



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

Follow-up IMPEP Reviews

SA-119

Issue Date: , 2007

Review Date: , 2010

~~Paul H. Lohaus~~ **Janet R. Schlueter** Original signed by:
Director, STP DMSSA, FSME ~~Paul H. Lohaus~~ **Janet R. Schlueter** Date: / /07

~~Frederick C. Combs~~ **Scott W. Moore** Original signed by:
Deputy Director, STP DMSSA, FSME ~~Frederick C. Combs~~ **Scott W. Moore** Date: / /07

~~Kathleen N. Schneider~~ **Osiris Siurano** Original signed by
Procedure Contact, STP FSME ~~Lance J. Rakovan~~ *Acting for* Date: / /07
Osiris Siurano

NOTE

This procedure was formerly issued by the Office of State and Tribal Programs. The (STP) Director's Secretary is responsible for the maintenance of this master copy document as part of the STP Procedure Manual. Any changes to the procedure will be the responsibility of the STP Federal and States Materials and Environmental Management Programs (FSME) Procedure Contact as of October 1, 2006. Copies of STP this procedures will be distributed for information available through NRC's website.

| | | |
|---|--|--|
|  | Procedure Title: <i>Follow-up IMPEP Reviews</i> Procedure Number: SA-119 | Page: 1 of 12 Issue Date: / /07 |
|---|--|--|

I. INTRODUCTION

- A. This document describes the procedures for conducting follow-up reviews of the U.S. Nuclear Regulatory Commission (NRC) Regional and Agreement State materials programs under the Integrated Materials Performance Evaluation Program (IMPEP), including scheduling, assigning personnel for, and reporting the results of the reviews.
- B. Depending on the findings of an IMPEP review, the Management Review Board (MRB) may direct that a follow-up IMPEP review take place. The scope of the follow-up review will be dependant on the areas of the program identified as in need of improvement.

II. OBJECTIVES

To provide the guidelines that will be followed by IMPEP teams when preparing, conducting, and reporting results of follow-up IMPEP reviews of NRC Regional and Agreement State materials programs.

III. BACKGROUND

As of October 1, 2006, NRC reorganized its nuclear materials and Agreement State programs into two new program offices. The newly created Office of Federal and State Materials and Environmental Management Programs (FSME) is comprised of the former Office of State and Tribal Programs and two technical divisions from the Office of Nuclear Material Safety and Safeguards. NRC Regional and Agreement State materials programs are reviewed at least every four years under IMPEP. The MRB may direct that a follow-up review be conducted prior to the standard four-year interval. A follow-up review will normally occur **during or** after a period of heightened oversight and will be conducted to evaluate the program's response to previous IMPEP recommendations and to evaluate the status of any indicator found satisfactory with recommendations for improvement or unsatisfactory during the last IMPEP review. The follow-up review can also be used to evaluate all of the common and applicable non-common performance indicators as in a full IMPEP review, or focus on one or more specific indicators. A follow-up review can be used to track the progress of a program, and thus help determine the timing of the next IMPEP review, whether previous indicator findings should be changed or whether additional oversight may be needed. During each follow-up review, the team is also responsible for completing all elements of a periodic meeting as described in ~~Office of State and Tribal Programs (STP)~~ **FSME** Procedure SA-116.

IV. ROLES AND RESPONSIBILITIES

~~STP FSME~~ is the lead office responsible for coordination of Agreement State ~~and NRC Regional~~ follow-up IMPEP reviews. ~~The Office of Nuclear Materials Safety and Safeguards (NMSS) is the lead office responsible for coordination of NRC Regional follow-up IMPEP reviews.~~ Additional information on roles and responsibilities can be found in ~~STP FSME~~ Procedure SA-100, *Implementation of the Integrated Materials Performance Evaluation Program (IMPEP)*.

A. MRB:

- ~~1. Provides direction, usually through a prior IMPEP review findings, or review of the results of a periodic meeting, on the need for a follow-up review.~~
- ~~2. For follow-up reviews where an MRB meeting is held to review follow-up IMPEP review findings, the roles and responsibilities of the MRB and the guidelines to be followed by the MRB are the same as those detailed in STP FSME Procedure SA-106, *The Management Review Board*.~~
- ~~3. For follow-up reviews where an MRB meeting is not held, MRB members are responsible for reviewing and concurring on the final follow-up IMPEP report usually within two weeks. The Deputy Executive Director for Materials, Research, and State Programs will sign out the final follow-up IMPEP report.~~

B. Director, STP FSME:

- ~~1. Attends Agreement State follow-up IMPEP review exit meetings or designates the Deputy Director, STP to attend. Designates the appropriate division director(s) to attend follow-up IMPEP review exit meetings;~~
- ~~2. Acts as an MRB member per STP Procedure and concurs on final follow-up IMPEP reports. Acts as, or designates an FSME representative as, an MRB member per FSME Procedure SA-106 and concurs on final follow-up IMPEP reports.~~

C. Deputy Director, STP Division of Material Safety and State Agreements (DMSSA):

- ~~1. Attends Agreement State and Regional IMPEP review exit meetings as~~

designated by the Director, STP.

2. ~~If an MRB meeting is held, s~~Signs out Agreement State follow-up review proposed final reports to the MRB per STP Procedure SA-106. **Can designate the Deputy Division Director, DMSSA to attend IMPEP review exit meetings.**
3. ~~If an MRB meeting is not held, concurs on issuance of the Agreement State final follow-up review report to the MRB per STP Procedure SA-106.~~

D. IMPEP Project Manager, STP **DMSSA**:

1. Reviews and provides feedback on all ~~Agreement State~~ follow-up IMPEP reports to both the IMPEP team leader and STP **FSME** management.
2. Coordinates MRB meetings per STP **FSME** Procedure SA-106, as necessary.
3. **Forwards Agreement State follow-up review proposed final reports to the MRB.**

E. Director, NMSS:

- ~~1. Designates the appropriate NMSS division director(s) to attend NRC Regional follow-up IMPEP review exit meetings;~~
- ~~2. Acts as an MRB member per STP Procedure SA-106 and concurs on final follow-up IMPEP reports.~~

~~F. Director, Division of Industrial and Medical Nuclear Safety (IMNS);~~

- ~~1. Attends NRC Regional IMPEP review exit meetings, as designated;~~
- ~~2. If an MRB meeting is held, s~~Signs out the NRC Regional follow-up review proposed final reports to the MRB per STP Procedure SA-106.
- ~~3. If an MRB meeting is not held, concurs on issuing NRC Regional final follow-up review report to the MRB per STP Procedure SA-106.~~

G. ~~NMSS IMPEP Contact:~~

1. ~~Coordinates Regional MRB meetings per STP Procedure SA-106.~~
- ~~H.~~ **H.** IMPEP Team Leader:
1. Coordinates and conducts assigned follow-up IMPEP reviews;
 2. Completes the IMPEP report in accordance with Management Directive (MD) 5.6, *Integrated Materials Performance Evaluation Program (IMPEP)*, ~~STP~~ **FSME** Procedure SA-106, and this procedure;
 3. Designates an IMPEP team member to act as principal reviewer for each applicable performance indicator;
 4. Signs ~~out~~ draft follow-up IMPEP reports to ~~the~~ Agreement States ~~or~~ **Region**;
 5. Presents review findings at ~~an~~ MRB meetings ~~if a MRB meeting is conducted.~~
 6. ~~Prepares the final follow-up review report for transmittal to the MRB per STP Procedure SA-106, if an MRB meeting is not convened.~~
- ~~H.F.~~ **H.F.** Regional State Agreements Officer (RSAO):
1. **Participates in all IMPEP follow-up reviews for Agreement States in their assigned Region when such a review is directed by the MRB;**
 2. Completes the review of their assigned indicator(s) in accordance with the applicable ~~STP~~ **FSME** procedures and writes their assigned section(s) of the follow-up IMPEP report;
 3. Ensures the periodic meeting portion of the follow-up IMPEP review is completed and prepares the meeting summary, as necessary;
 4. Presents review findings at an MRB meeting, ~~if a MRB meeting is convened.~~
- ~~H.G.~~ **H.G.** IMPEP Team Member:
1. Completes the review of their assigned indicator(s) in accordance with the applicable ~~STP~~ **FSME** procedures and writes their assigned section(s) of

the follow-up IMPEP report.

