the system will prompt you to do so upon closing the record.
6. Click on the "X" in the upper right corner of the screen. You will be prompted to save the record. Click on the "Yes" Button. The *Site Info Tab* will display with the *Organization* name automatically inserted in the property owner field. Enter a start date for the property owner.
7. **Add a DEP Site Contact** - To add a DEP Site Contact, click on the "DEP Site Contacts" Button. The *Department-wide Site Contacts Window* displays. Click on the "Add" Button. Select the appropriate data from the drop-down lists. Click on the "OK" Button to return to the *Site Info Tab*.

8. **Add a Block and Lot** - To add a Block and Lot, click on the "Block & Lot" Button. The *Site Block & Lot Screen* will display. Enter the appropriate blocks and lots. When adding more than one block and lot, click on the "Add" Button to insert additional rows. Click on the "Add Range" Button to automatically add a range of lots for a particular block.

Block	Lot	County	Municipality	End Date
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Buttons: Add, Delete, Add Range, OK, Cancel

Each individual block and lot should be entered on a separate row. Do not add multiple blocks and lots in the same field.

Note: If the Multi-County and/or Multi-Municipality checkboxes are checked on the *Site Info Tab*, you will be able to select different counties and municipalities for the blocks and lots.

9. **Add a Site-Site Cross Reference** - The Site-Site Cross Reference Window is used to enter and display data relating two Sites. For example, if you designated that *Site X* receives waste from *Site Y*, the system creates a record stipulating that *Site Y* sends waste to *Site X*. Click on the "Site-Site X-Ref" Button. The *Site-Site Cross-Reference Window* displays.

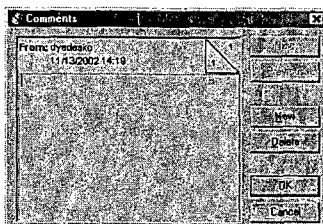
Site Name	Relationship Type	Start Date	End Date	Comments
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This Site is not currently cross-referenced to any other Site Masterfile Sites. Please click the Add button if you wish to create a Site to Site relationship.

Buttons: Add, Delete, Add Range, OK, Cancel

Click on the "Add" Button. A new row is inserted. Double-click in the gray Site Name field. Enter search criteria to search for the site you need to cross reference (the search process is the same as searching for a Site or Organization record). When the *Site* is found, double-click on the row to select it. Select the relationship type from the drop-down list and enter a start date and any appropriate comments. Click on the "OK" Button to return to the *Site Info Tab*.

10. **Add Site Comments** - If adding Site comments, click on the "Comments" Button. The *Comments Window* will display.

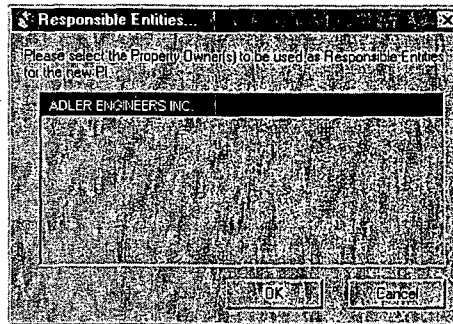


Enter your comments. Click on the "OK" Button to return to the *Site Info Tab*.

11. **Add a New Program Interest** – There are two ways to add a new *Program Interest*. One way is to add a new *Program Interest* that has never been entered in Site Masterfile. The second way is to link a *Program Interest* record that already exists to the *Site* record (see Section 7 –Link an Existing Program Interest to a Site for instructions).

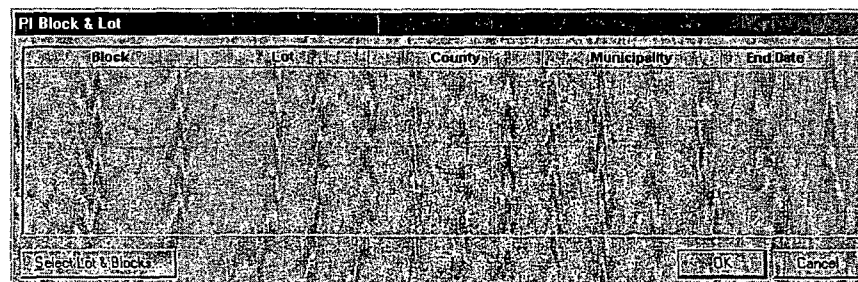
To add a new *Program Interest* – Click on the "Copy Forward" Button on the *Site Info Tab*. This will copy any data entered on the *Site Info Tab* to the *Program Interest Info Tab*.

If a Property owner was entered on the *Site Info Tab*, a window will display allowing you to select the property owner to be automatically entered as the Responsible Entity on the *Program Interest Info Tab*.



