



Office of Federal and State Materials and Environmental Management Programs (FSME) Procedure Approval

Format for FSME Procedures **AD-100**

Issue Date: **February 23, 2011**

Review Date: **February 23, 2014**

Robert J. Lewis, Director,
*Division of Materials Safety
and State Agreements*

/RA/

Date: 02/11/2011

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*Division of Intergovernmental
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/RA/

Date: 02/17/2011

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Procedure Contact,
*Division of Materials Safety
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/RA/

Date: 02/2/2011

ML110330161

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:
Format for FSME Procedures
Procedure Number: AD-100

Page: 1 of 4

Issue Date:
2/23/2011

I. INTRODUCTION

This procedure establishes the format and content requirements for procedures previously incorporated into the Office of State and Tribal Programs (STP) Procedure Manual. On October 1, 2006, the functions of STP were incorporated into the Office of Federal and State Materials and Environmental Management Programs (FSME).

II. OBJECTIVE

To provide guidance to FSME staff regarding the creation and update of standardized FSME procedures that address State Agreement and State Liaison activities. A procedure categorization, numbering system, format outline and content definition are addressed in this procedure.

III. BACKGROUND

Within FSME, the Division of Materials Safety and State Agreements (MSSA) and the Division of Intergovernmental Liaison and Rulemaking (DILR) have the majority of the office-related functions which were previously the responsibility of STP. Both Divisions share the responsibilities for these procedures. (See FSME [Letter 06-094](#), issued October 6, 2006, for additional information on the organization of FSME.)

The intent of FSME procedures is to provide guidance for the implementation and coordination of all major office-related activities relating to State interactions, a number of which are generally addressed in the NRC Management Directives.

IV. ROLES AND RESPONSIBILITIES

- A. The Directors of MSSA and DILR, are responsible for review and approval of the appropriate procedures and revisions, as well as for assigning procedure review dates to those areas under the responsibility of their respective Divisions. Both Division Directors will approve procedures that pertain to both divisions, such as the AD-100, Format for FSME Procedures.
- B. The Branch Chiefs of MSSA and DILR, are responsible for assigning staff as lead procedure contacts and for review and concurrence in procedures and revisions assigned to their respective Divisions. Branch Chiefs will approve procedures that pertain only to their division.
- C. Each FSME staff Procedure Contact is responsible for tracking and updating their assigned procedure(s). Additionally, each FSME staff Procedure Contact should complete a review of their assigned procedure(s) within three months of the original review due date and develop recommended changes to the procedure, as well as a schedule for completion, for MSSA or DILR management review and approval.

- D. The FSME External Procedure Coordinator is responsible for providing interim procedure review to ensure overall coordination of the procedure update process and for tracking procedure status. The FSME External Procedure Coordinator is responsible for forwarding an electronic copy to the contractor for inclusion on the FSME's Home Page. The FSME External Procedure Coordinator is also responsible for rescinding outdated procedures at the direction of FSME management.

V. GUIDANCE

- A. Each FSME procedure will fall into one of the following categories, as noted in Appendix A: Administrative (AD), State Agreements (SA), State Liaison (SL) and Background (BK).
1. The content of procedures under AD, SA, and SL will contain the following entries (followed by *Not Applicable*, where appropriate): Introduction, Objectives, Background, Roles and Responsibilities, Guidance, Appendices and References, and Agencywide Documents Access and Management System (ADAMS) Reference Documents, if applicable.
 2. Reviews and approvals will be covered under Roles and Responsibilities or in the Guidance sections.
 3. The content of procedures under BK will contain the following entries: Program Description, Statutory Authority, Regulatory Authority and Policy Statements.
- B. FSME procedures will use NRC standards for document preparation. As of 2011, all documents should be prepared using the NRC's standard word processing software, Microsoft Word with font Arial 11 for the text of FSME procedures.
- C. The FSME Procedure Manual Table of Contents will follow the example in Appendix B, and will include the current FSME procedure number, title, date of issuance, and review date. The current web version of FSME Procedure Manual Table of Contents can be found on the FSME's Home Page.
- D. The first page of each procedure will be preceded by an approval sheet and will follow the appropriate example in Appendix C.
- E. The first page header for each procedure will follow the example contained herein to include the NRC seal, FSME procedure title and number, page number and issue date. Subsequent pages of each procedure will contain a modified header and include the procedure number and title, page number and issue date.
- F. A Comment Resolution Document will be prepared, following the example in Appendix D, by the designated FSME Procedure Contact, to show the disposition of procedure comments. This document will be included as background to the final procedures.
- G. To avoid confusion that may result from single-page replacements, revised procedures are to be issued in their entirety.