2. Presents review findings at the MRB meetings, if a MRB meeting is convened.

V. GUIDANCE

A. Scope of Follow-up IMPEP Reviews:

1. The follow-up review will include a complete review of one or more of the common and/or non-common performance indicators since the previous IMPEP review. Normally, these are indicators that where resulted in findings of “satisfactory with recommendations for improvement” or “unsatisfactory” during the previous IMPEP review. ~~A~~ The review team will conduct an evaluation of the program’s response to previous IMPEP review recommendations dealing with these indicators. The team will recommend to the MRB whether these recommendations may be closed out or remain open by the IMPEP team and MRB. Additional recommendations for these indicators may also be developed during the follow-up review. The team may also make recommendations for changes to review findings for these indicators.
2. For Agreement State follow-up reviews, the radiation control program must also be considered as a whole, even during a limited scope follow-up review. To accomplish this goal, the meeting agenda in STP FSME Procedure SA-116, *Periodic Meetings with Agreement States*, will be followed (the normal schedule for periodic meetings outlined in SA-116 should not be followed, if a follow-up review is conducted). ~~Consistent with the periodic meeting procedure, though all common and applicable non-common performance indicators should be discussed;~~ Any recommendations from previous IMPEP reviews could ~~should only~~ be closed during for indicators that are fully reviewed and evaluated by the team as part of the follow-up IMPEP reviews.
3. A radiation control program experiencing serious weaknesses difficulties because of the loss of key staff, loss of operating funds, or other acute problems may receive a follow-up IMPEP review that focuses on all aspects of the program. All common and applicable non-common performance indicators will be reviewed during a full follow-up IMPEP review. A follow-up IMPEP review of this type should be conducted for a program that does not receive satisfactory findings for the majority of the

performance indicators.

B. Assignment of Personnel ~~f~~For Follow-up IMPEP Reviews

1. With the exception of the RSAO, team members should be different from those who conducted the previous IMPEP review. ~~For Agreement State follow-up IMPEP reviews, the RSAO will be a member of the follow-up review team.~~
2. Assignment of staff to specific performance indicators will be in accordance with the qualifications established in MD 5.10, *Formal Qualifications for Integrated Materials Performance Evaluation Program (IMPEP) Team Members*.
3. Team members should be chosen to evaluate the indicator(s) based on the scope of the review. Team size should be appropriate to cover all designated indicators, as well as to discuss remaining program areas. If a team consists of three team members or more, at least one member should be an Agreement State representative.
4. The criteria for selecting team members established in **STP FSME** Procedure SA-100 should be followed in choosing team members for a follow-up review.

C. Scheduling Follow-up IMPEP Reviews

Follow-up review scheduling should be completed along with routine scheduling as detailed in **STP FSME** Procedure SA-100 and should follow the time frame reflected in the previous final IMPEP report or as directed by the MRB. Follow-up reviews are normally performed approximately one year following either the previous IMPEP review, **periodic meeting** or MRB meeting.

D. Scheduling Letter and Review Questionnaire

1. The team leader should send a letter to the Radiation Control Program Director or the NRC Regional Director, Division of Nuclear Materials Safety (DNMS) at least 60 days prior to the follow-up review. The letter should reference the discussion which established the review date, detail the dates of the program review, and request the Radiation Control Program Director **or Regional DNMS Director** to schedule a closeout meeting of appropriate senior State managers or NRC Regional

Administrator for the purpose of discussing the results of the review.

- a. The ~~closeout~~ **exit** meeting should take place on the final day of the review.
- b. ~~For Agreement States,~~ **C**opies of the letter should be sent to **the** team members, **the** IMPEP Project Manager, **the** NRC Regional State Liaison Officer, **the** RSAO, and the **Division** Director, **STP DMSSA**.
- c. ~~For Regional reviews,~~ copies of the memorandum should be sent to the team members, **NMSS IMPEP contact and the Director, FMNS**.

2. The team leader and the Radiation Control Program Director or Regional Director, DNMS should agree if a questionnaire is necessary. If appropriate, the letter should include a current IMPEP questionnaire. The questionnaire may be modified to include only those questions dealing with the indicator(s) applicable to the review. In addition to the printed version of the questionnaire, an electronic copy should also be provided. (See Appendix A for sample letter for Agreement State follow-up IMPEP reviews.)

E. Preparation ~~f~~For Follow-up IMPEP Reviews

Guidance for review preparation can be found in **STP FSME** Procedure SA-100.

F. Entrance Meeting

Guidance for entrance meetings can be found in **STP FSME** Procedure SA-100.

G. On-site Review

1. Guidance for conducting the on-site portion of a review can be found in **STP FSME** Procedure SA-100. This guidance should be applied to only the specific indicators that are receiving a complete review.
2. Guidance for conducting the other aspects of the follow-up review can be found in **STP FSME** Procedure SA-116.

H. Third Party Attendance in Reviews

Guidance for third party attendance, such as public or media representatives, at reviews can be found in ~~STP~~ **FSME** Procedure SA-100.

I. Summarizing Review Findings

Guidance for summarizing review findings can be found in ~~STP~~ **FSME** Procedure SA-100.

J. Draft Reports

~~1. The team leader is responsible for preparing the draft report following a follow-up IMPEP review. (See Appendix B for sample draft report cover letter and boiler plate draft Agreement State follow-up report).~~

~~2. For Agreement States:~~

~~a. The review team members should complete their portions assigned sections of the draft report and submit them to the team leader within 7 calendar days of the exit meeting (NOTE: Calendar days, not work days). Any changes to this working schedule should be agreed upon between the team leader and the IMPEP Project Manager.~~

~~b2. The team leader is responsible for integrating the information from the team members, preparing the draft report, and submitting both, the follow-up IMPEP draft report and transmittal letter to the State requesting factual comments or memorandum to the IMPEP Project Manager within 17 calendar days of the exit meeting. (See Appendix B for sample draft report transmittal letter and boiler plate draft Agreement State follow-up report).~~

~~c3. The draft follow-up report and cover transmittal letter, or memorandum, signed by the team leader should be dispatched to the State or Region within 30 calendar days following the exit meeting. The review report shall be prepared and signed out by the team leader.~~

~~d4. The administrative staff for the team leader will be responsible for the administrative aspects of the draft report. For the proposed~~

final, if necessary and the final review report, a secretary, ~~STP~~ **FSME**, will be designated as lead secretary for that follow-up IMPEP review and will work with the team leader in issuing the proposed final and final review reports.

