



UNITED STATES  
NUCLEAR REGULATORY COMMISSION  
WASHINGTON, D.C. 20555-0001

(FSME-12-051, June, Program, Management Directive and Handbook 5.7)

June 08, 2011

ALL AGREEMENT STATES

OPPORTUNITY TO COMMENT ON DRAFT REVISION TO MANAGEMENT DIRECTIVE AND HANDBOOK 5.7, "TECHNICAL ASSISTANCE TO AGREEMENTS STATES" (FSME-12-051)

**Purpose:** To provide the Agreement States with the opportunity to comment on the proposed revisions to the Management Directive and Handbook 5.7, "Technical Assistance to Agreement States".

**Background:** Proposed revision of Management Directive and Handbook 5.7, "Technical Assistance to Agreement States" with tracked changes.

**Discussion:** Enclosed for your review and comment are the draft revisions to Management Directive and Handbook 5.7, "Technical Assistance to Agreement States". The revisions reflect organizational changes and align policies, requirements, and procedures. In particular, this revision recognizes the Office of Federal and State Materials and Environmental Management Programs (FSME). We would appreciate receiving your **comments\* within 30 days from the date of this letter.**

If you have any questions regarding this communication, please contact me at 301-415-3340 or the individual named below.

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Office of Federal and State Materials  
and Environmental Management Programs

Enclosure:  
Management Directive and Handbook 5.7,  
"Technical Assistance to Agreement States"  
with tracked changes

\*This information request has been approved by OMB 3150-0029 expiration 11/30/2013. The estimated burden per response to comply with this voluntary collection is approximately 8 hours. Send comments regarding the burden estimate to the Records and FOIA/Privacy Services Branch (T-5F52), U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001, or by Internet e-mail to [infocollects@nrc.gov](mailto:infocollects@nrc.gov), and to the Desk Officer, Office of Information and Regulatory Affairs, NEOB-10202 (3150-0029), Office of Management and Budget, Washington, DC 20503. If a means used to impose an information collection 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.

**U.S. NUCLEAR REGULATORY COMMISSION MANAGEMENT DIRECTIVE (MD)**

<b>MD 5.7</b>	<b>TECHNICAL ASSISTANCE TO AGREEMENT STATES</b>	<b>DT-XX-XX</b>
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<i>Volume 5:</i>	Governmental Relations and Public Affairs
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<i>Approved By:</i>	[Name and Title of Approving Official]
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<i>Date Approved:</i>	Month X, 200X [Date of Final Approval]
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<i>Issuing Office:</i>	Office of <del>and Tribal</del> <b>Federal and State Materials and Environmental Management Programs</b> <b>Division of Materials Safety and State Agreements</b> <b>Agreement State Programs Branch</b>
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**EXECUTIVE SUMMARY**

Management Directive 5.7 is being revised to update the name of the Office of ~~and Tribal~~ **Federal and State Materials and Environmental Management Programs**, ~~to add a handbook to describe the process for submission and review of requests for NRC technical assistance, and to clarify when NRC technical assistance will be provided on a cost-reimbursable basis.~~

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## I. POLICY

It is the policy of the U.S. Nuclear Regulatory Commission to provide technical assistance to Agreement States, as appropriate, as authorized under Section 274 of the Atomic Energy Act of 1954, as amended. Directive and Handbook 5.7 describe the types of NRC technical assistance available to the Agreement States, and the steps that NRC staff shall follow in determining the appropriate type of response to a request for technical assistance received from an Agreement State.

## II. OBJECTIVES

- To provide guidance to NRC and Agreement State management on the submission and review of requests for NRC technical assistance.
- To establish guidance in determining when and if NRC should provide routine, special, or programmatic technical assistance to Agreement States.
- To establish a process for determining the extent and conduct of this assistance.

## III. ORGANIZATIONAL RESPONSIBILITIES AND DELEGATIONS OF AUTHORITY

### A. Commission

Approves policy matters related to providing technical assistance to Agreement States.

### B. Executive Director for Operations (EDO)

Provides oversight of the activities described herein.

