



FSME Procedure Approval

Periodic Meetings ~~with Agreement States~~ Between IMPEP Reviews--

SA-116

Issue Date:

Review Date:

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Date:

NOTE

These procedures were formerly issued by the Office of State and Tribal Programs (STP). Any changes to the procedure will be the responsibility of the FSME Procedure Contact as of October 1, 2006. Copies of the FSME procedures are available through the NRC website.



Procedure Title:
Periodic Meetings ~~with Agreement~~
States
Between IMPEP Reviews
Procedure Number: SA-116

Page: 1 of 10

Issue Date:

I. INTRODUCTION

This procedure describes the general objectives and process to be followed when scheduling, staffing, conducting, and documenting a periodic meeting with an NRC Region or Agreement State radioactive materials program.

II. OBJECTIVES

- A. To ~~d~~Designate the frequency for periodic meetings.
- B. To ~~e~~Establish ~~procedures~~protocols for scheduling and conducting a periodic ~~one-day~~ meeting ~~with an Agreement State~~.
- C. To ~~i~~Identify the ~~NRC staff and requested State staff who should participate in appropriate participants~~ for a periodic meeting, including the staff responsible for conducting the meeting.
- D. To ~~d~~Define the scope of activities and areas for discussion during a periodic meeting.
- E. To ~~d~~Define ~~the~~ methods and ~~the~~ timing for documenting and communicating the results of ~~the a periodic~~ meeting ~~to the State~~.
- F. To ~~s~~Specify the ~~correct steps~~appropriate actions to take when performance concerns are identified during a periodic meeting.
- G. To ~~e~~Establish ~~the~~ mechanisms to communicate periodic meeting results to the Management Review Board (MRB).
- H. To ~~p~~Provide guidance ~~for MRB consideration on the issuance~~ of "letters of support."

III. BACKGROUND

~~At the September 1996 All Agreement States Meeting, the issue of conducting a mid-cycle or periodic meeting was discussed. Some Agreement States commented on the need for NRC presence on a more frequent basis than once every four years. SECY-96-234, "Status Report on Implementation of the Integrated Materials Performance Evaluation Program," November 12, 1996, proposed that periodic one-day meetings with Agreement States not scheduled for Integrated Materials Performance Evaluation~~

~~Program (IMPEP) reviews take place to help NRC and Agreement States remain knowledgeable of their respective programs and to plan for the next IMPEP review.~~

~~In 1999, the NRC completed its first round of IMPEP reviews for all Agreement States. A Working Group composed of representatives of Agreement State Programs and the NRC was tasked with conducting an independent examination of the IMPEP experiences to date that could further enhance the program.~~

~~The IMPEP Lessons Learned Report categorized changes to the procedure for periodic meetings as high priority, substantive change. Such changes, the report noted, were needed to make the periodic meetings with Agreement States more effective. The Working Group recommended that the periodic meetings should focus on self-audits and on updating the IMPEP questionnaire.~~

~~The NRC staff reviewed the periodic meeting procedure to incorporate self-audits as a part of the process. Based on State and NRC comments on this revision and further evolution and changes in the periodic meeting process, guidance on mandatory use of self-audits is not included in the procedure. Periodic meetings were created to help NRC Headquarters, the NRC Regions, and the Agreement States remain knowledgeable of the others' respective programs and to plan for future Integrated Materials Performance Evaluation Program (IMPEP) reviews. Periodic meetings serve as forums to exchange information, to identify potential areas of improvement for NRC Headquarters, the NRC Regions, and the Agreement State programs, and to address or define significant actions. Periodic meetings are not formal evaluations but are open, interactive discussions of program status and performance. The meetings should provide for identification and discussion of any program areas experiencing difficulties or program changes (e.g., loss of staff) that could potentially affect performance.~~

~~The periodic meeting process has evolved from its early beginnings to a more effectively avenue to gather important performance information. The NRC staff has found that this evolution is due attributable to an increased scope of discussions and increased focus on early identifying identification of performance issues earlier weaknesses. As a result of the evolution of periodic meetings, nNew roles and responsibilities have emerged, including an enhanced meeting coordination process was developed, and an earlier, more effective and active participation of by the MRB was incorporated earlier in the process, and active Agreement State Radiation Control Program Director (RCPD) participation in the discussion of meeting results and decision making process. In addition, a new Periodic Meetings Coordinator (PMC) position has been established to ensure these new responsibilities are effectively carried out. Additionally, the Agreement States became more involved in the process. As examples, the Agreement States now have a greater role in the coordination of the periodic meetings and active participation at the MRB meetings.~~

This procedure documents current periodic meetings' practices, which include:
(1) increased scope of discussion that allows a better sharing of information between the NRC and the Agreement States; (2) briefing the MRB on the meeting's results with

active participation from **Agreement** State staff; and (3) earlier identification of **P**program weaknesses (e.g., staffing shortage, inspection backlogs) and implementation of corrective measures and (4) issuance of “**letters of supports**.” ~~from the MRB Chair:~~

- (a) ~~T~~to identify early indications of potential program weaknesses;
- (b) ~~T~~to support **P**program requests for additional resources; or,
- (c) ~~T~~to recognize the benefits, contributions, success, or history of good performance of a **P**program.