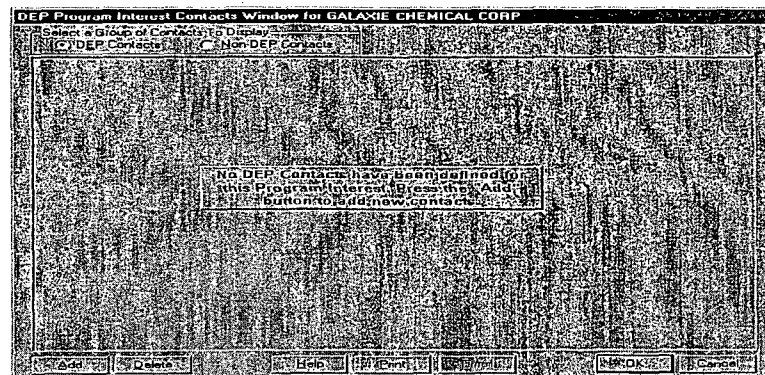
Click on the property owner name, and then on the "OK" Button. If you do not wish to select the property owner as the responsible entity, click row to de-select it, and then on the "OK" Button.

If Blocks and Lots were entered on the *Site Info Tab*, a window will display allowing you to select the blocks and lots for the *Program Interest*.



Click on the "Select Lots & Blocks" Button. Add either specific blocks and lots or add all of them and then click on the "OK" Button.

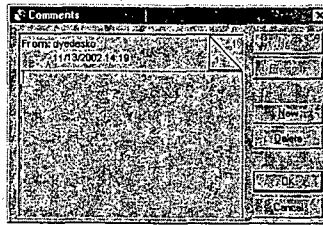
12. Enter all appropriate (remaining) data or select from the drop-down lists on the *Program Interest Info Tab*.
13. **Add a DEP Program Interest Contact** – DEP as well as Non-DEP Program Interest contacts can be entered. You can add one or many contacts for each *Program Interest* record. Click on the "Contacts" Button. The *DEP Program Interests Contact Window* displays.



DEP Contact – Since the DEP Contacts radio button is already selected, click on the “Add” Button. Select the contact type and name from the drop-down list.

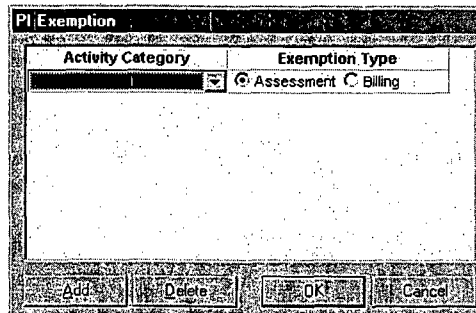
Non-DEP Contact – Click on the Non-DEP Contacts radio button to select it. Click on the “Add” Button. Enter the contact data. If you need to associate an *Organization* with this contact, double-click in the gray field of Contact Org. The *Organization Selection Window* displays. Follow the procedures to add a Property Owner or Responsible Entity above. Click on the “OK” Button to return to the *Program Interest Info Tab*.

14. **Add PI Comments** - If adding PI comments, click on the “Comments” Button. The *Comments Window* will display.



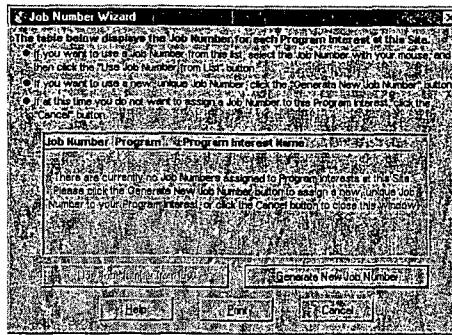
Enter your comments. Click on the “OK” Button to return to the *Program Interest Info Tab*.

15. **PI Exemptions** – If a *Program Interest* record should be exempt from being either assessed or billed, perform the following. Click on the “Exemptions” Button. The *PI Exemption Window* displays.



Select the Activity Category from the drop-down list. If you do not want an assessment to be created for the *Program Interest*, make sure the Assessment radio button is selected. If an assessment can be created, but you do not want a bill record to be created, click on the Billing radio button. Click on the “OK” Button. The *Program Interest Info Tab* displays.

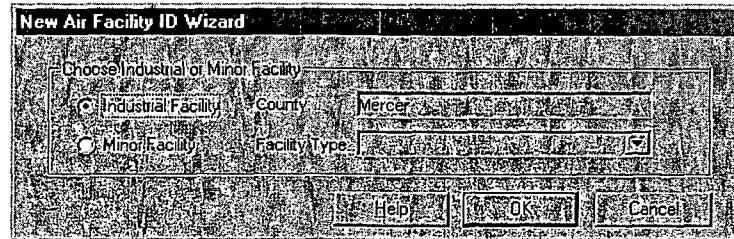
16. **Job Numbers** – If a job number needs to be generated for the *Program Interest* record, click on the “Add Job Num.” Button on the *Program Interest Info Tab*. The *Job Number Wizard Window* displays.