### C. Director, Office of ~~Federal and State~~ **Federal and State and Tribal Materials and Environmental Management Programs (STPFSME)**

1. Coordinates the review of technical assistance requests from Agreement States with regional administrators and directors of affected program offices.
2. Reviews technical assistance requests to ensure that they are consistent with Commission policy and that they contain—
  - (a) Sufficient information to enable NRC to provide adequate technical response to the issues addressed in the State's request, such as an evaluation of the issue and, if appropriate, a proposed resolution.
  - (b) Evidence that the State had pursued alternative means of addressing the issue on its own, including attempting to obtain assistance from other agencies within the State, other Agreement States, or independent organizations such as the

Conference of Radiation Control Program Directors (CRCPD), the Organization of Agreement States (OAS), or procuring consultants or contractors.

3. Coordinates any recommendations on the requests and provides the agency response to the State, as appropriate.
4. Ensures that appropriate headquarters and regional offices have an opportunity to provide input into the development of the response to the request.
5. Assists office directors and regional administrators in determining the appropriate means for providing the assistance, including the level of staff involvement and the timing of the agency response.
6. Plans, schedules, and arranges meetings with the State to coordinate the assistance.
7. On assistance requests, other than those received directly by a region or other offices, responds to the State, identifies an NRC contact, and provides a schedule for accomplishing the assistance.

#### **D. Office Directors and Regional Administrators**

1. Advise the Director of **STPFSME** and other affected offices of initial inquiries from States about technical assistance.
2. Evaluate the ability of their respective offices and regions to respond to technical assistance requests from the Agreement States and provide this information to **STPFSME**.
3. Participate in meetings with State officials as required to clarify the assistance request and to ensure a timely and appropriate response to the request.
4. Approve and provide the requested assistance in the timeframe agreed upon.
5. When additional clarification of the request is necessary, the lead office responding to the technical assistance request (most often the office reviewing the initial inquiry) obtains clarification either orally or in writing from the State and prepares correspondence confirming the agreed-upon technical assistance.
6. Ensure that neither NRC nor its contractors and/or consultants will act in a decision making capacity when providing technical assistance or responding to a request for technical assistance from an Agreement State.

#### **IV. APPLICABILITY**

Management Directive (MD) 5.7 does not apply to technical assistance provided by NRC to both Agreement and non-Agreement States when responding to radiological emergencies under the Federal Radiological Emergency Plan (FRERP). MD 5.7 also does not apply to special circumstances in which NRC may voluntarily offer to provide technical assistance to Agreement states, for example, to help analyze and investigate a significant incident or event.

The policy and guidance in this directive and handbook apply to all NRC employees.

## **V. DIRECTIVE HANDBOOK**

Handbook 5.7 provides guidance to the staff of NRC and the Agreement States on the submission and review of requests for NRC technical assistance.

## **VI. REFERENCES**

### *Nuclear Regulatory Commission Documents*

Commission Policy Statements—

Criteria for Guidance of States and NRC in Discontinuance of NRC Regulatory Authority and Assumption Thereof by States through Agreement (46 FR 7540, January 22, 1981, as amended by policy statements at 46 FR 36969, July 16, 1981, and 48 FR 33376, July 21, 1983).

NRC “Statement of Principles and Policy for the Agreement State Program; Policy Statement on Adequacy and Compatibility of Agreement State Programs” (62 FR 46517, September 3, 1997).

Management Directives—

5.6, “Integrated Materials Performance Evaluation Program (IMPEP).”

5.9, “Adequacy and Compatibility of Agreement State Programs.”

### *United States Code*

Atomic Energy Act of 1954, as amended (42 U.S.C. 2011 et seq.).

**U.S. NUCLEAR REGULATORY COMMISSION MANAGEMENT DIRECTIVE (MD)**

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**I. REQUESTS FOR TECHNICAL ASSISTANCE FROM AGREEMENT STATES**

**A. General**

NRC provides three types of technical assistance to Agreement States: routine, special, and programmatic. Routine technical assistance is provided as part of NRC’s daily

interaction with States, special technical expertise assistance may require specific assignment of NRC staff or consultants for a specified period and for a specific job, and programmatic technical assistance is addressed as part of the Integrated Materials Performance Evaluation Program (IMPEP) process.