IV. ROLES AND RESPONSIBILITIES

A. IMPEP Project Manager:

~~The IMPEP Project Manager is responsible for:~~

- ~~1. Informing each Regional State Agreements Officer (RSAO) NRC managers, NRC staff, and the Agreement States of the proposed IMPEP and periodic meetings schedule for each year.~~
- ~~2. Tracks the issuance of periodic meeting summary reports.~~
- ~~23. Coordinating and scheduling the presentation of the final results of periodic meetings summary report to the MRB meeting.~~

~~B. Periodic Meetings Coordinator~~

~~The PMC is responsible for:~~

- ~~1. Assisting the IMPEP Project Manager and Regional State Agreements Officer (RSAO) in the coordination of periodic meetings.~~
- ~~24. Leading the discussion presentation of the results of the periodic meeting summary report with to the MRB when the RSAO and Agreement State Project Officer (ASPO) periodic meeting attendees are not available to participate in the MRB meeting.~~
- ~~3. Tracking periodic meetings as well as action items identified during the meetings.~~
- ~~45. Identifying and tracks any meeting action items that have not been resolved at the time the meeting summary letter is dispatched result from a periodic meeting or the presentation of results of periodic meetings to the MRB.~~
- ~~5. Notifying the Office of State and Tribal Programs' (STP) controlled ticket coordinator to formally ticket and assign any items as necessary.~~

6. ~~Follow-up on the resolution of action items.~~ Advises the MRB on the issuance of "letters of support" to senior State managers.
7. Drafts "letters of support," as directed by the MRB.

GB. Regional State Agreements Officer (RSAO):

Note: The RSAO's ~~is~~ responsibilities only apply to periodic meetings with Agreement States. ~~for:~~

1. Scheduling meetings with each of those Agreement States in his/her Region at the appropriate frequency (as defined in Part V. A).
2. Coordinating a meeting date with the ~~IMPEP Project Manager, RCPD, and STP~~ Agreement State program and any other NRC attendees ~~Project Officer, ASPO.~~
3. Informing ~~STP Periodic Meetings Coordinator~~ the IMPEP Project Manager and appropriate Regional management of the meeting date.
4. Developing a draft agenda for the meeting in coordination with the Agreement State's Radiation Control Program Director (RCPD). ~~(In cases where issues are identified that require the meeting's length to be extended, the RSAO and ASPO will consult with STP management to estimate the meeting's length).~~
5. Issuing, once a ~~proposed~~ meeting date has been ~~chosen~~ established, a letter to the RCPD, a minimum of 60 days before the meeting, confirming the date for the meeting. The letter should include the draft agenda that was developed in ~~consultation~~ coordination with the RCPD ~~Agreement State Program management~~, as well as a request for any comments on the draft agenda and/or additional specific meeting discussion topics. ~~The Deputy Director, STP, the IMPEP Project Manager, STP Periodic Meetings Coordinator, appropriate Regional management, and the ASPO should be on the distribution list for the letter.~~ A sample scheduling letter and draft agenda for a periodic meeting with an Agreement State can be found on the IMPEP Toolbox ~~is attached as Appendix A.~~
6. Scheduling and planning for the meeting to ensure that Agreement State attendance will include at least one ~~R~~ radiation ~~C~~ control ~~P~~ program representative who can speak on behalf of the Agreement State ~~P~~ program. ~~(Preferably, the RCPD will attend the meeting).~~ Agreement State ~~P~~ program staff attendance at the meeting will be determined by the Agreement State.

7. Review ~~ings~~ all ~~the~~ open recommendations ~~made during~~ from the most recent IMPEP review (if a previous periodic meeting had been held, review the ~~P~~ program's ~~status~~ progress on addressing the recommendations as of the date of the meeting). ~~The RSAO should obtain a detailed printout of all State Nuclear Materials Events Database (NMED) data since the last IMPEP review or periodic meeting. The RSAO should also be familiar with all allegations and concerns referred to the State for handling since the last IMPEP review or periodic meeting (obtained from the Regional Senior Allegations Coordinator and the Allegation Management System), and the status of the State's regulations as detailed in the Regulation Assessment Tracking System (RATS).~~
8. Obtains and reviews a detailed printout of all Nuclear Material Events Database (NMED) entries since the last IMPEP review or periodic meeting for the respective Agreement State.
9. Becomes familiar with all allegations and concerns referred to the respective Agreement State since the last IMPEP review or periodic meeting. This information can be obtained from the Regional Senior Allegations Coordinator and NRC's Office of Federal and State Materials and Environmental Management Programs (FSME) Allegations Coordinator.
10. Reviews the status of the Agreement State's regulations as detailed in the State Regulation Status Sheet maintained by FSME.
811. Serves as lead facilitator for the meeting. If the RSAO cannot serve as the lead, the RSAO will reschedule the meeting, or request that ~~the ASPO~~ an alternate NRC attendee lead the meeting. If the RSAO is unfamiliar with an Agreement State for any reason (e.g., there is a new RSAO or the RSAO was not a member of the previous IMPEP review team), ~~STP~~ FSME and/or NRC Regional management may choose to send an ~~STP or Regional~~ alternate staff member more knowledgeable about the Agreement State to the meeting. This decision will be made on a case-by-case basis.
12. Meets with senior State managers to provide a summary of the discussions held with the Agreement State program staff, as appropriate. ~~The RSAO will continue to act as the lead for the meeting, if in attendance.~~
- ~~9. Coordinating with ASPOs, to identify, communicate and document to the MRB, at the direction of STP, NMSS and Regional management, program performance issues (such as changes in State organization, loss of staff, hiring freezes or other issues having a potential adverse effect on program performance). These performance issues may also be identified~~