3. ~~For NRC Regions:~~

- ~~a. The review team should complete their portions of the draft report and submit them to the team leader within 5 calendar days of the exit meeting.~~
- ~~b. The team leader is responsible for integrating the information from the team members and submitting both the IMPEP draft report and letter to the Region requesting factual comments to the Division Director, IMNS within 7 days of the exit meeting.~~
- ~~c. The draft follow-up report and cover letter should be dispatched within 30 days following the exit meeting. The draft follow-up review report shall be prepared by the team leader for concurrence by IMNS, and shall be signed out by the team leader.~~

45. The State or NRC Region will be requested to review the draft follow-up report and address any factual errors or misstatements within 30 days **4 weeks from receipt of the transmittal letter/memorandum.**

K. Proposed Final Reports, MRB Meetings, Final Reports, and Follow-up Actions

- 1. **The proposed final report and MRB meeting agenda will be submitted to the MRB at least seven days before the meeting. A copy of the Agreement State's or NRC Region's comments on the draft report will accompany the proposed final report. Specific guidance on the preparation of proposed final reports is contained in FSME Procedure SA-106.**
 - ~~a. The follow-up IMPEP review covered all indicators;~~
 - ~~b. The program under review did not make sufficient progress towards making program improvements or has experienced additional or more severe problems in performance; or~~
 - ~~c. The follow-up IMPEP review revealed substantial changes in~~

~~program performance such as a change in an indicator rating.~~

2. An MRB meeting ~~should~~ **to discuss the follow-up IMPEP review findings will** be held ~~in association with a follow-up IMPEP review if:~~ **approximately 74 days after the exit meeting. Specific guidance on conducting MRB meetings is contained in FSME Procedure SA-106.**
3. **Issuance of Final Reports and Follow-up Actions**
 - a. **The IMPEP Project Manager, in consultation with the team leader, is responsible for preparation of the final review report and letter for the Deputy Executive Director for Materials, Waste, Research, State, Tribal and Compliance Programs signature. (See Appendix C for a sample letter to issue final reports.)**
 - b. **Additional guidance on the issuance of final reports and follow-up actions can be found in FSME Procedure SA-100, Appendix C.**

~~For follow-up reviews where an MRB meeting is not held:~~

- ~~a. The team leader will prepare the final IMPEP report for concurrence by the MRB members and signature by Deputy Executive Director for Materials, Research, and State Programs. (See Appendix C for sample Agreement State letter to accompany final report. A similar memorandum to the Regional Administrator will be developed by team leader for Regional final IMPEP reports.)~~
- ~~b. This report will be distributed to the MRB members, including an Agreement State Liaison with a two week deadline for comments/concurrence. If a questionnaire was used, a copy of the completed questionnaire will be included as background with the concurrence package.~~
- ~~c. Additional guidance on the issuance of final reports and follow-up actions found in STP Procedure SA-100 may be used once concurrence has been achieved.~~
- ~~d. Responses to comments made in the follow-up final report will be evaluated by the team leader in consultation with the review team as needed.~~

~~e.~~ An acknowledgment letter shall be prepared by the team leader for review and signature within 30 days after the team leader reviews the State or NRC Regional responses. A sample acknowledgment letter is shown in Appendix D.

~~3.~~ For follow-up reviews where an MRB meeting is held:

~~a.~~ Upon review of the State or Region response to the draft report, the team leader will be responsible for making any appropriate corrections, developing a team recommendation regarding the program for the MRB, and submitting the proposed final report to the MRB for its consideration. If the comments are extensive, a separate comment resolution document should be prepared by the team leader for submittal to the MRB. Contact the IMPEP Project Manager for additional guidance on format.

~~b.~~ The lead secretary, STP will schedule the MRB for Agreement State reviews in consultation with the team leader per STP Procedure SA-106. A copy of the State's or NRC Region's comments on the draft report will accompany the proposed final report presented to the MRB.

~~c.~~ Specific guidance on conducting MRB meetings and the preparation of proposed final reports is contained in STP Procedure SA-106.

~~d.~~ Additional guidance on the issuance of final reports and follow-up actions can be found in STP Procedure SA-100. (See Appendix C.)

ec. Responses to comments in the follow-up final report will be evaluated by the team leader in consultation with the review team as needed.

fd. An acknowledgment letter shall be prepared by the team leader for review and signature by Deputy Executive Director for Materials, **Waste, Research, and State, Tribal and Compliance** Programs within 30 days after the team leader receives the State or NRC Regional responses. (See Appendix D.)

VI. APPENDICES

- Appendix A - Sample letter scheduling a follow-up IMPEP review.
 Appendix B - Sample ~~transmittal draft report cover~~ letter and boilerplate draft follow-up report.
 Appendix C - Sample letter for final report.
 Appendix D - ~~Sample acknowledgment letter.~~
 Appendix E - Frequently Asked Questions

VII. REFERENCES

13. ~~STP~~ **FSME** Procedure SA-100, *Implementation of the Integrated Materials Performance Evaluation Program (IMPEP)*.
 24. ~~STP~~ **FSME** Procedure SA-106, *The Management Review Board*.
 31. NRC Management Directive 5.6, *Integrated Materials Performance Evaluation Program*.
 5. **FSME** Procedure SA-116, *Periodic Meetings with Agreement States Between IMPEP Reviews*
 52. NRC Management Directive 5.10, *Formal Qualifications for Integrated Materials Performance Evaluation Program (IMPEP) Team Members*.
 6. ~~STP~~ **FSME** Procedure SA-122, *Heightened Oversight*.

VII. ADAMS Reference Documents

The previous revisions of SA-119 and correspondence can be found in the Agencywide Documents Access and Management System (ADAMS) as follows:

| <u>Date</u> | <u>Document Title/Description</u> | <u>ADAMS ML #</u> |
|-------------|---|-------------------|
| 11/07/2002 | STP-02-079, Opportunity to Comment on Draft STP Procedure SA-119, "Follow-up IMPEP Reviews" | ML023110511 |
| 11/07/2002 | Memorandum to M. Virgilio, S. Treby, G. Pangburn, D. Collins, M. Dapas, & K. Brockman re: Draft STP Procedure SA-119, "Follow-up IMPEP Reviews" | ML023110521 |
| 11/07/2002 | Opportunity to Comment on Draft STP Procedure SA-119, "Follow-up IMPEP Reviews" (Responses to STP-02-079) | ML031740410 |
| 04/04/2003 | Summary of Comments on STP Procedure SA-119, Follow-up IMPEP Reviews | ML031710815 |

Appendix A

Sample Letter Scheduling a Follow-Up IMPEP Review

[RADIATION CONTROL PROGRAM DIRECTOR]

Dear [*Radiation Control Program Director*]:

As you are aware, NRC is using the Integrated Materials Performance Evaluation Program (IMPEP) for the evaluation of Agreement State Programs. Per our discussion, I will be the team leader for the follow-up IMPEP review of the [*STATE*] program scheduled for the week of [*DATE*]. The team will include [*Names of IMPEP team members, Title, NRC or State affiliation*].

On [*DATE OF ORIGINAL MRB MEETING*] the Management Review Board (MRB) met to consider the [*proposed final IMPEP/periodic meeting*] report on the [*STATE*] Agreement State Program. During the meeting, the MRB directed that a follow-up review be conducted in [*TIME FRAME*] that focused on the State's [*complete program or INDICATOR(S) BEING REVIEWED*].