- H. Lengthy, detailed procedures may benefit from the use of procedure-related handbooks. Handbooks become a permanent part of FSME procedures and should be clearly marked and cited as appendices. Handbook format should follow the example in SA-300, Handbook on Nuclear Material Event Reporting in the Agreement States.
- I. Reviews
1. Designated FSME Procedure Contacts will review and revise assigned procedures, as needed. The designated FSME Procedure Contacts will prepare a track change version of the document for the review and comment process. The cycle for review will be determined by the review date and will be not less than one year and not more than three years.
 2. The FSME External Procedure Coordinator will provide interim procedure review and ensure overall coordination of the procedure update process.
 3. New procedures concerning the Agreement States and State Liaison programs, or those procedures requiring significant revisions, will be distributed for review and comment to FSME staff, Regional State Agreements Officers, Regional State Liaison Officers and other persons designated by the appropriate Division Director, FSME (e.g., Agreement States).
 4. Designated FSME Procedure Contacts will prepare a Comment Resolution Document only when comments are requested and received. The Comment Resolution Document will address reviewer comments and serve as background to the final procedures (See Appendix D). The Designated FSME Procedure Contact will also prepare the final tracked changes version of the procedure from the previous revision to serve as background to the final procedure.
- J. Approvals
1. FSME procedures will have FSME Procedure Approval sheets as cover pages (see Appendix C). Signatures on the approval sheet will include the Division Director, Branch Chief, and the FSME Procedure Contact of the responsible division. For procedures that pertain to both divisions, such as the AD-100, the signature on the approval sheet will be both Division Directors and the FSME Procedure Contact. The package will consist of Routing and Transmittal Slip (see Appendix E), the final version of the FSME Procedure, tracked changes version and Comment Resolution Document.
 2. Final versions of FSME procedures will be submitted to the appropriate Division Director, in FSME, for approval.
 3. The issue date for a FSME procedure should be within 30 days of the date the appropriate Division Director, FSME, signs the FSME Procedure Approval sheet. The revised procedure will be effective within 30 days of the issue date, at the discretion of the FSME External Procedure Coordinator. During the review period, the currently approved version of the procedure is still in effect until the revised procedure is finalized.

4. Final FSME Procedures, Tracked Changes Version of FSME Procedures and Comment Resolution Documents will be placed in ADAMS.
5. The final version of the FSME Procedure, tracked changes version and Comment Resolution Document will be electronically available on the FSME Home Page. Notification of final versions of Procedures with significant impacts concerning the Agreement States and State Liaison programs will also be made to the appropriate State contacts.

VI. APPENDICES

Appendix A - FSME Procedure Manual Code Categories
Appendix B - FSME Procedure Manual Table of Contents
Appendix C - FSME Procedure Approval
Appendix D - FSME Sample Comment Resolution Document
Appendix E - Routing and Transmittal Slip

VII. REFERENCES

FSME Procedure - [SA-300](#), *Handbook on Nuclear Material Event Reporting in the Agreement States*

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.

No.	Date	Document Title/Description	Accession Number
1	5/31/01	STP Procedure AD-100, Format for STP Procedures	ML011870278
2	11/20/06	FSME Procedure AD-100, Format for FSME Procedures	ML070770002

Appendix B

FSME Procedure Manual

Code Categories

Code	Description
BK	Background
	100 NRC Agreement State Program Description Documentation
SA	State Agreements
	100 Integrated Material Performance Evaluation Program (IMPEP)
	200 Compatibility Categories and Health and Safety Identification for NRC Regulations and Other Program Elements
	300 Reporting Material Events
	400 Management of Allegations
	500 Jurisdiction Determinations
	600 Training Criteria for Agreement State Personnel
	700 Processing a Request for an Agreement
	800 Providing NRC Predecisional Documents to Agreement States and Appropriate Working Groups of the Conference of Radiation Control Program Directors, Inc.
	900 Termination of Uranium Mill Licenses in Agreement States
	1000 Rescinded
	1100 Interactions with the Organization of Agreement State and Conference of Radiation Control Program Directors Inc.
SL	State Liaison
	100 State, Local, and Tribal Government and Organizational Liaison Program
	200 Updating List of Governors' Designees for Advance Notification of Nuclear Waste Shipments
AD	Administrative Support
	100 Format for FSME Procedures
	200 Format for FSME and RCPD Letters
	300 Reserved
	400 Rescinded
	500 Invitational Travel/Authorizations and Vouchers
	600 Integrated Materials Performance Evaluation Program (IMPEP) Staff Procedures
	700 Rescinded
	800 Communications Between FSME/Regional Offices and the Agreement States
TI	000 Temporary Instruction