Click on the "Generate New Job Number" Button. A job number is automatically generated and inserted into the Job Number field.

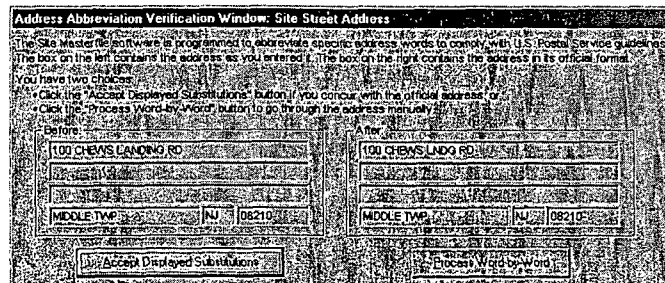
17. **Save the Record** – To save the record, click on "File, Save" from the Menu Bar or on the "Save" icon on the Toolbar.

18. If adding a new Air Program Interest the New Air Facility ID Wizard Window displays.

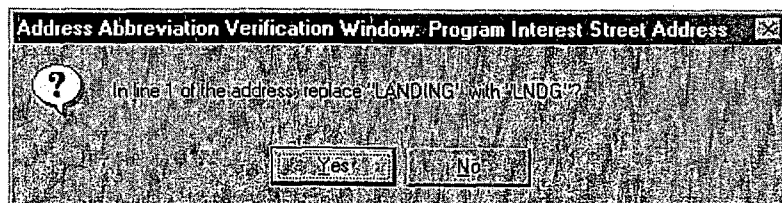


If creating an Industrial Facility, click on the "OK" Button. If creating a Minor Facility, click in the Minor Facility Radio Button, and then select the Facility Type from the drop-down list. Click on the "OK" Button.

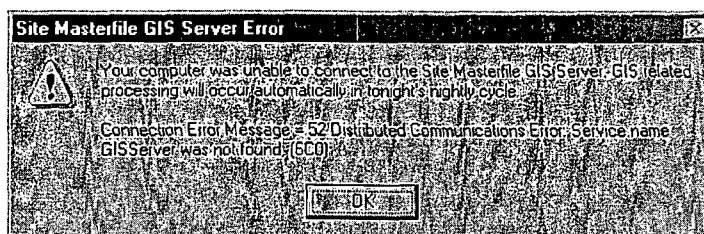
Address Abbreviation - If your User Preferences are not set to perform an address abbreviation automatically, and the system determines words should be abbreviated, the *Address Abbreviation Verification Window* displays.



It displays the user-entered address, as well as how the address will be abbreviated after the record is saved. If you accept the abbreviation, click on the "Accept Displayed Substitutions" Button. If you do not accept the abbreviation, click on the "Process Word-by-Word" Button. The *Address Abbreviation Verification Window* displays.

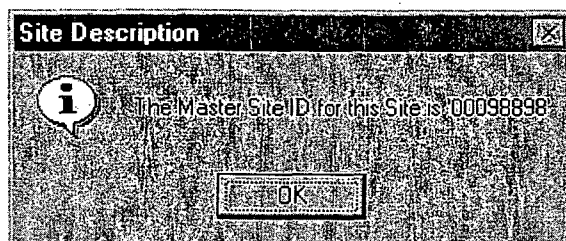


This window will display for each word in the street address that the system is trying to abbreviate. If you do not wish to replace the word, click on the "No" Button. If you wish to replace the word as it is abbreviated, click on the "Yes" Button



Since Site Masterfile is attached to the GIS System, but this functionality is not yet active, this window displays. Click on the "OK" Button

Whenever a new *Site/PI* is added to Site Masterfile, it is assigned a Master Site ID. This window is displaying the sequential number assigned to this *Site/PI* record. Click on the "OK" Button.



19. **Close the Record** – To close the record, click on "File, Close" from the Menu Bar or on the "X" in the upper right hand corner of the screen. The *Site Selection Window* will display with the new *Site/PI* record in the data results window. You can click on the "Cancel" Button to return to the *Site Masterfile Navigation Screen*.

7 Link an Existing Program Interest to a Site

If the *Site* does not currently existing, follow instructions in Section 6 – Add a New Site/PI/Organization, Steps 1-10.

After searching, if the *Site* does exist, click on the row to select it, and then on the "Modify" Button, or double-click on the row. The *Site Info Tab* displays.