In accordance with the MRB's recommendation, the scope of this follow-up review will be limited to an assessment and evaluation of your [*INDICATOR(S) BEING REVIEWED*]. In addition to a review of select casework completed since the [*DATE OF LAST IMPEP REVIEW*] IMPEP review, the team will review your actions in response to the [*NUMBER*] recommendations made for this/these indicator(s).

I request that you provide a response to questions Enclosed is an abridged version of the IMPEP questionnaire containing questions [*QUESTION NUMBERS*] of the IMPEP Questionnaire. **This document can be found in ADAMS (MLXXXXXXXXX).** I ask that you send your responses by Internet **to me at** ([*TEAM LEADER'S INTERNET ADDRESS*]) **to me by not later than** [*DATE - TWO WEEKS PRIOR TO THE REVIEW*].

[*OR*]

Based on information gathered to this date and, as previously agreed with you, I am not requesting a response to the IMPEP Questionnaire."

Also I have included with the **is letter-questionnaire is** a list of documents that the team requests be made available to facilitate its review. **We encourage States to have these documents prepared prior to the IMPEP team's arrival.**

The team will also discuss the actions that the [*STATE*] program has taken for the remaining recommendations from the [*DATE OF LAST IMPEP REVIEW*] IMPEP review. These discussions will not be a formal assessment of the balance of your Agreement State Program. The team will use ~~this~~ guidance in STP Procedure SA-116, "Periodic Meetings with Agreement States Between

IMPEP Reviews,” for conducting these discussions. This procedure was distributed to you and can also be found on the STP web site.

~~{OR}~~

~~Enclosed is the document, "Integrated Materials Performance Evaluation Program Questionnaire." The questionnaire is being furnished to you on a computer disk as well as in printed form. I ask that you send your responses by Internet to (~~{TEAM LEADER'S INTERNET ADDRESS}~~) or return the disk to me by ~~{DATE - 2 WEEKS PRIOR TO REVIEW}~~. I am sending the document and disk in advance of the IMPEP review in order to provide time for you to allocate the staff resources necessary to complete the document by the due date. Part A of the questionnaire contains questions on the common performance indicators. Part B contains questions on the non-common performance indicators for Agreement States.~~

~~Also included with the questionnaire is the document "Materials Requested to Be Available for the Onsite Portion of an IMPEP Review." We encourage States to have the items listed prepared prior to the IMPEP team's arrival.~~

I request that you set up an appointment with the appropriate State Senior Management Official to discuss the results of the follow-up IMPEP review of the ~~{STATE}~~ program on ~~{LAST DAY OF IMPEP REVIEW}~~.

If you have questions, please call me at ~~{team leader phone number}~~.

Sincerely

~~{TEAM LEADER}~~

Enclosures:
As stated

cc: ~~{STATE HEALTH OFFICER OR APPROPRIATE SENIOR STATE MANAGEMENT}~~

Distribution:

DCD (SP01)

~~{Regional or Office distribution}~~

Appendix B

Sample Draft Report Cover Letter and Boilerplate Draft Follow-up Report

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

Dear [NAME]:

The U.S. Nuclear Regulatory Commission (NRC) uses the Integrated Materials Performance Evaluation Program (IMPEP) in the evaluation of Agreement State programs. Enclosed for your review is the draft follow-up Integrated Materials Performance Evaluation Program (IMPEP) report which documents the results of the Agreement State follow-up review held in your office on [DATES]. I was the team leader for the [STATE] review. The review team's preliminary findings were discussed with you and your staff on ~~the last day of the review~~ [DATE].

[SHORT DESCRIPTION OF THE CURRENT STATUS OF THE PROGRAM INCLUDING PROGRESS AND AREAS STILL IN NEED OF IMPROVEMENT]. The follow-up review team recommends that the [STATE] Agreement State program **undergo a [FULL IMPEP REVIEW/FOLLOW-UP IMPEP REVIEW]** in FY [YEAR].

In accordance with procedures for implementation of IMPEP, we are providing you with a copy of the draft follow-up IMPEP team report for review prior to submitting the report to the Management Review Board (MRB). We welcome your comments on the draft report. If possible, we request comments within four weeks from your receipt of this letter. This schedule will permit the issuance of the final report in a timely manner that will be responsive to your needs.

The team will review the response, make any necessary changes to the report and issue it to the MRB as a proposed final report. Our preliminary scheduling places the [STATE] MRB meeting in the [WEEK - 74 DAYS FROM THE REVIEW]. We will coordinate with you to establish the date for the MRB review of the [STATE] report and will provide invitational travel for you or your designee to attend. NRC has video conferencing capability if it is more convenient for the State to participate through this medium. ~~We will work with your staff to establish a video conference if you so desire~~ **Please contact me if you desire to establish a video conference for the meeting.**

{OR}

~~The team will review the response, make any necessary changes to the report and issue it to the MRB as a final report.~~

~~If you have any questions concerning the IMPEP process for senior NRC management prior to the consideration by the MRB on the follow-up review results, please contact Paul Lohaus, Director, Office of State and Tribal Programs at (301) 415-3340. If you have any questions regarding the enclosed report, please contact me at [PHONE NUMBER].~~ **If you have any questions regarding the**

enclosed report, please contact me at 301-415-XXXX.

Thank you for your cooperation.

Sincerely,

[Team Leader]

Enclosure:
As stated

cc: [NAME, RADIATION CONTROL PROGRAM, STATE]
[STATE LIAISON OFFICER]

Distribution:

DIR RF DCD (SP01)
~~Senior Program Analyst, NMSS~~ PDR (YES√)
[IMPEP TEAM MEMBERS]
IMPEP Project Manager, ~~STP~~ DMSSA
~~HMNS Director~~
DMSSA Director
SAIB Branch Chief
ASPO
OGC
[STATE] File

DOCUMENT NAME: G:\IMPEP\YYYYDRLTR.ST.WPD; G:\IMPEP\STIMPYYYY.DFT.WPD

To receive a copy of this document, indicate in the box: "C" = Copy without attachment/enclosure "E" = Copy with attachment/enclosure "N" = No copy

OFFICE STP STP:DD STP:D
FSME/RSAO

NAME [TEAM LEADER]:

DATE

INTEGRATED MATERIALS PERFORMANCE EVALUATION PROGRAM
FOLLOW-UP REVIEW OF THE [STATE] AGREEMENT STATE PROGRAM

[DATES OF ON-SITE REVIEW]

Draft Report

U. S. Nuclear Regulatory Commission

1.0 INTRODUCTION

This report presents the results of the follow-up review of the [STATE RADIATION CONTROL PROGRAM], conducted [DATES OF ON-SITE REVIEW]. This follow-up review was directed by the Management Review Board (MRB) based on the results of the [DATES OF LAST FULL IMPEP REVIEW] [Integrated Materials Performance Evaluation Program (IMPEP) review/ **periodic meeting**]. The MRB directed that a follow-up review of the [ENTIRE PROGRAM OR LIST SPECIFIC INDICATORS], be conducted in **[time frame]** ~~one year~~ based on the [DETAILS OF THE PROGRAM DEFICIENCIES]. [The follow-up review also included evaluation of actions taken by the State to address the {#} recommendations made during the {DATES OF LAST FULL IMPEP REVIEW} IMPEP review.]