~~through day-to-day interactions (i.e., telephone calls, informal conversations at meetings, e-mail exchanges) between the States and the ASPO and/or the RSAO before the periodic meeting.~~

103. ~~Issuing~~ ~~the final periodic meeting summary and sending an electronic copy to the Deputy Director, STP, appropriate Regional management, IMPEP Project Manager, STP Periodic Meetings Coordinator and the ASPO.~~
114. ~~Leading~~ ~~the discussion~~ ~~presentation of the results of the periodic meeting summary report with~~ ~~to the MRB. (The meetings' results should normally be discussed at the next scheduled MRB meeting unless significant concerns identified necessitate a special MRB meeting).~~
125. ~~Assisting and advising~~ ~~Recommends to the MRB, in collaboration with ASPOs, on the~~ ~~issuance of "letters of support" to senior State management~~ ~~rs, as appropriate.~~

~~DC. Agreement State Project Officer~~ ~~FSME Designee:~~

~~The ASPO will be responsible for:~~

1. ~~Attending~~ ~~and participating~~ ~~in the assigned periodic meetings with NRC Regions and Agreement States. (An alternate STP staff member may attend the meeting if the ASPO cannot attend)~~ ~~Assignments will be made on a case-by-case basis, depending on expertise of an individual and/or existing performance issues in an NRC Region or Agreement State.~~
2. ~~For periodic meetings with Agreement States, C~~ ~~oordinating~~ ~~and assisting~~ ~~the RSAO in meeting preparation and development of specific information areas to be covered during the meeting, such as event reporting, allegations, and the status of regulations.~~
3. ~~Leading~~ ~~the periodic meeting with an Agreement State, if necessary or requested.~~
4. ~~Meets with senior State managers to provide a summary of the discussions held with the Agreement State program staff, as appropriate.~~
5. ~~For periodic meetings with NRC Regions, prepares for, conducts, and documents all aspects of the meeting. This includes coordination of scheduling the meeting and preparing the meeting's agenda with the Regional Division of Nuclear Materials Safety (DNMS) management, as well as review of Regional self-assessments, operating plan performance, and monthly Regional reports.~~

46. ~~Leadings the discussion~~presentation of the results of the periodic meeting ~~summary report with~~to the MRB ~~when the RSAO is not available, as appropriate.~~

~~5. Drafting “letters of support,” if directed by the MRB.~~

~~E. Agreement State Radiation Control Program Director (RCPD)~~

~~The RCPD (or a designee) will be invited to participate in the discussion of that State’s periodic meeting summary at the MRB meeting. [Also see Sections IV. C. 2, 4, 5 and 6 for additional information on the RCPD’s role].~~

~~FD.~~ Management Review Board (MRB):

1. ~~The MRB p~~Provides a senior-level review of the results of the periodic meetings. ~~Its membership includes: Deputy Executive Director for Materials, Research and State Programs (DEDMRS); Director, Office of Nuclear Material Safety and Safeguards (NMSS); Director, Office of State and Tribal Programs (STP); the General Counsel; and an Organization of Agreement State (OAS) Liaison to the MRB. [See: 1) STP Procedure SA-106, *Management Review Board*; 2) NRC Management Directive 5.6, *Integrated Materials Evaluation Program (IMPEP)*]~~

2. ~~The MRB will always be apprized on the results of periodic meetings. The MRB p~~Provides directions on a course of action when performance concerns are identified during a periodic meeting (see V.G. below). ~~Directions on~~Any decisions regarding a course of action in response to performance concerns will be communicated directly to the RCPD or ~~its representative~~DNMS Director either at the MRB meeting or ~~after the meeting by letter~~correspondence. ~~The MRB will also direct staff on whether the issuance of a “letter of support” to senior State management is warranted.~~

3. Directs NRC staff on the issuance of “letters of support” to senior State managers.

4. Membership, additional responsibilities, and protocols of the MRB are defined in FSME Procedure SA-106, *The Management Review Board (MRB)*.

V. GUIDANCE

A. Frequency of Meetings

1. For a ~~four (4)~~-year IMPEP cycle, a ~~midterm~~ periodic meeting should take place approximately ~~twenty-four (24)~~ months after the IMPEP review.
2. If additional meetings are required or requested ~~either~~ by the MRB, STPF/SME management, the NRC Region, or the Agreement State, the meeting frequency ~~will~~ may be adjusted on a case-by-case basis.
3. Agreement States may request additional informal meetings, as NRC resources allow. A summary of the discussion of any informal meeting should be documented in a short letter to the State's RCPD to serve as a record of meeting.