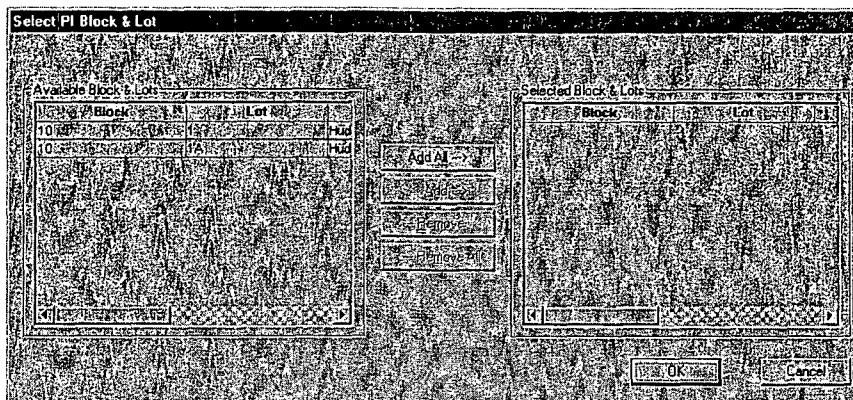
1. Click on the *Program Interest Info Tab*. The *Program Interest Selection Window* displays.

2. Click on the "Add" Button on the *Program Interest Info Tab*.
3. Enter your search criteria and click on the "Find" Button. Once the *Program Interest* is found, click on the row to select it, and then on the "Add PI to Current Site" Button. (This procedure is also used when linking a *Program Interest* to more than one *Site* record.
4. If additional data needs to be entered, you can enter it now or select from the drop-down lists. To add a **Responsible Entity**, please follow procedures to add a Property Owner above:

Note: If after searching, the *Organization* record does not exist, you can then click on the "Create Org from PI Data" Button (this should be used when the *Organization* data is the same as the *Program Interest*). This will automatically copy data from the *Program Interest Info Tab*, or click on the "Add" Button to enter the *Organization* data manually.

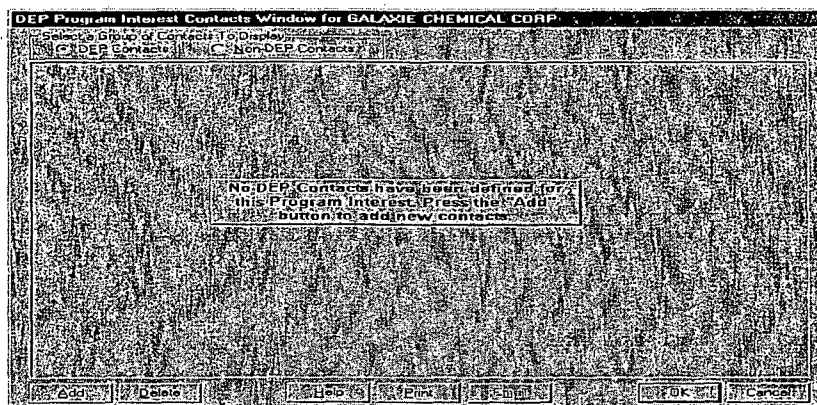
5. If you created a new *Organization* record, click on the "X" in the upper right corner of the screen. You will be prompted to save the record. Click on the "Yes" Button. The *Program Interest Info Tab* will display with the *Organization* name automatically inserted in the responsible entity field. Enter a start date for the property owner.

6. **Add a Block and Lot** – Blocks and lots must be entered on the *Site* record before they can be selected on the *Program Interest*. Click on the “Block & Lot” Button. Click on the “Select Lot & Blocks” Button. The *Select PI Block & Lot Window* displays.



To select specific blocks and lots, click on the row in Available Blocks & Lots to select it, and then on the "Add" Button. To select all of the blocks and lots, click on the "Add All" Button. Click on the "OK" Button. The *PI Block & Lot Window* displays. Click on the "OK" Button to return to the *Program Interest Info Tab*.

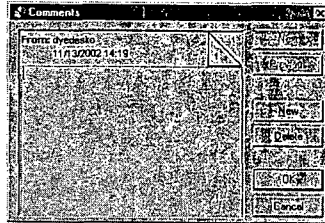
- Add a DEP Program Interest Contact** – DEP as well as Non-DEP Program Interest contacts can be entered. You can add one or many contacts for each *Program Interest* record. Click on the "Contacts" Button. The *DEP Program Interests Contact Window* displays.



DEP Contact – Since the DEP Contacts radio button is already selected, click on the “Add” Button. Select the contact type and name from the drop-down list.