The follow-up review was conducted by a review team consisting of technical staff members from the Nuclear Regulatory Commission (NRC) and the State of [STATE TEAM MEMBER'S HOME STATE]. Team members are identified in Appendix A. The follow-up review was conducted in accordance with the November 5, 1999, NRC Management Directive 5.6, "Integrated Materials Performance Evaluation Program (IMPEP)."

[A paragraph on the results of the MRB meeting, if convened will be included in the final report. If there is not a formal MRB meeting convened, a summary of the final results of the review will be included.]

[GIVE A SHORT DESCRIPTION OF THE IMPROVEMENTS/LACK OF IMPROVEMENTS SINCE THE LAST IMPEP REVIEW]

The [STATE] Agreement State program is administered by the [DETAILS ABOUT THE ORGANIZATION OF THE PROGRAM]. The organizational chart for the [PROGRAM] is presented in Appendix B. At the time of the follow-up review, the [STATE] program regulated approximately [#] specific licenses [INCLUDE ANY PERTINENT INFORMATION].

[Prior to the follow-up review, the NRC conducted a heightened oversight program for the {STATE} program. The program included {STATE} developing and submitting a program improvement plan in response to the {YEAR} IMPEP review, followed by bimonthly conference calls with NRC. Conference calls were held [DATES]. The communications for the heightened oversight program are in Appendix C to this IMPEP report. [STATE]'s actions and their status were reviewed in preparation for this follow-up review.]

The review team's approach for conducting the follow-up review consisted of: [(1) examination of the [PROGRAM'S] actions during the period of heightened oversight;] (2) in-depth review of the [# program indicators identified above OR program] for the period of [REVIEW PERIOD]; [(3) field accompaniments of {#} Division inspectors;] (4) discussion of the status of the [PROGRAM]'s actions to address the [#] recommendations in the [YEAR] report; and (5) interviews with staff and management to answer questions or clarify issues. The team evaluated

the information that it gathered against the IMPEP performance criteria for the ~~three~~ [#] common performance indicator(s), and ~~one~~ [#] non-common performance indicator(s), for activities conducted during the period of [REVIEW PERIOD]. Preliminary results were discussed with

Section 2 below discusses the results of the follow-up review of the [STATE] program for the [#] common performance indicator[s]. [Section 3 below discusses the results of the follow-up review of the {STATE} program for the[#] non-common performance indicator{s}.] Section 4 summarizes the review team's findings and recommendations resulting from the follow-up review. [The {PROGRAM'S} progress in addressing other recommendations from the [YEAR] review and general status of the program covered in a periodic meeting can be found in Appendix D.]

2.0 COMMON PERFORMANCE INDICATORS

The follow-up review addressed [#] of the five common performance indicators used in reviewing both NRC Regional and Agreement State programs. The [#] indicators are: [LIST APPLICABLE INDICATORS].

2.31 Technical Staffing and Training

During the follow-up review, the review team evaluated actions taken by the [PROGRAM] in response to the finding of [RATING] made during the [YEAR] IMPEP review, as well as the status of ~~the status of~~ the staffing and training of the [PROGRAM].

Issues central to the evaluation of this indicator include the Office's staffing level and staff turnover, as well as the technical qualifications and training histories of the staff. To evaluate these issues, the review team examined the Office's questionnaire responses relative to this indicator, interviewed Office management and staff, reviewed job descriptions and training records, and considered any possible workload backlogs.

The review team's evaluation of the [PROGRAM'S] response to the [#] recommendation[s] is presented below.

Recommendation [#]

[RECOMMENDATION FROM THE PREVIOUS REPORT]

Current Status

[GIVE A FULL EXPLANATION OF THE REVIEW COMPLETED AND THE TEAM'S FINDINGS INCLUDING THE IMPROVEMENTS OF THE PROGRAM, AND WHETHER THE RECOMMENDATION SHOULD BE CLOSED. NEW RECOMMENDATIONS MAY BE MADE AS WELL. LIST EACH RECOMMENDATION.]

Based on the follow-up review, the team considers [DESCRIBE WHETHER THE TEAM BELIEVES THAT THE RECOMMENDATION(S) CAN BE CLOSED OR SHOULD REMAIN OPEN AND WHY]

The review team concludes that the staffing and training program has [DESCRIBE THE PROGRAM'S PERFORMANCE/IMPROVEMENTS/LACK OF IMPROVEMENT FOR THIS INDICATOR]. Based on the IMPEP evaluation criteria, the review team recommends that [STATE]'s performance with respect to the indicator, Technical Staffing and Training, [CONTINUES TO BE FOUND {RATING} OR SHOULD BE CHANGED FROM {OLD RATING} TO {NEW RATING}].

2.2 Status of Materials Inspection Program

During the follow-up review, the review team evaluated actions taken by the [PROGRAM] in response to the finding of [FINDING] made during the [YEAR] IMPEP review, as well as the status of the inspections performed since the [YEAR] review, and the current status of due and overdue inspections.

The team reviewed the timeliness of inspections performed since the last review period, the current and projected backlog of overdue inspections, and timeliness in communication of inspection results to licensees. The team reviewed data provided by the [PROGRAM] from their inspection tracking system to determine the timeliness of inspections, and reviewed inspection files to determine the date of the issuance of inspection results to licensees relative to the date of inspection.

The review team's evaluation of the [PROGRAM'S] response to the [#] recommendation[s] is presented below.

Recommendation [#]

[RECOMMENDATION FROM THE PREVIOUS REPORT]

Current Status

[GIVE A FULL EXPLANATION OF THE REVIEW COMPLETED AND THE TEAM'S FINDINGS INCLUDING THE IMPROVEMENTS OF THE PROGRAM, AND WHETHER THE RECOMMENDATION SHOULD BE CLOSED. NEW RECOMMENDATIONS MAY BE MADE AS WELL. LIST EACH RECOMMENDATION.]

Based on the follow-up review, the team considers [DESCRIBE WHETHER THE TEAM BELIEVES THAT THE RECOMMENDATION(S) CAN BE CLOSED OR SHOULD REMAIN OPEN AND WHY]

The review team concludes that the materials inspection program has [DESCRIBE THE PROGRAM'S PERFORMANCE/IMPROVEMENTS/LACK OF IMPROVEMENT FOR THIS INDICATOR]. Based on the IMPEP evaluation criteria, the review team recommends that

[STATE]'s performance with respect to the indicator, Status of Materials Inspection Program, [CONTINUES TO BE FOUND {RATING} OR SHOULD BE CHANGED FROM {OLD RATING} TO {NEW RATING}].

2.23 Technical Quality of Inspections

During the follow-up review, the review team evaluated actions taken by the [PROGRAM] in response to the finding of [RATING] made during the [YEAR] IMPEP review, as well as the status of the technical quality of inspections performed since the [YEAR] review.

The team evaluated inspection reports, enforcement documentation, and inspection field notes, interviewed inspectors for [#] inspections conducted during the review period, and conducted [#] inspector accompaniments. The casework included [#] of the [PROGRAM'S] materials license inspectors, and covered inspections of various types of licensees including [LIST TYPES]. Appendix E lists the inspection casework files reviewed for completeness and adequacy and accompaniments including case-specific comments.

The review team's evaluation of the [PROGRAM'S] response to the [#] recommendation[s] is presented below.