#### **B. Requests for Routine Technical Assistance**

Under usual circumstances, routine technical assistance is provided to Agreement States as a regular part of NRC's day-to-day interaction with States. This assistance may include, but is not limited to, the discussion of technical issues regarding licensing and compliance. Routine technical assistance may be discussed as part of routine communication and exchange of information between NRC and the Agreement States, or a State may submit the request in an e-mail file or in a letter to the appropriate NRC regional office or the Director of ~~STP~~the Office of Federal and State Materials and Environmental Management Programs (FSME).

7. Examples of routine technical assistance include requests for and the sharing of information on licensing, inspection, and enforcement activities. The information could include provision or clarification of NRC policy and guidance such as 10 CFR regulations, NUREG-series reports, regulatory guides, sealed source and device (SS&D) technical specifications, or licensing and inspection guidance.
8. NRC staff may perform confirmatory reviews of portions of completed State technical assessments, on a case-by-case basis, when resources are available. For example, a State may have completed an SS&D review that identified unusual specifications. The State may share the completed review with NRC and may ask if the NRC has any previous experience with the unusual specifications, or a State may ask NRC to perform a confirmatory review of the States' results regarding the unusual specification.
9. Another example could involve an inquiry from a State regarding its interpretation and implementation of a specific State regulation and whether NRC would interpret the equivalent NRC regulation in a similar manner.

#### **C. Requests for Special Technical Expertise Assistance**

1. Circumstances may arise that require a response above the routine level of interaction with States. A State may not have the special technical expertise that is required to address a particular need, or a State may experience a temporary constraint on resources. Consequently, a State may request direct special technical assistance from NRC that would involve NRC licensing and inspection staff conducting independent licensing and inspection activities for the State, for a specified period and for a specific job. Such assistance may also include the services of an NRC consultant. Direct technical assistance to an Agreement State in these circumstances will be conducted on a case-by-case basis when NRC believes that such assistance is necessary. The provision of such assistance will be based on the availability of staff

resources and any assistance will be cost-reimbursable. The appropriate regional office or the Director of **STPFSME** will designate projects as special technical expertise projects.

2. To request NRC special technical expertise assistance, a State should submit a letter to the appropriate NRC regional office or the Director of **STPFSME** requesting the specific assistance (specify period and specific job) certified by a State manager (radiation control program director, agency head, or other equivalent manager) that the necessary resources or technical expertise is not available within the State. The State should also include evidence that the State pursued alternative means of addressing the issue on its own, including attempting to obtain assistance from other agencies within the State, other Agreement States, or independent organizations, such as the Organization of Agreement States (OAS), the Conference of Radiation Control Program Directors (CRCPD), or procuring contractors or consultants.

#### **D. Requests for Programmatic Technical Assistance**

1. Programmatic issues may arise in an Agreement State that impact resources such as staffing, funding, and/or equipment, and, as a result, impact the Agreement State program's ability to maintain a program that is adequate and compatible with NRC's program. Under such circumstances, a State may request NRC technical assistance through the process described above for Section (C), "Requests for Special Technical Expertise Assistance." Direct technical assistance to an Agreement State in these circumstances will be conducted on a case-by-case basis when NRC believes that such assistance is necessary because of a lack of adequate State resources and to ensure adequate protection of the public health and safety. The provisions of such assistance will be based on the availability of staff resources and any assistance will be cost-reimbursable. In providing such technical assistance to Agreement States, NRC will concentrate its resources on those areas that an Agreement State may not be able to address through its own expertise or contractual support for its program. This assistance may involve support in the licensing and/or inspection aspects of the State's regulatory program. NOTE: Nothing in this section shall be construed as affecting the authority of any State. All regulatory decisions remain the responsibility of the Agreement State.
2. Programmatic issues are addressed as part of the IMPEP review process. IMPEP, under which NRC conducts a performance review of each NRC region and each Agreement State on a periodic basis, is described in Management Directive 5.6.