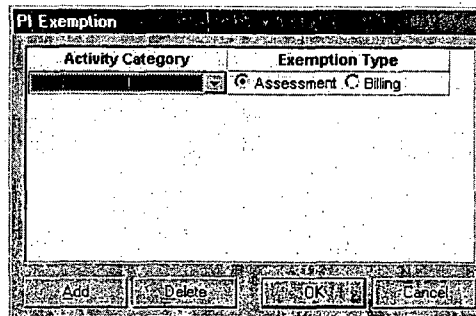
Non-DEP Contact – Click on the Non-DEP Contacts radio button to select it. Click on the “Add” Button. Enter the contact data. If you need to associate an *Organization* with this contact, double-click in the gray field of Contact Org. The *Organization Selection Window* displays. Follow the procedures to add a Property Owner or Responsible Entity above. Click on the “OK” Button to return to the *Program Interest Info Tab*.

8. **Add PI Comments** - If adding PI comments, click on the “Comments” Button. The *Comments Window* will display.



Enter your comments. Click on the “OK” Button to return to the *Program Interest Info Tab*.

9. **PI Exemptions** – If a *Program Interest* record should be exempt from being either assessed or billed, perform the following. Click on the “Exemptions” Button. The *PI Exemption Window* displays.

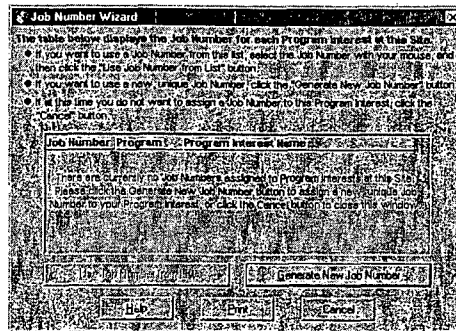


Select the Activity Category from the drop-down list. If you do not want an assessment to be created for the *Program Interest*, make sure the Assessment radio button is selected. If an assessment can be created, but you do not want a bill record to be created, click on the Billing radio button. Click on the “OK” Button. The *Program Interest Info Tab* displays.

10. **Job Numbers** – If a job number needs to be generated for the *Program Interest* record, click on the “Add Job Num.” Button on the *Program Interest Info Tab*. The *Job Number Wizard Window* displays.

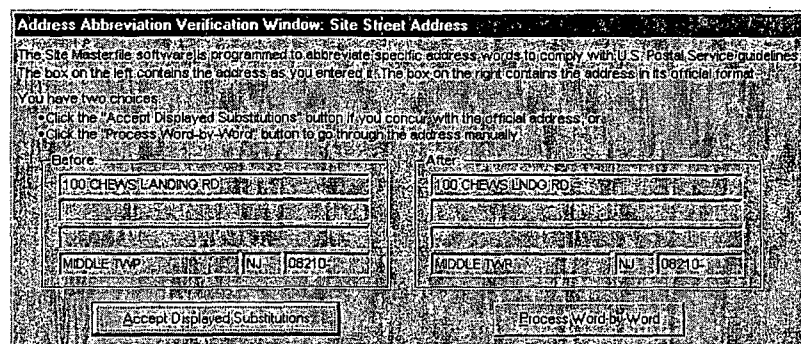
If creating a new job number, click on the “Generate New Job Number” Button. A job number is automatically generated and inserted into the Job Number field. If a job number has already been generated on an existing *Program Interest* record, and you want to select one from the list, click on

the job number to select it and then on the "Use Job Number From List" Button. The job number will automatically be inserted into the Job Number field.

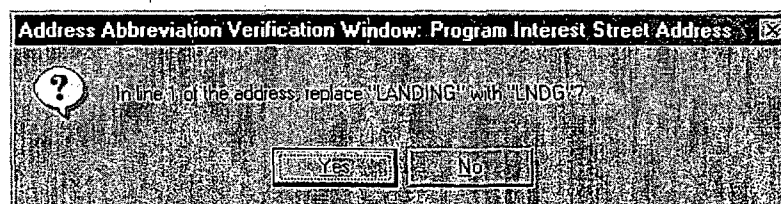


11. **Save the Record** – To save the record, click on "File, Save" from the Menu Bar or on the "Save" icon on the Toolbar.

Address Abbreviation - If your User Preferences are not set to perform an address abbreviation automatically, and the system determines words should be abbreviated, the *Address Abbreviation Verification Window* displays.



It displays the user-entered address, as well as how the address will be abbreviated after the record is saved. If you accept the abbreviation, click on the "Accept Displayed Substitutions" Button. If you do not accept the abbreviation, click on the "Process Word-by-Word" Button. The *Address Abbreviation Verification Window* displays.



This window will display for each word in the street address that the system is trying to abbreviate. If you do not wish to replace the word, click on the "No" Button. If you wish to replace the word as it is abbreviated, click on the "Yes" Button

12. **Close the Record** – To close the record, click on "File, Close" from the Menu Bar or on "X" in the upper right hand corner of the screen. The *Site Selection Window* will display with the new *Site/PI* record in the data results window. You can click on the "Cancel" Button to return to the *Site Masterfile Navigation Screen*.