Recommendation [#]

[RECOMMENDATION FROM THE PREVIOUS REPORT]

Current Status

[GIVE A FULL EXPLANATION OF THE REVIEW COMPLETED AND THE TEAM'S FINDINGS INCLUDING THE IMPROVEMENTS OF THE PROGRAM, AND WHETHER THE RECOMMENDATION SHOULD BE CLOSED. NEW RECOMMENDATIONS MAY BE MADE AS WELL. LIST EACH RECOMMENDATION.]

Based on the follow-up review, the team considers [DESCRIBE WHETHER THE TEAM BELIEVES THAT THE RECOMMENDATION(S) CAN BE CLOSED OR SHOULD REMAIN OPEN AND WHY]

The review team concludes that the technical quality of the inspection program has [DESCRIBE THE PROGRAM'S PERFORMANCE/IMPROVEMENTS/LACK OF IMPROVEMENT FOR THIS INDICATOR]. Based on the IMPEP evaluation criteria, the review team recommends that [STATE]'s performance with respect to the indicator, Technical Quality of Inspections, [CONTINUES TO BE FOUND {RATING} OR SHOULD BE CHANGED FROM {OLD RATING} TO {NEW RATING}].

2.4 Technical Quality of Licensing Actions

During the follow-up review, the team evaluated actions taken by the State in response to the recommendations for improvement noted during the [YEAR] review, as well as new licensing actions completed since that review. The team reviewed licensing actions, deficiency correspondence, and checklists for [#] licensing actions.

Licenses were reviewed for accuracy, appropriateness of the license and its conditions, tie-down conditions, and overall technical quality. Casework was evaluated for timeliness, adherence to good radiation safety practices, references to appropriate regulations, documentation of safety evaluation reports, product certifications or other supporting documents, pre-licensing visits, peer or supervisory review as indicated, and proper signature authority. The files were checked for retention of necessary documents and supporting data.

The [#] license files selected for review included work by all reviewers. The cross-section sampling included all of the State's major licenses as defined by the State, including the following types of licenses: [TYPES OF LICENSES]. Licensing actions during the review period included [#] new and [#] amendments (including terminations) totaling [#] licensing actions. A list of the licenses reviewed with case-specific comments can be found in Appendix F.

The review team's evaluation of the [PROGRAM'S] response to the [#] recommendation[s] is presented below.

Recommendation [#]

[RECOMMENDATION FROM THE PREVIOUS REPORT]

Current Status

[GIVE A FULL EXPLANATION OF THE REVIEW COMPLETED AND THE TEAM'S FINDINGS INCLUDING THE IMPROVEMENTS OF THE PROGRAM, AND WHETHER THE RECOMMENDATION SHOULD BE CLOSED. NEW RECOMMENDATIONS MAY BE MADE AS WELL. LIST EACH RECOMMENDATION.]

Based on the follow-up review, the team considers [DESCRIBE WHETHER THE TEAM BELIEVES THAT THE RECOMMENDATION(S) CAN BE CLOSED OR SHOULD REMAIN OPEN AND WHY]

The review team concludes that the technical quality of the licensing program has [DESCRIBE THE PROGRAM'S PERFORMANCE/IMPROVEMENTS/LACK OF IMPROVEMENT FOR THIS INDICATOR]. Based on the IMPEP evaluation criteria, the review team recommends that [STATE]'s performance with respect to the indicator, Technical Quality of Licensing Actions, [CONTINUES TO BE FOUND {RATING} OR SHOULD BE CHANGED FROM {OLD RATING} TO {NEW RATING}].

During the follow-up review, the team evaluated actions taken by the [PROGRAM] in response to the finding of [RATING] made during the [YEAR] IMPEP review, as well as the status of the [PROGRAM'S] performance since the [YEAR] review.

The team reviewed [ANY SPECIFIC MATERIALS] and examined [#] investigations completed during the review period. A list of the incident casework examined with the case-specific comments is included in Appendix G. The team also reviewed the [PROGRAM'S] response to [#] allegations involving radioactive materials, including [#] allegations referred to the [PROGRAM] by the NRC during the review period.

The review team's evaluation of the [PROGRAM'S] response to the [#] recommendation[s] is presented below.

Recommendation [#]

[RECOMMENDATION FROM THE PREVIOUS REPORT] INDIVIDUALLY

Current Status

[GIVE A FULL EXPLANATION OF THE REVIEW COMPLETED AND THE TEAM'S FINDINGS INCLUDING THE IMPROVEMENTS OF THE PROGRAM, AND WHETHER THE RECOMMENDATION SHOULD BE CLOSED. NEW RECOMMENDATIONS MAY BE MADE AS WELL. LIST EACH RECOMMENDATION.]

Based on the follow-up review, the team considers [DESCRIBE WHETHER THE TEAM BELIEVES THAT THE RECOMMENDATION(S) CAN BE CLOSED OR SHOULD REMAIN OPEN AND WHY]

The review team concludes that the [PROGRAM'S] incident and allegation response program has [DESCRIBE THE PROGRAM'S PERFORMANCE/IMPROVEMENTS/LACK OF IMPROVEMENT FOR THIS INDICATOR]. Based on the IMPEP evaluation criteria, the review team recommends that [STATE]'s performance with respect to the indicator, Response to Incidents and Allegations, [CONTINUES TO BE FOUND {RATING} OR SHOULD BE CHANGED FROM {OLD RATING} TO {NEW RATING}].

3.0 NON-COMMON PERFORMANCE INDICATORS

The follow-up review addressed [#] of the non-common performance indicators used in reviewing NRC Regional and Agreement State programs. The [#] indicators are: [LIST APPLICABLE INDICATORS].

3.1 Legislation and Program Elements Required for Compatibility Requirements

3.1.1 Legislation

The review team noted that no legislation affecting the radiation control program was passed since the previous review in which the State legislation was found adequate. Legislative authority to create an agency and enter into an agreement with the NRC is granted in [DETAILS]. The [PROGRAM] is designated as the State's radiation control agency.

3.1.2 Program Elements Required for Compatibility

The [STATE] radiation control program's regulations are found in [REGULATIONS], and apply to all ionizing radiation from agreement materials, machine produced radiation, and naturally-occurring and accelerator-produced materials. [STATE] requires a license for possession, and use, of all radioactive material including naturally occurring materials, such as radium, and accelerator-produced radionuclides.

The review team's evaluation of the [PROGRAM'S] response to the [#] recommendation[s] is presented below.

Recommendation [#]

[RECOMMENDATION FROM THE PREVIOUS REPORT] INDIVIDUALLY

Current Status

[GIVE A FULL EXPLANATION OF THE REVIEW COMPLETED AND THE TEAM'S FINDINGS INCLUDING THE IMPROVEMENTS OF THE PROGRAM, AND WHETHER THE RECOMMENDATION SHOULD BE CLOSED. NEW RECOMMENDATIONS MAY BE MADE AS WELL. LIST EACH RECOMMENDATION.]

Based on the follow-up review, the team considers [DESCRIBE WHETHER THE TEAM BELIEVES THAT THE RECOMMENDATION(S) CAN BE CLOSED OR SHOULD REMAIN OPEN AND WHY]

The review team concludes that the [PROGRAM'S] regulation adoption program has [DESCRIBE THE PROGRAM'S PERFORMANCE/IMPROVEMENTS/LACK OF IMPROVEMENT FOR THIS INDICATOR]. Based on the IMPEP evaluation criteria, the review team recommends that [STATE]'s performance with respect to the indicator, Legislation and Program Elements Required for Compatibility, [CONTINUES TO BE FOUND {RATING}]

OR SHOULD BE CHANGED FROM {OLD RATING} TO {NEW RATING}}].