Appendix B

Office of Federal and State Materials and Environmental Management Programs (FSME) Procedure Manual Table of Contents

Procedure Number	Subject	Issue Date	Review Date
<i>FSME Program Background (BK) Series</i>			
BK-100	Program Description Documentation	01/07/11	01/07/14
<i>State Agreements (SA) Series</i>			
SA-100	Implementation of the Integrated Materials Performance Evaluation Program (IMPEP)	02/01/07	02/01/10
SA-101	Reviewing Common Performance Indicator, Status of Materials Inspection Program	07/23/07	07/23/10
SA-102	Reviewing Common Performance Indicator, Technical Quality of Inspections	07/23/07	07/23/10
SA-103	Reviewing Common Performance Indicator, Technical Staff and Training	03/05/10	03/05/13
SA-104	Reviewing Common Performance Indicator, Technical Quality of Licensing Actions	05/14/07	05/14/10
SA-105	Reviewing Common Performance Indicator #5, Response to Incidents and Allegations	02/18/10	02/18/13
SA-106	Management Review Board	05/14/07	05/14/10
SA-107	Reviewing Non-Common Performance Indicator #1, Legislation and Program Elements Required for Compatibility	03/27/08	03/27/11
SA-108	Reviewing the Non-Common Performance Indicator, Sealed Source and Device Evaluation Program	01/22/10	01/22/13
SA-109	Reviewing the Non-Common Performance Indicator, Low-Level Radioactive Waste Disposal Program	01/22/10	01/22/13
SA-110	Reviewing the Non-Common Performance Indicator, Uranium Recovery Program	01/22/10	01/22/13
SA-111	Implementation of Management Directive 5.10, Formal Qualifications for IMPEP Team Members	02/22/07	02/22/10
SA-112	Emergency Suspension of Section 274b Agreement	09/25/07	09/25/10
SA-113	Placing an Agreement State on Probation	02/24/10	02/24/13
SA-114	Suspension of a Section 274b Agreement	09/25/07	09/25/10
SA-115	Termination of a Section 274b Agreement	09/25/07	09/25/10
SA-116	Periodic Meetings with Agreement States Between IMPEP Reviews	06/03/09	06/03/12

Procedure Number	Subject	Issue Date	Review Date
SA-117	Agreement State Project Officers (ASPOs)	Rescinded	
SA-118	Orientation Meeting for New Agreement States	03/19/10	03/19/13
SA-119	Follow-up IMPEP Reviews	09/25/07	09/25/10
SA-120	Agreement State Participation as IMPEP Team Members	05/04/10	05/04/13
SA-121	Agreement State Liaison to the Management Review Board	06/16/09	06/16/12
SA-122	Heightened Oversight and Monitoring	02/24/10	02/24/13
SA-200	Compatibility Categories and Health and Safety Identification for NRC Regulations and Other Program Elements	06/05/09	06/05/12
SA-201	Review of State Regulatory Requirements	07/27/07	07/27/10
SA-300	Reporting Material Events	03/08/06	03/08/09
SA-400	Management of Allegations	01/22/01	01/22/04
SA-500	Jurisdiction Determinations	09/25/07	09/25/10
SA-600	Training Criteria for Agreement State Personnel	12/21/07	12/21/10
SA-700	Processing an Agreement	07/19/07	07/19/10
SA-800	Providing NRC Predecisional Documents to Agreement States and Appropriate Working Groups of the Conference of Radiation Control Program Directors, Inc.	04/25/07	04/25/10
SA-900	Termination of Uranium Mill Licenses in Agreement States	05/17/10	05/17/13
SA-1000	Implementation of the Grant Program for Funding Assistance for Formerly Licensed Sites in Agreement States	Rescinded	
SA-1100	Annual Organization of Agreement State and Conference of Radiation Control Program Directors Inc. Commission Briefing	12/18/03	12/18/06
SA-1101	Monthly U.S. Nuclear Regulatory Commission Organization of Agreement States Conference of Radiation Control Program Directors, Inc. Teleconference	02/25/09	02/25/11
<i>FSME State Liaison (SL) Series</i>			
SL-100	Regional State Liaison Officers (RSLOs)	07/14/10	07/14/13
SL-200	Updating List of Governors' Designees for Advance Notification of Nuclear Waste Shipments	09/30/09	09/30/12
<i>FSME Administrative Support (AD) Series</i>			
AD-100	Format for FSME Procedures	11/20/06	11/20/09
AD-200	Format for FSME and RCPD Letters	10/25/10	10/25/13