8 Add a New Program Interest Record to an Existing Site

The first step in this process is opening the *Site Selection Window*. This window can be opened by clicking on the *Sites* picture button on the *Site Masterfile Navigation Screen*.

1. Enter your search criteria, and click on the "Find" Button. When the record displays, click on the row to select it, and then on the "Modify" Button, or double-click on the row. The *Site Info Tab* displays.
2. Click on the "Copy Forward" Button on the *Site Info Tab*. This will copy any data entered on the *Site Info Tab* to the *Program Interest Info Tab*.

If a Property owner was entered on the *Site Info Tab*, a window will display allowing you to select the property owner to be automatically entered as the Responsible Entity on the *Program Interest Info Tab*. Click on the property owner name, and then on the "OK" Button. If you do not wish to select the property owner as the responsible entity, click on the "Cancel" Button.

If Blocks and Lots were entered on the *Site Info Tab*, a window will display allowing you to select the blocks and lots for the *Program Interest*. Add either specific blocks and lots or add all of them and then click on the "OK" Button.

3. Add necessary data. If adding a Responsible Entity, Comments, Exemptions, DEP and Non-DEP PI Contacts, refer to Section 6 – Add a New Site/PI/Organization.
4. **Note:** If a job number has already been generated on an existing *Program Interest* record, and you need to generate one for your *Program Interest*, click on the "Add Job Number" Button. Any existing job numbers will be displayed, you can either click on the job number to select it, and then on the "Use Job Number from List" Button, or

generate a new job number by clicking on the "Generate New Job Number" Button.

5. To save the record, click on "File, Save" from the Menu Bar or on the "Save" icon on the Toolbar.
6. If adding an *Air Program Interest*, follow procedure #18 in Section 6 – Add a New Site/PI/Organization record.
7. **Close the Record** - To close the record, click on "File, Close" from the Menu Bar or on "X" in the upper right hand corner of the screen. The *Site Selection Window* will display with the new *Site/PI* record in the data results window. You can click on the "Cancel" Button to return to the *Site Masterfile Navigation Screen*.

9 Modify an Existing Site/PI/Organization Record

The first step in this process is opening the *Site Selection Window*. This window can be opened by clicking on the *Sites* picture button on the *Site Masterfile Navigation Screen*.

1. Enter your search criteria, and click on the "Find" Button. When the record displays, click on the row to select it, and then on the "Modify" Button, or double-click on the row. The *Site Info Tab* displays.
2. **Modify Site Data** - If the *Site* record has not yet been verified and QA'd by the Data Administration staff, you will have the ability to edit the *Site* record. If it has already been QA'd, the *Site Info Tab* will be grayed-out and a Change Request will need to be submitted.

Insert a New Site Name – (this can only be done if the *Site* record has not yet been QA'd) - In order to preserve the historical data for a record, a new row should be inserted when a facility changes their name. Click in the Site Name field, and then on the "Insert Row" icon on the Toolbar. A new blank row will be inserted. Enter the new *Site* name in the Site Name field. Enter a start date for the new name and an end date for the old name.

3. **Modify Property Owner Data** - Once an *Organization* record has been saved, a Change Request will need to be submitted to update this data.

Insert a New Property Owner - (this can only be done if the *Site* record has not yet been QA'd) - In order to preserve the historical data for a record, a new row should be inserted when a property owner changes (or if you need to add multiple property owners). Click in the Property Owner

field, and then on the "Insert Row" icon on the Toolbar. A new blank row will be inserted. Double-click on the grayed-out Property Owner field. Follow procedures to add a new Property Owner Section 6 – Add a New Site/PI/Organization.

If you are not adding multiple property owners, enter an End Date on the old property owner.

4. **Modify Program Interest Data** – Click on the *Program Interest Info Tab*. Modify necessary data. If more than one *Program Interest* is attached, you may need to click on the "Next" Button to display your *Program Interest*.
5. **Modify Responsible Entity Data** – Once an *Organization* record has been saved, a Change Request will need to be submitted to update this data.

Insert a New Responsible Entity - In order to preserve the historical data for a record, a new row should be inserted when a responsible entity changes (or if you need to add multiple responsible entities). Click in the Responsible Entity field, and then on the "Insert Row" icon on the Toolbar. A new blank row will be inserted. Double-click on the grayed-out Property Owner field. Follow procedures to add a new Property Owner in Section 6 – Add a New Site/PI/Organization.

If you are not adding multiple responsible entities, enter an End Date on the old property owner.