3.2 Sealed Source and Device Evaluation Program

In conducting this review, three sub-indicators were used to evaluate the Program's performance regarding their SS&D Evaluation Program. These sub-indicators include:

- (1) Technical Quality of the Product Evaluation; (2) Technical Staffing and Training; and
- (3) Evaluation of Defects and Incidents Regarding SS&Ds.

[In assessing the SS&D Evaluation Program, the review team examined the information provided in the supplement to questions 31 [#] through 33 [#] of the 1999 [YEAR] IMPEP questionnaire response from {STATE}.] The team also evaluated actions taken by the State in response to the recommendations noted during the [YEAR] review, as well as new SS&D evaluations completed since that review, deficiency letters, and supporting documents.

3.2.1 Technical Staffing and Training

The review team's evaluation of the [PROGRAM'S] response to the [#] recommendation[s] is presented below.

Recommendation [#]

[RECOMMENDATION FROM THE PREVIOUS REPORT] INDIVIDUALLY

Current Status

[GIVE A FULL EXPLANATION OF THE REVIEW COMPLETED AND THE TEAM'S FINDINGS INCLUDING THE IMPROVEMENTS OF THE PROGRAM, AND WHETHER THE RECOMMENDATION SHOULD BE CLOSED. NEW RECOMMENDATIONS MAY BE MADE AS WELL. LIST EACH RECOMMENDATION.]

Based on the follow-up review, the team considers [DESCRIBE WHETHER THE TEAM BELIEVES THAT THE RECOMMENDATION(S) CAN BE CLOSED OR SHOULD REMAIN OPEN AND WHY]

3.2.2 Technical Quality of the Product Evaluation Program

The team reviewed a total of [#] certificates in the follow-up review which included: [LIST OF CERTIFICATE TYPES REVIEWED]. The review of the six certificates from the [YEAR] IMPEP report was limited to the [PROGRAM'S] actions in addressing previously identified comments. The SS&D registration certificates evaluated by the review team are listed with case-specific comments in Appendix H.

The review team's evaluation of the [PROGRAM'S] response to the [#] recommendation[s] is

Recommendation [#]

[RECOMMENDATION FROM THE PREVIOUS REPORT] INDIVIDUALLY

Current Status

[GIVE A FULL EXPLANATION OF THE REVIEW COMPLETED AND THE TEAM'S FINDINGS INCLUDING THE IMPROVEMENTS OF THE PROGRAM, AND WHETHER THE RECOMMENDATION SHOULD BE CLOSED. NEW RECOMMENDATIONS MAY BE MADE AS WELL. LIST EACH RECOMMENDATION.]

Based on the follow-up review, the team considers [DESCRIBE WHETHER THE TEAM BELIEVES THAT THE RECOMMENDATION(S) CAN BE CLOSED OR SHOULD REMAIN OPEN AND WHY]

3.3 Evaluation of Defects and Incidents Regarding SS&Ds

The review team's evaluation of the [PROGRAM'S] response to the [#] recommendation[s] is presented below.

Recommendation [#]

[RECOMMENDATION FROM THE PREVIOUS REPORT] INDIVIDUALLY

Current Status

[GIVE A FULL EXPLANATION OF THE REVIEW COMPLETED AND THE TEAM'S FINDINGS INCLUDING THE IMPROVEMENTS OF THE PROGRAM, AND WHETHER THE RECOMMENDATION SHOULD BE CLOSED. NEW RECOMMENDATIONS MAY BE MADE AS WELL. LIST EACH RECOMMENDATION.]

Based on the follow-up review, the team considers [DESCRIBE WHETHER THE TEAM BELIEVES THAT THE RECOMMENDATION(S) CAN BE CLOSED OR SHOULD REMAIN OPEN AND WHY]

The review team concludes that the [PROGRAM'S] SS&D evaluation program has [DESCRIBE THE PROGRAM'S PERFORMANCE/IMPROVEMENTS/LACK OF IMPROVEMENT FOR THIS INDICATOR]. Based on the IMPEP evaluation criteria, the review team recommends that [STATE]'s performance with respect to the indicator, Sealed Source and Device Evaluation Program, [CONTINUES TO BE FOUND {RATING} OR SHOULD BE CHANGED FROM {OLD RATING} TO {NEW RATING}].

4.0 SUMMARY

The follow-up review team evaluated [STATE]'s performance in responding to [DETAILS OF INDICATOR RATINGS] and resolving the specific recommendations made during the [YEAR] IMPEP review [FOR THE {#} COMMON AND {#} NON-COMMON PERFORMANCE INDICATORS, {LIST INDICATORS}]. The follow-up review team concludes that [CONCLUSIONS OF REVIEW TEAM]. Based on this information, the review team recommendeds that the [STATE] program be found [ADEQUACY AND COMPATIBILITY RATINGS].

[DETAIL THE TEAM'S RECOMMENDATIONS AS TO WHAT STEPS SHOULD BE NEXT]

Below is a summary list of the open recommendation[s] from the [#] report [and the new recommendations from this follow-up review].

Recommendations from the [YEAR] report:

[LIST RECOMMENDATIONS INDIVIDUALLY]

[Recommendations from this review:]

[LIST RECOMMENDATIONS INDIVIDUALLY]

LIST OF APPENDICES

| | |
|-------------|---|
| Appendix A | IMPEP Follow-up Review Team Members |
| Appendix B | [PROGRAM] Organizational Chart |
| [Appendix C | Heightened Oversight Program Correspondence] |
| [Appendix D | Periodic Meeting Summary Including Status of Other Recommendations from the Previous Review] |
| [Appendix E | Inspection Casework Reviews and Accompaniments] |
| [Appendix F | Licensing Casework Reviews] |
| [Appendix G | Incident Casework Reviews] |
| [Appendix H | Sealed Source and Device Evaluation Casework Reviews] |

[NOTE: FOR CURRENT FORMAT FOR CASEWORK APPENDICES, PLEASE SEE ~~STP~~
FSME PROCEDURE SA-100]

APPENDIX A

IMPEP REVIEW TEAM MEMBERS

| Name | Area of Responsibility |
|------------------------|-------------------------------|
| [TEAM LEADER, PROGRAM] | Team Leader [INDICATOR{S}] |
| [TEAM MEMBER, PROGRAM] | [INDICATOR{S}] |
| [TEAM MEMBER, PROGRAM] | [INDICATOR{S}] |

APPENDIX B

[STATE] ORGANIZATIONAL CHART

(ADAMS ACCESSION NUMBER: ML[#])

APPENDIX C

HEIGHTENED OVERSIGHT PROGRAM CORRESPONDENCE

Minutes of Bimonthly Conference Calls:

1. [DATE] conference call minutes.
2. [DATE] conference call minutes.
3. [DATE] conference call minutes.
4. [DATE] conference call minutes.

Letters from/to [STATE]:

[LIST EACH CORRESPONDENCE WITH THE STATE SINCE THE PREVIOUS IMPEP REVIEW INDIVIDUALLY. ATTACH MINUTES FROM EACH CALL.

