



FSME Procedure Approval

Reporting Material Events

SA-300

Issue Date:

Review Date:

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NOTE

Any changes to the procedure will be the responsibility of the FSME Procedure Contact. Copies of the FSME procedures are available through the NRC website.



**Procedure Title: Reporting Material
Events
Procedure Number: SA-300**

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I. INTRODUCTION

This procedure establishes a process for the collection, control, and preliminary review of **nuclear** material events that have been reported to NRC by the Agreement States.

II. OBJECTIVES

- A. To provide guidance for use by the Agreement States on reporting **nuclear** material events to NRC.
- B. To provide guidance to NRC staff in the collection, coordination, and preliminary review of **nuclear** material events reported by the Agreement States.

III. BACKGROUND

- A. The Atomic Energy Act (AEA) allows the Commission to enter **into** an Agreement with a State to transfer regulatory authority over certain nuclear materials. In accordance with provisions contained in the AEA and the Energy Reorganization Act, and compatible Agreement State regulations, NRC and Agreement State licensees are required to report the occurrence of incidents and events involving the use of nuclear materials to the appropriate regulatory agency. For purposes of compatibility, the Agreement States report **to NRC those** incidents and events **reported to them by their licensees or non-licensees that involve involving** the use of nuclear materials **that have been reported by Agreement State licensees, to NRC.**
- B. The information collected on exposures, medical events, lost material, equipment failures, etc., that have occurred involving the licensed and unlicensed use of nuclear materials is invaluable in assessing trends or patterns, identifying generic issues **or generic concerns**, and recognizing any inadequacies or unreliability of specific equipment or procedures. The reported information is critical for initiating a timely and effective response to security-related events and will significantly aid in understanding why the event occurred and identifying any actions necessary to improve the effectiveness of NRC and Agreement State regulatory programs. The information is also used in preparation of NRC's annual performance report to Congress, **the NRC's annual report to Congress on abnormal occurrences, and to support the United States' commitment to report to the International Atomic Energy Agency's (IAEA) international database of significant events.**

C. Nuclear Material Events Database (NMED)

NMED contains a historical collection of information on the occurrence, description, and resolution of events involving the use of radioactive nuclear material in the United States (source, byproduct, special nuclear material, ~~and in some cases, naturally occurring, and accelerator produced radioactive material~~). NMED accommodates the sharing of nuclear material event data submitted by Agreement States, ~~non-Agreement States, and~~ NRC licensees, and other non-licensed entities. NMED is ~~maintained~~ managed by ~~the NRC's Office of Nuclear Material Safety and Safeguards (NMSS) NRC's Office of Federal and State Materials and Environmental Management Programs (FSME). The NMSS NMED contractor, Idaho National Laboratory (INL),~~ is responsible for coding and quality control of information with general oversight from the NRC NMED Project Manager.

IV. ROLES AND RESPONSIBILITIES

- A. The Director, ~~Office of State and Tribal Programs (STP)~~FSME's Division of Materials Safety and State Agreements (MSSA), or designee, participates in NRC management review and evaluation of Agreement State response to nuclear material events that have been identified by NRC as requiring notification to the NRC within 24 hours of the State's discovery of the event. ~~is responsible for the collection, coordination and, in cooperation with NMSS and the Office of Nuclear Regulatory Research (RES), the review of reports of incidents and events that have occurred involving the use of nuclear materials received from the Agreement States. NMSS is the designated agency lead office for review and evaluation of material events. NRC's Nuclear Security and Incident Response (NSIR) Operations Center receives notifications of significant events. NSIR staff participates in the review and evaluation of security related material events.~~
- B. The Director, STP, participates in NRC management review and evaluation of Agreement State response to material events that have been identified by NRC as **significant** in relation to public health and safety. Branch Chief, ~~of the~~ Radioactive Materials Safety Branch (RMSB), ~~which is within~~ MSSA, or designee, is responsible, in cooperation with other Divisions within FSME, the Office of Nuclear Material Safety and Safeguards (NMSS); the Office of Nuclear Security and Incident Response (NSIR); ~~t~~The Office of Nuclear Regulatory Research (RES); and the NRC Regions, for the collection, coordination and review of reports of incidents and events reported to the NRC by the Agreement States. This includes the identification and review of events that may: 1) meet the abnormal occurrence (AO) criteria; 2) constitute a generic issue or concern; and 3) require notification to another entity such as the IAEA, or Congress. The NRC Operations Center receives notifications of events requiring notification to

NRC within 24 hours. NSIR staff participates in the review and evaluation of security-related material events.

~~E. The STP Director's Secretary is responsible for controlling STP distribution of Agreement State material event reports.~~

~~FC.~~ 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 STP-MSSA regarding Agreement State radiation control programs. STP and NMSS-RMSB staff should coordinate with the appropriate RSAO, regarding the receipt of a reportable ~~significant~~ event(s) requiring NRC notification within 24 hours ~~report~~.