Procedure Number	Subject	Issue Date	Review Date
AD-300	Reserved		
AD-400	OSP Staff Training	Rescinded	
AD-500	Invitational Travel/Authorization and Vouchers	11/01/10	11/01/13
AD-600	Administrative Staff Support Under the Integrated Materials Performance Evaluation Program (IMPEP)	03/22/10	03/22/13
AD-700	STP Information Quality Guidelines	Rescinded	
AD-800	Communications Between FSME/Regional Offices and the Agreement States	10/15/09	10/15/12
<i>FSME Temporary Instruction (TI)</i>			
TI-001	Implementation of Increased Controls	03/28/06	03/27/07
TI-002	Integration of Increased Controls of the Integrated Materials Performance Evaluation Program (IMPEP)	03/28/06	03/28/07

Appendix C



FSME Procedure Approval (*FSME Procedure Title*) (*FSME Procedure Number*)

Issue Date:

Review Date:

Director, MSSA

Date:

Director, DILR

Date:

Procedure Contact, FSME Division

Date:

MLXXXXXXXXX

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.

FSME Procedure Approval



(FSME Procedure Title)
(FSME Procedure Number)

Issue Date:

Review Date:

Director, MSSA ***Date:***

Branch Chief, MSSA ***Date:***

Procedure Contact, MSSA ***Date:***

MLXXXXXXXXX

NOTE

Any changes to the procedure will be the responsibility of the FSME Procedure Contact.

FSME Procedure Approval

Copies of the FSME procedures are available through the NRC website.

FSME Procedure Approval



(FSME Procedure Title)
(FSME Procedure Number)

Issue Date: _____

Review Date: _____

Director, DILR _____ ***Date:*** _____

Branch Chief, DILR _____ ***Date:*** _____

Procedure Contact, DILR _____ ***Date:*** _____

MLXXXXXXXXXX

NOTE

Any changes to the procedure will be the responsibility of the FSME Procedure Contact.

FSME Procedure Approval

Copies of the FSME procedures are available through the NRC website.

Appendix D

Comment Resolution Document

Summary of Comments Received on SA-XXX, "TITLE OF PROCEDURE"

I. Sent to the Agreement States for Comment: [Month, day, year] (FSME-YY-XXX)

Comments Dated: [State Name], Date (letter)
[State Name], Date (email)
[Other State Stakeholders, e.g., Organization of Agreement States (OAS)], Date (markup)

Response to/Resolution of Comments:

[State Name]

Comment 1: On page 1, item III, Background: "The authority for review of Agreement States . . ." State should be plural.

Response: This correction will be made.

Comment 2: On page 2, item IV.B.1, Division Director, MSSA: The Division Director of MSSA also "assigns IMPEP Team Leader for Agreement State reviews."

Response: We agree with the intent of the comment and revise the procedure to include in the guidance that the Division Director, MSSA, approves the assignment of IMPEP team leaders for Agreement State reviews.

Comment 3: On page 4, item IV.I.1, IMPEP Team Member: Should be "Completes the review of assigned indicator(s) and writes corresponding section(s) of the IMPEP report;" to avoid singular/plural problem with subject (IMPEP Team Member) and double use of plural "their."

Response: This correction will be made.

Comment 5: On page 5, item V.A.2 and 3, Follow-up Reviews and Periodic Meetings with Agreement States Between IMPEP Reviews: References two FSME Procedures that do not appear in the list of references on Page 23. Also, I did not find these procedures (SA-1 16 and SA-1 19) in my collection, nor did I find them (easily) at the FSME web site. Have these been distributed to the Agreement States for review and comment? I must have missed them.

Response: SA -116, "Periodic Meetings with Agreement States Between IMPEP Reviews" is a reference that will be added to the list of references in the procedure. This document has been previously distributed to the Agreement States for review and comment and has been finalized. It is available on the FSME web page under procedures. SA-119, "Follow-up Integrated Materials Performance Evaluation (IMPEP) Reviews" is a new procedure under development and is scheduled to be sent to the Agreement States for review in late FY 200X and finalized in FY 200X. We are also including this reference to the guidance, although the document is not yet available.