6. If editing Comments, Exemptions, DEP and Non-DEP Site Contacts, please refer to Section 6 – Add a New Site/PI/Organization for instructions on accessing these windows.
7. To save the record, click on "File, Save" from the Menu Bar or on the "Save" icon on the Toolbar.
8. **Close the Record** - To close the record, click on "File, Close" from the Menu Bar or on "X" in the upper right hand corner of the screen. The *Site Selection Window* will display with the new *Site/PI* record in the data results window. You can click on the "Cancel" Button to return to the *Site Masterfile Navigation Screen*.

10 Site/Organization Change Requests

Change Requests are submitted by users with either Update or Read Only access to request modifications to data in Site Masterfile. They can be

submitted for *Site* and *Organization* (Property Owner, Responsible Entity) records. Once submitted, they are assigned a status of Pending. These requests are reviewed by the Data Administration staff. If, after verification it has been decided the modification should be made, the Data Administration staff will modify the record and change the status to Approved. If, after verification it has been decided the modification should not be made, an explanation will be returned in the original Change Request and the status will be set to Denied.

If the *Site* record has not yet been verified and QA'd by the Data Administration staff, you will have the ability to edit the *Site* record. If it has already been QA'd, the *Site Info Tab* will be grayed-out and a Change Request will need to be submitted.

Once an *Organization* record has been saved, a Change Request will need to be submitted to update this data.

Requests should be specific as to what modifications need to be made, and include any information for required fields that are being modified. Example: If a facility has changed names, the new *Site* name as well as the Start Date and End Date for the existing facility name should be submitted. If a new Property Owner is being requested, and the *Organization* record does not currently exist in Masterfile, all required information for that *Organization* should be submitted, including name, start date, organization type, mailing address, etc.

Site Change Request - Any requests for modifications to the *Site*, including adding new or multiple Property Owners should be submitted on the *Site Info Tab*. In the bottom white box labeled "Change Request:", click in this white box, and then on the "Add Row" icon on the Toolbar (or right click your mouse and select "Add Row"). Enter your request (the screen scrolls down to allow for numerous rows of text). Save and close the record. The request will then display on the Data Administration Screen for staff to review.

Organization Change Request - Any requests for modifications to the *Organization*, should be submitted on the *Organization Description Screen*. Double-click in the gray box of the property owner/responsible entity to open the *Organization Description Screen*. Click in the white box in the middle of the screen that is labeled "Description", and then on the "Add Row" icon on the Toolbar (or right click your mouse and select "Add Row"). Enter your request (the screen scrolls down to allow for numerous rows of text). Click on the "X" in the upper right hand corner to save and close the *Organization* record. Save and close the *Site/Program Interest* record. The request will then display on the Data Administration Screen for staff to review.

11 Foreign/Out of State Addresses

If a foreign or out of state address needs to be entered on a *Site*, *Program Interest*, or *Organization*:

1. Select the state/country from the drop-down list for the state (which currently defaults to NJ).
2. Once the state/country is selected, the city and zip code fields will become free-text fields to allow you to enter your own city and the zip code.

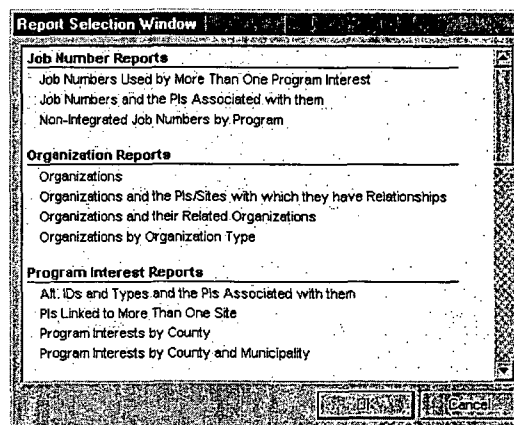
12 Reports

Site Masterfile contains several standard reports designed to provide users with access to data which is not readily available in a consolidated format elsewhere. Each report has a corresponding security component, which allows security to be set up on a report-by-report basis. Therefore, all users may not have access to all reports.

Three screens allow users to select and run any of the available standard reports: the *Reports Selection Window*, the *Report Criteria Window*, and the *Report Screen*.

The ***Report Selection Window*** allows you to select a single report from the list of available reports.

1. To access this window, click on the "Reports" picture button on the *Site Masterfile Navigation Screen*.
2. Click on to select the report, and then on the "OK" Button.



The **Report Criteria Window** allows you to designate selection criteria for a report. It automatically displays after a report has been selected from the **Report Selection Window**.

Note: If criteria is not selected on the **Report Criteria Window**, it will return results for every record in Site Masterfile that quality as per the report you are running. (Below is an example of the **Report Criteria Window** for the Program Interests by County and Municipality Report.)