APPENDIX D

PERIODIC MEETING SUMMARY INCLUDING STATUS OF OTHER RECOMMENDATIONS FROM THE PREVIOUS REVIEW

A periodic meeting was held with [PROGRAM] management by [TEAM LEADER], Team Leader, and [RSAO], Regional State Agreements Officer, during the follow-up review pursuant to STP FSME Procedure SA-116, "Periodic Meeting with Agreement States Between IMPEP Reviews." Those topics normally documented during the periodic meeting that were reviewed and documented as part of the follow-up review will not be discussed in this Appendix. The following topics were discussed.

Action on Previous Review Findings

The [MONTH AND YEAR] IMPEP report made [#] recommendations for action by the [PROGRAM]. [#] of these recommendations were discussed in earlier sections under their respective indicators. The status of the remaining [#] comments is discussed below.

Recommendation [#]

[RECOMMENDATION]

Current Status

[BRIEF OVERVIEW OF WHAT THE PROGRAM HAS DONE]

Recommendation [#]

[RECOMMENDATION]

Current Status

[BRIEF OVERVIEW OF WHAT THE PROGRAM HAS DONE]

Program Strengths and/or Weaknesses

Feedback on NRC's Program

Status of Program and/or Policy Changes

Impact of NRC Program Changes

Internal Program Audits and Self-Assessments

Status of Allegations Previously Referred

Nuclear Material Events Database (NMED) Reporting

APPENDIX C

Sample Letter for Final Report

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

Dear [NAME]:

On [DATE], the Management Review Board (MRB) met to consider the proposed final Integrated Materials Performance Evaluation Program (IMPEP) report on the [STATE] Agreement State Program. The MRB found the [STATE] program [ADEQUATE TO ASSURE PUBLIC HEALTH AND SAFETY/ADEQUATE, BUT NEED IMPROVEMENT] and [COMPATIBLE/NOT COMPATIBLE] with NRC's program.

{OR}

~~Enclosed is the final report of the follow-up Integrated Materials Performance Evaluation Program (IMPEP) review of the [STATE] program. The review was conducted by an interoffice team on [DATE]. The team reviewed, in detail, the performance indicators of concern identified during the [YEAR] IMPEP review, [LIST APPROPRIATE PERFORMANCE INDICATORS]. [TEAM LEADER] was the team leader for the follow-up review. The review team recommended, and the Management Review Board (MRB) agreed, that the [STATE] program be found [ADEQUATE TO ASSURE PUBLIC HEALTH AND SAFETY/ADEQUATE, BUT NEED IMPROVEMENT] and [COMPATIBLE/NOT COMPATIBLE] with NRC's program.~~

Section 5.0, page [PAGE NUMBER], of the enclosed final report presents the IMPEP team's recommendations. [WE RECEIVED YOUR [DATE] LETTER WHICH DESCRIBED THE ACTIONS TAKEN IN RESPONSE TO THE TEAM'S RECOMMENDATIONS. WE REQUEST NO ADDITIONAL INFORMATION.] or [WE REQUEST YOUR EVALUATION AND RESPONSE TO THOSE RECOMMENDATIONS WITHIN 30 DAYS FROM RECEIPT OF THIS LETTER.]

Based on the results of the current IMPEP review, the next full review will be in approximately [#] years.

I appreciate the courtesy and cooperation extended to the IMPEP team during the review and your support of the Radiation Control Program. I look forward to our agencies continuing to work cooperatively in the future.

Sincerely,

[NAME]
Deputy Executive Director
for Materials, Waste, Research, and State, Tribal
and Compliance Programs

Enclosure:
As stated

cc: [NAME, RCP, STATE]
[SLO]

bcc: [CHAIRMAN]
[NRC COMMISSIONERS]

Distribution:

DIR RF DCD (SP01)
IMPEP Project Manager, ~~STP~~ DMSSA PDR (YES✓)
~~Senior Program Analyst, NMSS~~
[IMPEP TEAM MEMBERS]
Director, ~~HMNS~~ DMSSA
RSAO
RSLO
OGC
ASPO
[STATE] File

DOCUMENT NAME: G:\IMPEP\20## ST Final IMPEP Report and Letter.WPD

To receive a copy of this document, indicate in the box: "C" = Copy without attachment/enclosure "E" = Copy with attachment/enclosure "N" = No copy

OFFICE [OFFICE] ~~STP:DD~~ DMSSA ~~STP:DD~~ FSME DEDMWRSTC
NAME Team Leader
DATE

APPENDIX D

Sample Acknowledgment Letter

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

Dear [NAME]:

Thank you for your letter dated [DATE], responding to our request for an evaluation and response to the recommendations of the final Integrated Materials Performance Evaluation Program (IMPEP) review report for the [STATE] Agreement State Program. We find your responses adequate and will conduct the next IMPEP review in [FY].

We appreciate the positive actions that you and your staff have taken and are continuing to implement with regard to our comments. I look forward to our agencies continuing to work cooperatively in the future.

Sincerely,

[NAME]
Deputy Executive Director
for Materials, **Waste**, Research, and State, **Tribal
and Compliance** Programs

Enclosure:
As stated

cc: [NAME, RCP, STATE]
[SLO]

Distribution:

DIR RF

DCD (SP01)
(YES√)

PDR

IMPEP Project Manager, ~~STP~~ **DMSSA**

Senior Program Analyst, ~~NMSS~~

[IMPEP TEAM MEMBERS]

RSLO

ASPO

RSAO

Director, ~~HMNS~~ **DMSSA**

OGC

[STATE] File

DOCUMENT NAME: G:\IMPEP\YYYYACKXX.WPD

To receive a copy of this document, indicate in the box: "C" = Copy without attachment/enclosure "E" = Copy with attachment/enclosure "N" = No copy

OFFICE [OFFICE] ~~STP:DD~~ **DMSSA** ~~STP:D~~ **DMSSA** **DEDMWRSTC**

NAME Team Leader

DATE

Appendix E

Frequently Asked Questions

- Q: If I'm on the review team for a program that is to receive a follow-up review, will I automatically be on the follow-up review team?
- A: Not automatically. ~~We try to have as many of the original team members~~ Original team members **do not** as practical come back to participate on the follow-up review, ~~however it is not a necessity and there are many important factors. The scope of the follow-up review is very important. Only the~~ **RSAO for the State** principle reviewers of the indicators receiving a full review **need is required to** participate in the follow-up review **for an Agreement State. New team members are appointed to participate in follow-up IMPEP reviews since this approach allows for unbiased** Also, in some circumstances, it may be desirable to have a new team member on the follow-up review team to give a different perspectives **on Program past or present performance issues.**
- Q: Will a follow-up review always follow a period of Heightened Oversight?
- A: Generally, a follow-up review will follow a period of Heightened Oversight, although the findings of the follow-up review may not necessarily lead to the end of the Heightened Oversight period.
- Q: How long do I need to hold on to my review materials once the review is over?
- A: Normally, we ask that team members retain their review materials only until the final report is issued. However, if a follow-up review is scheduled, team member should retain their materials until the follow-up review report has been issued.
- Q: What recommendations can be closed out during a follow-up review?
- A: **Any R**ecommendations **from previous IMPEP reviews** can **only** be closed out if they are fully evaluated during **a follow-up IMPEP** review. ~~Thus, all recommendations can be closed out during a full follow-up IMPEP review, but the recommendations discussed during the periodic meeting-like portion of a limited scope follow-up review cannot be closed out until the next full IMPEP review.~~