B. Scope of Discussions with Agreement States during Periodic Meetings

~~Periodic meetings serve as forums to hold discussions, to exchange information, to identify potential areas of improvement for both the NRC and Agreement State Programs, to address or define significant actions and to assess IMPEP review planning. Periodic meetings are not formal evaluations but are open, informal, and interactive discussions of program status and performance, identification of issues and actions for their timely resolution, and other information. They should provide for identification and discussion of any program areas experiencing difficulties or program changes (e.g., loss of staff) that could affect performance. They are not intended to include reviews of any licensing, inspection, or incident files. Review of some documents, however, may be useful during meetings to clarify points made in discussions (e.g., summary printouts of inspection information, close-out letters in incident files, status of regulations).~~

As appropriate, topic areas for discussion during the meeting should include the following:

1. Status of the State's actions to address all ~~previous~~ open IMPEP review findings and/or open recommendations.
2. Strengths and/or weaknesses of the State program as identified by the State or ~~the~~ NRC, including identification of actions that could ~~diminish weaknesses~~ strengthen the program.
3. Feedback on ~~the~~ NRC's program as identified by the State, ~~and~~ including identification of any action that should be considered by ~~the~~ NRC.
4. Status of the State Program, including:
 - a. Staffing and training:
 - i) Number of staff in the program and status of their training and qualifications;

- ii) Program vacancies;
- iii) Staff turnover; **and,**
- iv)- Adequacy of **full-time equivalents (FTEs)** for the materials program.

b. Program reorganizations:

Discuss any changes in program organization, including program/staff relocations and new appointments.

c. Changes in program budget/funding.

~~bd.~~ Materials ~~h~~inspection ~~P~~program:

- ~~i)~~—Discuss the status of the inspection program, including whether an inspection backlog exists and the steps being taken to **work-off-reduce or eliminate the** backlog.**

~~ee.~~ Regulations and ~~L~~legislative changes:

Discuss status of State's regulations and actions to keep regulations up to date, including the use of legally binding requirements.

~~d.~~—Program reorganizations:

~~Discuss any changes in program organization including program/staff relocations and new appointments.~~

~~e.~~—Changes in Program budget/funding.

~~f.~~—For States whose Agreement became effective after August 26, 1999 determine the status of Site Decommissioning Management Plan (SDMP) sites transferred to the State. [Note that the Commission has asked that the State notify the NRC when the license has been terminated and when the site has been released for unrestricted use as defined by the Agreement State].

- 5. Event **R**reporting, including follow-up and closure information in NMED.

6. Response to ~~h~~incidents and **A**allegations:

- a. Status of allegations and concerns referred by ~~the~~NRC for action;
- b. Significant events and generic implications.

7. Status of the following ~~P~~program areas, (~~include~~ if applicable):
 - a. Sealed Source ~~&and~~ Device Evaluation Program;
 - b. Uranium Recovery Program; ~~and/or~~,
 - c. Low-~~L~~level ~~Radioactive~~ Waste Disposal Program.

8. Information exchange and discussion:
 - a. Current State initiatives;
 - b. Emerging technologies;
 - c. Large, complicated, or unusual authorizations for use of radioactive materials, ~~including~~;
 - d. ~~Major decommissioning and license termination actions;~~
 - i) ~~Panoramic/Pool/Underwater Irradiators;~~
 - ii) ~~Major decommissioning and license termination actions;~~
 - iii) ~~Waste processing, storage and disposal licenses;~~
 - iv) ~~Others.~~
 - ~~de.~~ State's mechanisms to evaluate performance (~~as applicable~~);
and,
 - i) ~~Self audits;~~
 - ii) ~~Computer tracking;~~
 - iii) ~~Inspector accompaniments;~~
 - iv) ~~Other management tools.~~
 - ~~ef.~~ ~~NRC-c~~Current ~~NRC~~ initiatives.

9. Schedule for the next IMPEP review.

10. Action items resulting from the periodic meeting (these should be documented in the meeting summary report). [Note: the meeting should not be used by the States to refer major policy issues to ~~the~~ NRC since these are addressed through other mechanisms].

11. Other topics.

C. Scope of Discussions with NRC Regions During Periodic Meetings

As appropriate, topic areas for discussion during the meeting should include the following:

1. Status of operating plan metrics.

2. Review of strategic plan metrics and an assessment of the quality of the data contained in the monthly reports on material statistics.
3. Status of the Region's actions to address all open IMPEP review findings and/or open recommendations.
4. Status of the Region's program, including:
 - a. Staffing and training:
 - i) Number of staff in the program and status of their training and qualifications;
 - ii) Vacancies in the program;
 - iii) Staff turnover; and,
 - iv) Adequacy of FTEs for the program.
 - b. Program reorganizations:

Discuss any changes in program organization, including program/staff relocations, new appointments, and redistribution of responsibilities.
 - c. Changes in program budget/funding.
 - d. Materials inspection program:

Discuss the status of the inspection program, including whether an inspection backlog exists and the steps being taken to reduce or eliminate the backlog.
 - e. Response to incidents and allegations:
 - i) Status of allegations and concerns;
 - ii) Status of response to events, including discussions on the status of incomplete NMED entries.
5. Status of Uranium Recovery Program (if applicable)
6. Review of Regional self-assessments and any actions the Region has taken to address any self-identified weaknesses or good practices that should be shared with other Regions.
7. New or potential FSME initiatives that may impact the Regions, including: program or policy changes, rulemakings, working groups, temporary instructions, inspection procedures, etc.