~~G. STP staff should coordinate with the appropriate ASPO, responsible for providing back up staff support to the RSAO (see STP Procedure SA 117), regarding the receipt of a **significant** event report.~~

V. GUIDANCE

A. Guidance for Agreement States

Agreement States should follow the guidance presented in the Appendix to this procedure entitled, *Handbook on Nuclear Material Event Reporting in the Agreement States*.

B. Guidance for ~~STP-NRC Staff and RSAOs~~ upon Receipt of an Event Report directly from the Agreement State

1. Reports of ~~Significant EE~~ Events Requiring Notification within 24 Hours Received from Agreement States by Phone.

The following actions should be taken upon receipt of a report of an ~~significant event~~ requiring notification within 24 hours from an Agreement State ~~(i.e., events requiring 24-hour notification within 24 hours to the Headquarters Operations Center by Agreement States)~~. Receipt of such reports should occur infrequently since guidance to the Agreement States stipulates that reports ~~of significant~~ for these events should be provided directly to the NRC Operations Center at (301) 816-5100.

- a. ~~a.~~ For reports received via phone, ~~Dial the NRC Operations Center Headquarters Operations Officer (HOO) if the State has contacted you by phone and have the State representative calling in provide the event notification information directly to the HOO.~~ direct the Agreement State representative to call the NRC Operations Center's Headquarters Operations Officer (HOO) to report the event. If staff has reason to believe that the HOO was not informed, the Branch Chief, RMSB, should be contacted for follow-up with the Agreement State.
- b. For reports received via other means (e.g., fax, email, hard copy), immediately forward to the HOO ~~inform the Event Project Manager or the Project Manager's backup, the STP Director and Deputy Director.~~ STP staff should inform the RSAO.

2. ~~E-mail, FAX, or Written (Hard Copy) Event Reports~~ Reports of Events Requiring 5 - 60 Day Notification

~~a. a. Provide a copy of the written (Hard Copy) event report should be provided to the RMSB Branch Chief or designee Director and Deputy Director, STP, and the appropriate ASPO. A copy should also be sent to the NMED contractor, INL, through the STP Director's Secretary. This can be accomplished by providing the report directly to the Branch Chief, RMSB or designee, or by placing the report in NRC's Agency wide Documents Access and Management System (ADAMS) (using NRC's guidance on handling sensitive information (e.g., personal privacy, proprietary, safeguards, and/or sensitive unclassified non-safeguards information (SUNSI)), and providing the RMSB Branch Chief or designee with the ADAMS Accession Number. A copy of the event report should also be provided to the NMED contractor through the NRC NMED Project Manager. It should be noted that the Agreement States should send electronic copies using the NMED local Agreement State software, or the "Upload" function on the NMED website. Please note that if the information provided by the Agreement State includes sensitive information (e.g., personal privacy, SUNSI, etc.) the Agreement State should be asked to provide a bracketed copy of the information that identifies the information that should be protected and a redacted copy of the information that deletes such information.~~

a.

b. If it is not clear whether the report involves an event that requires notification within 24 hours, follow the procedure for reporting an event that requires reporting to the NRC within 24 hours.

~~Agreement State event reports shall be reviewed by the Events Project Manager to identify any events that may be **significant** from the standpoint of health and safety. If the event is identified as **significant** and it was not previously reported to the NRC by the Agreement State under the 24-hour reporting requirement, the Event Project Manager should notify the HOO and the appropriate RSAO. If an event indicates the possibility of a generic concern or issue, the Event Project Manager will provide notification to the Deputy Director, Division of Industrial and Medical Nuclear Safety, NMSS. NOTE: Hard copy event reports received by the RSAO shall be reviewed by the RSAO in accordance with regional procedures. The RSAO should provide a copy of the event report to the Event Project Manager. The RSAO will keep the Event Project Manager informed of the status of events that have been identified as **significant**.~~

C. Additional Guidance for RMSB Staff and RSAOs

1. NRC Regional and RMSB Event Review

- a. Regional Review: Event Reports shall be reviewed by the RSAO in accordance with regional ~~procedures~~ processes.
- b. RMSB Review: Event Reports shall be reviewed by the RMSB staff in accordance with RMSB procedures. Events are reviewed to identify:
 - (i) Any concerns or issues that, in accordance with the NRC Strategic Plan performance goals and measures, could have significant impact on public health and safety, security and/or the environment; (and as required by Congress under the Government Performance Results Act (GPRA)).
 - (ii) Events that may be reportable to another entity such as IAEA.
 - (iii) Events that meet the AO criteria, for inclusion in the annual AO report to Congress. Draft AO reports and draft reports to other entities will be coordinated with the Agreement States.
 - (iv) Events that should be forwarded to other Branches or Divisions within FSME for awareness and further assessment as warranted.