1. Select criteria from the drop-down lists or enter data in fields when appropriate.
2. Click on the "OK" Button.

The **Report Screen** displays the results (if any) of the report. If the report does not return any data, the system displays an appropriate message and allows you to change the selection criteria for the current report or select another report. From this screen, you can print the report as well as save it as an MS Word document, Excel spreadsheet, etc. In order to do this, click on the "File" Menu and click on your selection. (Below is an example of the **Report Screen** for the Program Interests by County and Municipality Report.)

Program Interest Name	Preferred ID Number	Program Interest Type	Action
ACA - KIRKMAN BOULEVARD SITE	70121	AR	Yes
ADAMAR OF NEW JERSEY INC	70127	AR	Yes
AMERADA HESS CORP HESS STATION 30244	A7025	AR	No
ATL CITY ATNEYMENS ASSN-ATNEYMENS STATION A7205	70136	AR	Yes
ATLANTIC CITY ARMYORY	70227	AR	Yes
ATLANTIC CITY BD OF ED-BROOKTON AVENUE SCH 70201	70201	AR	Yes
ATLANTIC CITY BD OF ED-NEW JERSEY AVE SCH 70203	70203	AR	Yes
ATLANTIC CITY BD OF ED-WEST SIDE SCHOOL	70136	AR	Yes
ATLANTIC CITY BOARD OF EDUCATION	70222	AR	Yes
ATLANTIC CITY C.O. - 33010	70222	AR	Yes
ATLANTIC CITY DEPT OF PUBLIC WORKS-CITY YAF 70016	70016	AR	No
ATLANTIC CITY HOUSING AUTHORITY-INLET TOWER 70208	70208	AR	Yes
ATLANTIC CITY LINEN SUPPLY	70564	AR	Yes
ATLANTIC CITY LINEN SUPPLY	70179	AR	No

Selection Criteria for report: County = Atlantic; Municipality = Atlantic City; Program = AR; All Sites.
Number of records: 118

Below is a list of the standards reports, and the results attained from running them:

Job Numbers Used by More than one Program Interest – This report lists all job numbers which are shared by multiple *Program Interests*.

Job Numbers and the PIs Associated with them – This report lists all job numbers and the *Program Interests* which use each number.

Non-Integrated Job Numbers by Program – This report lists all job numbers created for Programs that are not yet integrated into the Site Masterfile.

Organizations – This report lists basis information about Site Masterfile *Organizations*. It provides information found on the *Organization Description Screen*.

Organizations and the PIs/Sites with which they have Relationships – This report lists *Organizations* and the *Program Interests* and *Sites* they are currently attached to as a Property Owner, Responsible Entity or Non-DEP PI Contact Org.

Organizations and their Related Organizations – This report lists *Organizations* that are related to other *Organizations*.

Organizations by Organization Type – This report lists *Organizations* grouped by a specific Organization type.

Alt. IDs and Types and the PIs Associated with them – This report lists each *Program Interest* which has one or more Alternate IDs associated with it.

PIs Linked to More Than One Site – This report lists information about *Program Interests* that are linked to more than one *Site*.

Program Interests by County – This report lists *Program Interests* located within a specific county.

Program Interests by County and Municipality – This report lists *Program Interests* located within a specific county and municipality.

Program Interests by Program – This report lists *Program Interests* by Program Area.

Program Interests by Program and PI Type – This reports lists *Program Interests* by Program Area and PI Type.

SIC Codes and the Pls Associated with them – This report lists *Program Interests* associated with specific SIC Codes.

Security Components and their Users – This report lists the Site Masterfile security components and the users associated with them. An example of a security component is having access to update the Site Description Screen.

Security Components by User Group – This report lists each User Group and the security components and access level within it.

Users and the Pls/Sites for which they are Contacts – This report lists Site Masterfile Users and the *Program Interests* and/or *Sites* for which they are listed as DEP Site Contact and/or DEP Program Interest Contacts.

Users and their Security Access Level(s) – This report lists Site Masterfile users and the security component(s) to which they have access.

Users by User Group – This report lists User Groups and the individual users that are assigned to the security user group.

Users with Conflicting Security Access – This report lists Site Masterfile users and the security component(s) to which they have multiple and/or conflicting access levels.

Users with Duplicate Security Access – This report lists users and security components to which they have dual (repeated) access levels.

Potential Duplicate Sites Report – This report lists *Sites* which might represent duplicate data entry records.

Sites – This report lists basic information about *Sites* and the *Program Interests* associated with them.

Sites Not in Site Masterfile Shapefile – This reports lists basic information about Non-Physical Sites without GIS coordinates.

Sites and their Related Sites – This report lists *Sites* and other *Site(s)* which have been related through the Site-to-Site X-Ref function on the *Site Info Tab*.

13 De-Activating Program Interests

If your Program Area currently does not have an interest at a particular *Site*, the *Program Interest* record can be de-activated. To de-activate a *Program Interest* record, on the *Program Interest Info Tab*, click to de-select the