8. Schedule for the next IMPEP review.
9. Action items resulting from the periodic meeting.
10. Other topics.

D. Evaluation of Casework during Periodic Meetings

1. As discussed in Section III. of this procedure, periodic meetings are not formal evaluations of program performance. Reviews of licensing, inspection, or incident casework does not need to be performed. Review of some documents, however, may be useful to clarify points made in discussions and/or to determine the status of open recommendations from previous IMPEP reviews (e.g., summary of printouts of inspection information, close-out letters in incident files, or status of regulations.)
2. In some cases, casework for allegations may need to be reviewed in order to ensure that appropriate followup action was taken. All casework for allegations and concerns referred directly to the State by NRC in which the alleged's identity has been withheld should be reviewed. Performance concerns closed through STP Procedure SA-400, *Management of Allegations*, do not need to be reviewed in depth.

E. Documentation of Periodic Meetings

1. The meeting lead should prepare, issue, and distribute the periodic meeting summary and transmittal correspondence within 30 days of the date of the meeting. A sample periodic meeting summary and transmittal letter can be found on the IMPEP Toolbox.
2. Prior to issuance of the periodic meeting summary, the meeting lead should share a draft of the periodic meeting summary with the Director, DNMS, or Agreement State RCPD and any other attendees for factual review and comment.
3. For each open recommendation from the previous IMPEP review, the meeting lead should assign one of the two following recommendations based on the status of the program's actions. Recommendations involving chronic performance issues should not be closed until a continuous period of adequate performance has been demonstrated.
 - a. This recommendation should be verified and closed at the next IMPEP review.
 - b. This recommendation remains open and should be evaluated at the next IMPEP review.

4. No specific information regarding any allegations or concerns discussed at the periodic meeting that could potentially identify an alleged should be contained in the periodic meeting summary or transmittal correspondence. The periodic meeting summary should only state the number of allegations and concerns discussed and whether the casework has been handled adequately. (If an Agreement State is not handling allegations or concerns in a manner consistent with the guidance provided in Management Directive 8.8, *Management of Allegations*, the RSAO or FSME designee at the meeting should report this fact separately to FSME management.)

~~C. For open IMPEP review findings that the RSAO and ASPO conclude have been resolved, a recommendation for closure should be included in the meeting summary report. Formal closure will be completed only at the time of the next IMPEP review. Chronic problems should not be recommended for closure until sufficient time has passed to demonstrate that the problems are properly addressed.~~

~~D. The RSAO and ASPO shall review all allegations and concerns referred to the State by the NRC in which the alleged's identity has been withheld. In addition, any performance concerns referred to the State should be discussed. It is not necessary to perform an in-depth review on performance concerns closed through STP Procedure SA-400, "Management of Allegations." The RSAO and ASPO must assure that appropriate follow-up is taken (e.g., that the State has addressed allegations in accordance with State procedures).~~

~~E. During the meeting, NRC representatives should request introductions to new staff or to staff that they have not met previously.~~

~~F. The meeting lead should informally share, prior to its final issuance, a draft summary report with the Agreement State Program Director, the ASPO and any other NRC staff attending the meeting for review and comment. The meeting lead should issue and distribute the final summary letter of the meeting to the RCPD within thirty (30) days and provide a copy to the Deputy Director, STP, the IMPEP Project Manager, STP Periodic Meetings Coordinator, appropriate Regional management, and the ASPO. The letter should include a list of meeting attendees, a brief synopsis of what was discussed during the meeting, a description of the status of all open recommendations and suggestions, and a summary identifying any key facts or changes, both positive and negative, from the meeting which could affect the focus and timing of future IMPEP reviews or program implementation.~~

~~No specific information about the allegations or concerns discussed at the meeting that could identify an alleged should be contained in the letter. The letter should state only the number of allegations and concerns discussed and whether the casework has been handled adequately. (If an Agreement State is not~~

~~handling allegations or concerns in a manner consistent with the guidance provided in Management Directive 8.8, *Management of Allegations*, the RSAO and ASPO should report this fact separately to STP management. The Agreement State should have investigated the allegations and concerns, documented the results, and provided confidentiality in accordance with the Agreement State's statutes, rules, and procedures).~~

~~The State should be requested to provide additional comments if it believes the letter content does not accurately reflect the meeting discussions. A sample letter is attached as Appendix B.~~

F. ~~Presentation of the Results of the Periodic Meetings to the MRB~~

1. ~~The MRB will be convened to review the results of periodic meetings on an as-needed basis. Typically, the results of two to three periodic meetings will be presented in a session.~~
2. ~~NRC Regional and Agreement State representatives of programs that are being discussed will be invited to participate in the MRB meeting.~~

G. ~~Agreement State Program Programmatic or Performance Concerns Identified during a Periodic Meeting~~

1. ~~If programmatic or performance concerns about an Agreement State Pprogram are identified during thea periodic meeting, :~~
 - a. ~~The concerns should be documented in the periodic meeting summary report and presented to the MRB as part of the discussion of the results of the periodic meeting results.~~
 - b. ~~If the concerns have the potential to immediately affect public health and safety, the RSAO and ASPO should immediately inform STP management, the IMPEP Project Manager and Regional management about the findings and discuss and propose a course of action. STP management should notify the MRB Chair about the concerns identified and proposed course of action (a special MRB meeting may be convened to discuss the concerns and proposed course of action).~~
2. The MRB will decide on the appropriate course of action. Possible actions **may** include any or all of the following:
 - a. altering the schedule for the next IMPEP review;
 - b. scheduling an additional meeting with the **specific State, program;**
 - c. conducting a special review of selected program areas;