2. Reports of Events Requiring Notification Within 24 Hours

- a. Reports to NRC from Agreement States
 - (i) Events reported to the HOO shall be reviewed by RMSB, using RMSB's standard procedures for event coordination and assessment.
 - (ii) If an event is identified that was not previously reported to the NRC by the Agreement State within the 24-hour reporting requirement, RMSB should notify the appropriate RSAO. The RSAO will contact the Agreement State to obtain information and, if determined to be reportable, direct the Agreement State to report the event to the NRC

Operations Center. Conversely, the RSAO will notify RMSB if they identify such an event.

- (iii) If an event is identified as a potential AO; and/or is reportable to the International Nuclear and Radiological Event Scale (INES); or if an event indicates the possible presence of a generic concern or issue, RMSB should notify the appropriate RSAO. Conversely, the RSAO will notify RMSB if they identify such an event. The RSAO is the primary contact for resolving with the Agreement State any issues or necessary follow-up actions related to the event. RMSB is the primary contact for coordination of these issues at NRC Headquarters.
3. Reports of events requiring 5 - 60 day reporting to NRC will be placed in ADAMS, and NRC's NMED Project Manager should be notified of all non-public documents. Agreement States should not provide information that is considered to be sensitive (e.g., personal privacy, proprietary, safeguards, and/or SUNSI related). If such information is required to describe the event, the Agreement State should provide a bracketed copy of the information that identifies the information that should be protected and a redacted copy of the information that deletes such information.
 4. Requests for Additional Information
 - a. NRC staff may contact Agreement States for additional information on events that pose or could pose risks to public health and safety, security and/or the environment. Such requests, normally initiated by the RSAO or NRC's Operations Center staff, would occur on an as needed basis, possibly within hours to a few days of notification of the event occurrence.
 - b. The RSAO, or a designee, may contact Agreement States for additional event information for events not considered to pose risks to public health and safety, security and/or the environment. Standard procedure is to allow at least 30 days before making such requests to provide reasonable time for State review and evaluation, and submission of follow-up information. 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. Agreement States Updates to NMED

- a. Agreement States are requested to update the NMED event record in a timely manner until the event has been resolved and closed.
- b. Periodically, NRC staff may be requested by management to provide information regarding the status of event reporting by the Agreement States. Information provided by the Agreement State and collected and maintained in NMED should be used by staff to evaluate the effectiveness and completeness of Agreement State event information. See FSME Procedure SA-100, *Implementation of the Integrated Materials Performance Evaluation Program (IMPEP)* and SA-105, *Reviewing the Common Performance Indicator, Technical Quality of Incident and Allegation Activities*.

VI. APPENDIX

Handbook on Nuclear Material Event Reporting in the Agreement States.

VII. REFERENCES

1. *Policy Statement on Adequacy of and Compatibility of Agreement State Programs*, published in the Federal Register, 62 FR 46517 (September 3, 1997).
2. NRC Management Directive 5.6 *Integrated Material Performance Evaluation Program (IMPEP)*, February 26, 2004.
3. NRC Management Directive 6.4, *Generic Issues Program*, ~~December 4, 2004~~ November 17, 2009.
4. NRC Management Directive 8.1, *Abnormal Occurrence Reporting Procedure*, ~~August 21, 1997~~ September 9, 2011.
5. NRC Management Directive 8.5, *Operational Safety Data Review*, December 23, 1997.
6. ~~STP-FSME~~ Procedure SA-100, *Implementation of the Integrated Materials Performance Evaluation Program (IMPEP)*.
7. ~~STP-FSME~~ Procedure SA-105, *Reviewing the Common Performance Indicator #5, Technical Quality of Response to Incidents and Allegations Activities*.

~~STP Procedure SA-117, Agreement State Project Officers (ASPOs).~~

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 ADAMS are listed below.

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No.	Date	Document Title/Description	Accession Number
1	12/7/00	STP-00-084, Opportunity to Comment on Draft Revisions to STP Procedure SA-300	ML012500411
2	5/23/01	STP-01-045, Final Revisions to SA-300	ML011450316
3	5/23/01	STP Procedure SA-300	ML011450424
4	8/30/05	STP-05-064, Opportunity to Comment on Draft Revisions to STP Procedure SA-300	ML052420717
5	3/8/06	STP-06-021, Availability of Final Revisions to SA-300	ML060670592
6	03/8/06	STP Procedure SA-300, Reporting Materials Events	ML081690879
7	1/11/10	FSME-10-002, Opportunity to Comment on Draft Revisions to FSME Procedure SA-300	ML093370257