Comment 6: On page 5, item V.A.4, Special Meetings: Discusses "special meetings," providing some criteria for determining when to hold one, but does not indicate who makes the decision to do so.

Response: Item V.A.4.b. has been revised as follows:

A special meeting for a State or NRC Region may be scheduled upon request by NRC or when requested by the State or Region based on NRC's evaluation of the need for such a meeting.

[State Name]

Comment: I have read the draft FSME Procedure SA-100, Implementation of the Integrated Materials Performance Evaluation Program and have no comments.

Response: No response is necessary.

[Other State Stakeholders, e.g., Organization of Agreement States (OAS)]

Comment 1: This document does not appear to include provisions for audits of NRC Headquarters such as the sealed source and device reviews. As the Department understands it, these are to be routine audits conducted under IMPEP. Please include these in the SA-100 procedure.

Response: At the present time, Management Directive (MD) 5.6 does not include reviews of NRC Headquarter functions. Although an IMPEP type review of the SS&D headquarters function was performed in 1999 using the guidance and procedures developed for the Agreement States and Regional reviews, current practice is to implement MD 5.6 as written. When the results of the SS&D working group and re-engineering of the SS&D program are available, staff will revisit this issue. There will be no change to the procedure based on this comment.

Comment 2: In Section V(C)(2), page 7, if this is a process involving a partnership in the audit of regulatory programs, the option of including additional Agreement State personnel on review teams should be provided, particularly for sealed source and device reviews of NRC.

Response: We will revise this section to allow flexibility in the number of IMPEP team members including additional Agreement State personnel based on the individual State or Region.

II. Sent to the NRC Offices for Comment: January XX, 2001

Comments Dated: Region [X], Date (email)
[NRC office, e.g., OGC], Date (email)

Region [X]

Comment 1: On page 2, item IV.D, Senior Project Manager for IMPEP Coordination, STP: Duties should also include staffing of IMPEP reviews and provide refresher and initial training for IMPEP members.

Response: We agree with this comment and will revise the guidance accordingly.

Comment 2: On page 6, item V.C.2, Routine IMPEP Reviews: Staffing for Agreement State reviews is normally three (for smaller States) or four (for larger States). Additionally, throughout the document, references to Regional NMSS should be changed to "Region or NRC Region."

Response: We agree with this comment and will revise the procedure to indicate there is flexibility in the number of team members, depending on the size of the program. The procedure will be revised to change Regional NMSS to Region.

[NRC office, e.g., OGC]

Comment: In Section IV(I), page 4, include additional duties of IMPEP team members such as interviews with appropriate staff and inspection accompaniments.

Response: The procedure notes that the IMPEP team member "Conducts the review of all indicators in accordance with the applicable OSP procedures" and does not repeat the detailed information, which includes guidance on interviews and inspector accompaniments found in SA-101 through SA-105. There will be no change to the procedure based on this comment.

Appendix E

ROUTING AND TRANSMITTAL SLIP OFFICE OF FEDERAL AND STATE MATERIALS AND ENVIRONMENTAL MANAGEMENT PROGRAMS

NAME	INITIALS	DATE
Procedure Contact Name, Branch, Division		MM/DD/YYYY
FSME External Procedure Coordinator Name, Branch, Division		MM/DD/YYYY
Branch Chief Name, Branch, Division		MM/DD/YYYY
Editor, FSME		MM/DD/YYYY
Deputy Director, Division		MM/DD/YYYY
Director, Division		

WITS/EDATS/FSME TICKET NO(s): None

DUE TO DIVISION: **Request signature by Director, Division by [Date]**

DUE TO FSME: N/A

REMARKS: **FSME Procedure XX-NNN, [Procedure Name]**

ADAMS: MLXXXXXXXX (Pkg)

Reminders (check if included):

- ADAMS Form 665 must** be attached to all packages if the document(s) are placed in ADAMS and are being provided to the FSME Front Office for concurrence and/or signature.
- FSME Front Office Group must** be given "owner" rights to the document(s) in ADAMS that are being provided to the FSME Front Office for concurrence and/or signature.

FSME External Procedure Coordinator: [Name] PHONE: xxx-xxx-xxxx

Return to FSME External Procedure Coordinator for Distribution