- d. placing the **Agreement State** on Heightened Oversight or Monitoring (see STP Procedure SA-122, *Heightened Oversight and Monitoring*, for additional information); and,
 - e. issuing a “letter of support” to bring declining program issues to the attention of Agreement State Program senior management attention (See Appendix CA).
3. ~~Once a formal course of action has been decided, within 3 weeks, a letter signed by the Director, STP, should be sent to the RCPD along with the meeting summary letter. The letter should include an explanation of the specific course of action decided upon by the MRB as well as a summary of the reasons supporting the decision. A copy of the letter should be sent to all MRB members and appropriate Regional management. A sample letter is attached as Appendix D. If the concerns have the potential to immediately affect public health and safety, the meeting lead should immediately inform FSME management, NRC Regional management, and the IMPEP Project Manager of the findings and propose a course of action. FSME management should notify the Chair of the MRB of the concerns identified and the proposed course of action. The Chair of the MRB may request the MRB to convene to discuss the concerns and vote on the proposed course of action.~~
 4. If performance issues in an **Agreement State** are identified through day-to-day interactions ~~outside the periodic meeting~~, the ~~ASPO and~~ RAO will document the program’s issues in writing to present to the MRB. The written documentation should provide a complete description of the program performance issues and any other supporting information sufficient to allow the MRB to determine an appropriate course of action, as outlined in V.G.2.

VI. ~~APPENDICES~~

- ~~Appendix A Sample Meeting Confirmation letter to Agreement State Radiation Control Program Director~~
- ~~Appendix B Sample Meeting Summary letter to Agreement State Radiation Control Program Director~~
- ~~Appendix C Sample Letter Addressing a Potential Decline in Agreement State Performance Noted During a Periodic Meeting~~
- ~~Appendix D Sample Formal “Course of Action” letter to Agreement State Radiation Control Program Director~~

VII. REFERENCES

1. ~~SECY-96-234, Status Report on Implementation of the Integrated Materials Performance Evaluation Program (IMPEP) FSME Procedure SA-106, The Management Review Board (MRB)~~

2. IMPEP Toolbox – <http://nrc-stp.ornl.gov/impeptools.html>
3. NRC Management Directive 8.8, *Management of Allegations*
34. STP Procedure SA-10622, ~~The Management Review Board~~ *Heightened Oversight and Monitoring*
4. ~~NRC Management Directive 5.6, *Integrated Materials Performance Evaluation Program (IMPEP)*~~
5. STP Procedure SA-400, *Management of Allegations*

VIII. ADAMS REFERENCE DOCUMENTS

For knowledge management purposes, all previous revisions of this procedure, as well as associated correspondence with stakeholders that have been entered into NRC's Agencywide Documents Access and Management System (ADAMS) are listed below.

No.	Date	Document Title/Description	Accession Number
1	10/9/03	STP-03-077, Opportunity to Comment on Draft Revisions to STP Procedure SA-116	ML032820578
2	2/6/04	STP Procedure SA-116	ML040620604
3	2/6/04	Summary of Comments on SA-116	ML040620654
4	7/28/05	STP-05-061, Draft Revision of STP Procedures to Incorporate Letters of Support Guidance	ML052100400
5	10/5/05	STP Procedure SA-116	ML061310327
6	10/5/05	Summary of Comments on SA-116	ML061310346
7	9/12/07	FSME-07-086, Opportunity to Comment on Draft Revision to FSME Procedure SA-116	ML072470343
8		Summary of Comments on SA-116	

~~Appendix A~~

~~SAMPLE MEETING CONFIRMATION LETTER TO AGREEMENT STATE RADIATION CONTROL PROGRAM DIRECTOR~~

Dear [Agreement State Program Director]:

~~In order to help both Agreement States and the U.S. Nuclear Regulatory Commission (NRC) remain knowledgeable of each others' programs and to conduct planning for the next Integrated Materials Performance Evaluation Program (IMPEP) review, the IMPEP process includes holding one-day periodic meetings with Agreement States between IMPEP reviews.~~

~~In accordance with the Office of State and Tribal Programs (STP) Procedure SA-116, we request a meeting, no longer than one day, to discuss your Agreement State Program and share programmatic information. This letter confirms that, after previous coordination, the meeting is scheduled for [date] and will be held in your offices. In addition to myself, [ASPO], Office of State and Tribal Programs, assigned as Project Officer for [State], will be the other NRC representative in attendance. [identify any other NRC staff that may attend].~~

~~Based on our previous discussions the likely topics for discussion at the meeting include [add or delete topics, as appropriate, based on agenda planning discussions with the State]:~~

- ~~1. Status of State's actions to address all open previous IMPEP review findings and/or open recommendations.~~
- ~~2. Strengths and/or weaknesses of the State program as identified by the State or NRC including identification of actions that could diminish weaknesses.~~
- ~~3. Feedback on NRC's program as identified by the State and including identification of any action that should be considered by NRC.~~
- ~~4. Status of State Program including:
 - ~~a. Staffing and training:~~~~

- ~~i) Number of staff in the program and status of their training and qualifications;~~
- ~~ii) Program vacancies;~~
- ~~iii) Staff turnover;~~
- ~~iv) Adequacy of FTEs for the materials program.~~

~~b. Materials Inspection Program:~~

- ~~i) Discuss the status of the inspection program including if an inspection backlog exists and the steps being taken to work off backlog.~~

~~c. Regulations and Legislative changes:~~

- ~~i) Discuss status of State's regulations and actions to keep regulations up to date, including the use of legally binding requirements.~~

~~d. Program reorganizations:~~

- ~~i) Discuss any changes in program organization including program/staff relocations and new appointments.~~

~~e. Changes in Program budget/funding.~~

~~f. For States whose Agreement became effective after August 26, 1999, determine the status of Site Decommissioning Management Plan (SDMP) sites transferred to the State. The State should notify NRC when the license has been terminated and whether the site was released for unrestricted use as defined by the Agreement State.~~

~~5. Event Reporting, including follow-up and closure information in NMED.~~

~~6. Response to Incidents and Allegations:~~

~~a. Status of allegations and concerns referred by the NRC for action;~~

~~b. Significant events and generic implications.~~

~~7. Status of the following Program areas (include if applicable):~~

~~a. Sealed Source & Device Evaluation Program;~~

~~b. Uranium Recovery Program;~~

~~c. Low Level Waste Disposal Program.~~

~~8. Information exchange and discussion:~~

~~a. Current State initiatives;~~

~~b. Emerging technologies;~~

~~c. Large, complicated or unusual authorizations for use of radioactive materials, including:~~

~~i) Panoramic/Pool/Underwater Irradiators;~~

~~ii) Major decommissioning and license termination actions;~~

~~iii) Waste processing, storage and disposal licenses;~~

~~iv) Others.~~

~~d. State's mechanisms to evaluate performance (as applicable):~~

~~i) Self audits;~~

~~ii) Computer tracking;~~

~~iii) Inspector accompaniments;~~

~~iv) Other management tools.~~

~~e. NRC current initiatives.~~

~~9. Schedule for the next IMPEP review.~~

~~10. Other.~~

~~If you have any questions, please call me at [RSAO phone number], or e-mail to [RSAO e-mail address].~~

Sincerely,

[RSAO]

cc: []
[DDSTP]
[IPM]
[PMC]
[Regional Manager]
[ASPO]

~~Appendix B~~

~~SAMPLE MEETING SUMMARY LETTER
TO AGREEMENT STATE RADIATION CONTROL PROGRAM
DIRECTOR~~

~~Dear [Radiation Control Program Director]:~~

~~A periodic meeting with [State] was held on [date]. The purpose of this meeting was to review and discuss the status of [State's] Agreement State program. The NRC was represented by [ASPO and/or other STP staff] from the NRC's Office of State and Tribal Programs, [any additional NRC staff in attendance including Regional staff] and me. Specific topics and issues of importance discussed at the meeting included [list a few topics discussed at the meeting that were particularly noteworthy].~~

~~I have completed and enclosed a general meeting summary, including any specific actions resulting from the discussions.~~

~~If you feel that our conclusions do not accurately summarize the meeting discussion, or have any additional remarks about the meeting in general, please contact me [RSAO phone number], or e-mail to [RSAO e-mail address] to discuss your concerns.~~

~~Sincerely,~~

~~[RSAO]~~

~~Enclosure:~~

~~As stated~~

~~cc: [DDSTP]
[Regional Manager]
[IPM]
[PMC]
[ASPO]~~

~~AGREEMENT STATE PERIODIC MEETING SUMMARY FOR [STATE]~~

~~DATE OF MEETING: [DATE]~~

~~ATTENDEES: [NRC] [STATE]
[RSAO]
[ASPO]
[OTHER]~~

~~DISCUSSION:~~

~~The proposed status for each of the recommendations and suggestions in Section 5.0 of the [year of last IMPEP review] [State] final IMPEP report is summarized below (number corresponding to those in the final IMPEP report). A copy of Section 5.0 of the IMPEP report is attached for reference. [... List the proposed status for each recommendation and suggestion made at the most recent IMPEP review including any recommendations for closure]~~

~~Other topics covered at the meeting included [... List all meeting's discussion topics other than the recommendations and suggestions listed above].~~

- ~~1. Status of State's actions to address all open previous IMPEP review findings and/or open recommendations.~~
- ~~2. Strengths and/or weaknesses of the State program as identified by the State or NRC including identification of actions that could diminish weaknesses.~~
- ~~3. Feedback on NRC's program as identified by the State and including identification of any action that should be considered by NRC.~~
- ~~4. Status of State Program including:
 - ~~a. Staffing and Training;~~
 - ~~b. Materials Inspection Program;~~
 - ~~c. Regulations and Legislative changes;~~~~

- ~~d. Program reorganizations;~~
 - ~~e. Changes in Program budget/funding;~~
 - ~~f. For States whose Agreement became effective after August 26, 1999, determine the status of Site Decommissioning Management Plan (SDMP) sites transferred to the State. [Note that the Commission has asked that the State notify the NRC when the license has been terminated and when the site has been released for unrestricted use as defined by the Agreement State].~~
- ~~5. Event Reporting, including follow-up and closure information in NMED.~~
- ~~6. Response to Incidents and Allegations.~~
- ~~a. Status of allegations and concerns referred by the NRC for action;~~
 - ~~b. Significant events and generic implications.~~
- ~~7. Status of the following Program areas:~~
- ~~a. Sealed Source & Device Program;~~
 - ~~b. Uranium Mills Program;~~
 - ~~c. Low Level Waste Program.~~
- ~~8. Information exchange and discussion:~~
- ~~a. Current State initiatives;~~
 - ~~b. Emerging technologies;~~
 - ~~c. Large, complicated or unusual authorizations for use of radioactive materials, including:~~
 - ~~i) Panoramic/Pool/Underwater Irradiators;~~
 - ~~ii) Major decommissioning and license termination actions;~~
 - ~~iii) Waste processing, storage and disposal licenses;~~
 - ~~iv) Others.~~
 - ~~d. State's mechanisms to evaluate performance (as applicable):~~

- ~~i) — Self audits;~~
- ~~ii) — Computer tracking;~~
- ~~iii) — Inspector accompaniments;~~
- ~~iv) — Other management tools.~~

~~e. — NRC current initiatives.~~

~~9. — Schedule for the next IMPEP review.~~

~~10. — Action items resulting from the periodic meeting.~~

~~11. — Other topics.~~

CONCLUSIONS:

~~Conclusion #1: [conclusion as applicable]~~

~~Action #1: [as applicable]~~

~~Conclusion #2: [conclusion as applicable]~~

~~Action #2: [as applicable]~~

~~Conclusion #3: [conclusion as applicable]~~

~~Action #3: [as applicable]~~

Appendix CA

SAMPLE LETTER ADDRESSING A POTENTIAL DECLINE IN AGREEMENT STATE PERFORMANCE NOTED DURING A PERIODIC MEETING

[NAME]
[TITLE, STATE SENIOR MANAGEMENT]
[ADDRESS]

Dear [NAME]:

I am writing to discuss the results of a ~~P~~periodic ~~M~~meeting held in your [Agency/~~I~~Department] on [DATE], with staff of the [Bureau of Radiation Control/Radiation Control Program/other]. Periodic ~~M~~meetings are held to enable the U.S. Nuclear Regulatory Commission (NRC) and Agreement States to remain knowledgeable of ~~their respective~~each other's programs and to conduct planning for the next Integrated Materials Performance Evaluation Program (IMPEP) review. NRC has an oversight responsibility to periodically review Agreement State ~~P~~programs for adequacy to protect public health and safety and compatibility with NRC's program and conducts these reviews under IMPEP.

NRC also uses the ~~P~~periodic ~~M~~meeting process to gather important performance information and increase focus on identifying performance issues before they escalate into serious problems. This process includes an enhanced meeting coordination process, with effective and active participation of the Management Review Board (MRB), a panel of NRC managers with an Agreement State manager liaison, in the process, and active Radiation Control Program Director participation in the discussion of meeting results and decision making process.

The MRB met on [DATE], to discuss the results of the [STATE]'s [DATE], ~~P~~periodic ~~M~~meeting. Potential performance concerns identified in your radiation control program during the periodic meeting were discussed. I have enclosed a copy of the [DATE], letter to [Program Director], summarizing the results of the [DATE], ~~P~~periodic ~~M~~meeting. Highlights of the concerns identified during ~~discussion~~the meeting are presented below.

The Program is experiencing difficulty in [DESCRIBE PROGRAM ISSUES]. Given these developments, we have concerns regarding the program's ability to maintain an adequate and compatible radiation safety program.

Your support in helping ensure that the [STATE] Agreement State Program has the necessary resources and support to continue to manage an effective program is crucial. I want to assure you that the Commission supports the ~~objective~~mission of the [STATE] Agreement State Program and

that NRC staff will continue to work closely with your program. We thank you for your commitment to this effort.

Sincerely,

[NAME]

Deputy Executive Director for Materials, Waste,
Research, ~~and State, Tribal, and Compliance~~
Programs

Office of the Executive Director for Operations

|
Enclosure:

| ~~As-stated~~ Periodic Meeting Summary for [State]

cc: [STATE LIAISON OFFICER]
[RADIATION CONTROL PROGRAM DIRECTOR]
| [OTHERS]

Appendix D

~~SAMPLE FORMAL "COURSE OF ACTION" LETTER TO AGREEMENT STATE RADIATION CONTROL PROGRAM DIRECTOR~~

Dear [Radiation Control Program Director]:

This letter is to inform you that (potential performance/performance) concerns were identified in your radiation control program based on the results of discussions at the [date of meeting] periodic meeting held with your Program. The periodic meetings were created to help NRC and Agreement States remain knowledgeable of their respective programs and to conduct planning for the next IMPEP review. Concerns identified during discussions at the periodic meeting include:

[list in detail each individual concern about the program]

Due to these concerns, the Management Review Board (MRB) has directed that [the schedule for the State's next IMPEP review will be altered/ a special review of selected program areas will be conducted/ additional meetings with the State will be held/the program will be placed on monitoring status].

We ask that you respond to this letter in writing within 30 days and identify those actions you will complete to address these concerns. If you have any questions, please contact [RSAO], RSAO of Region [region], or me.

Sincerely,

[Director, Office of State and Tribal Programs]

cc: [MRB Members]

[RSAO]

[Regional Manager]

[IPM]

□

[ASPO]