



## ADMINISTRATIVE STAFF SUPPORT UNDER THE INTEGRATED MATERIALS PERFORMANCE EVALUATION PROGRAM (IMPEP)

**AD-600**

---

Issue Date: August 31, 2006

Review Date: August 31, 2009

---

Janet R. Schlueter  
*Director, STP*

Original signed by:  
*Janet R. Schlueter*

*Date: 8/31/06*

---

Dennis K. Rathbun  
*Deputy Director, STP*

Original signed by:  
*Dennis K. Rathbun*

*Date: 8/31/06*

---

Kathleen N. Schneider  
*Procedure Contact, STP*

Original signed by:  
*Kathleen N. Schneider*

*Date: 8/31/06*

---

### **NOTE**

*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 Procedure Contact.*



**Procedure Title: *Administrative Staff Support Under IMPEP***

**Procedure Number: AD-600**

**Page: 1 of 7**  
**Issue Date:**  
**08/31/06**

## **I. INTRODUCTION**

This document provides guidance for the administrative staff support involved in the preparation and management of documents relating to the Integrated Materials Performance Evaluation Program (IMPEP).

## **II. OBJECTIVES**

To provide guidance to the Office of State and Tribal Programs (STP) on the administrative staff support of IMPEP. Support will be provided by the administrative staff from the IMPEP team leader's program office. When the IMPEP team leader is from the Region or another U.S. Nuclear Regulatory Commission (NRC) program office other than STP, additional administrative coordination with STP may be needed.

## **III. BACKGROUND**

It is the policy of the NRC to evaluate the NRC Regional and Agreement State radioactive materials programs in an integrated manner. IMPEP assistance for the IMPEP team leader is performed by the assigned administrative staff.

## **IV. ROLES AND RESPONSIBILITIES**

### **A. STP Director:**

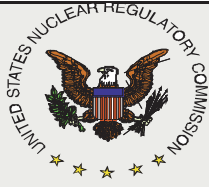
1. Designates the IMPEP Project Manager.
2. Approves and signs the Annual IMPEP Review Schedule.

### **B. STP Deputy Director:**

Signs the Proposed Final IMPEP Reports to the Management Review Board Members.

### **C. IMPEP Project Manager:**

1. Designates the administrative staff to assist in each State IMPEP Review.



**Procedure Title: *Administrative Staff Support Under IMPEP***

**Procedure Number: AD-600**

**Page: 2 of 7**  
**Issue Date:**  
**08/31/06**

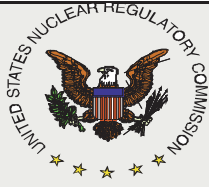
2. Coordinates with the assigned administrative staff regarding IMPEP-related responsibilities.
3. Distributes the Final IMPEP Report and Letter to the Oak Ridge National Laboratory contractor to be posted on STP's web site.

**D. Designated Administrative Staff Support:**

1. Proofreads the IMPEP reports for proper grammar and format.
2. Verifies that the IMPEP related documents are accurate and that they are distributed, either in paper copy or electronic e-mail copy, to the appropriated individuals in the State, the designated State Liaison Officer (SLO), IMPEP review team leader and members, Office of the Executive Director for Operations (OEDO), STP, Office of Nuclear Material Safety and Safeguards (NMSS), Office of the General Counsel (OGC), and the Office of Congressional Affairs (OCA).
3. Profiles and posts the IMPEP-related correspondence in the Agencywide Documents Access and Management System (ADAMS): IMPEP review scheduling letter, the IMPEP reports (draft, proposed final and final versions), the Management Review Board (MRB) public meeting notice, the MRB meeting minutes, and the acknowledgment letter, if a response to the Final IMPEP Report is requested.
4. Schedules the MRB meetings, including those resulting from State periodic meetings, with OEDO, OGC, NMSS, STP, and the appropriate State personnel. Arranges for videoconferencing, bridge numbers, and conference rooms, as appropriate, for the MRB meetings.

**V. GUIDANCE**

The following documents are to be profiled in ADAMS and distributed by the administrative staff. In order to ensure consistency, this procedure establishes naming conventions for the WordPerfect documents, ADAMS profile templating, and distribution instructions (both paper copy and electronic e-mail versions).



**Procedure Title: *Administrative Staff Support Under IMPEP***  
**Procedure Number: AD-600**

**Page: 3 of 7**  
**Issue Date:**  
**08/31/06**

**A. Scheduling Letter**

Scheduling Letter with IMPEP Questionnaire mailed to State.

WordPerfect Name: [YYYY - Year] [XX - State Name Abbreviation] IMPEP Scheduling Letter.wpd.

Distribution (e-mail): IMPEP team leader and members, IMPEP Project Manager, and Regional State Agreements Officer (RSAO).

Distribution (paper copy via regular mail): Letter Addressee; Carbon Copies: SLO, State Radiation Control Program Director, if appropriate.

ADAMS: STP-002 Template Instructions (Appendix A). Profile/Distribution List Codes: SP01 (Appendix C).

**B. IMPEP Questionnaire Response from State**

State returns Questionnaire to team leader. Team leader reviews for completeness, performs the Sensitive Unclassified Non-Safeguards Information (SUNSI) review, and ensures that the document is put into ADAMS by the administrative staff.

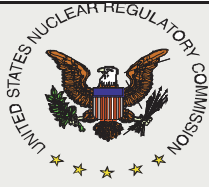
WordPerfect Name: [YYYY - Year] [XX - State Name Abbreviation] IMPEP Questionnaire.wpd.

Distribution (e-mail): IMPEP team leader and members, IMPEP Project Manager, and RSAO.

ADAMS: STP-002 Template Instructions (Appendix A). Profile/Distribution List Codes: SP01 (Appendix C).

**C. Organization Charts Received from State**

State submits organization charts in Questionnaire response or at the IMPEP review. The team leader ensures that the document is put into ADAMS by the administrative staff.



**Procedure Title: *Administrative Staff Support Under IMPEP***

**Procedure Number: AD-600**

**Page: 4 of 7**  
**Issue Date:**  
**08/31/06**

WordPerfect Name: [YYYY - Year] [XX - State Name Abbreviation] IMPEP Organization Charts.wpd

Distribution (e-mail): IMPEP team leader and members, IMPEP Project Manager, and RSAO.

ADAMS: STP-002 Template Instructions (Appendix A). Enter organization charts as individual document. Profile/Distribution List Codes: SP01 (Appendix C).

**D. Draft IMPEP Report**

The Draft IMPEP Report is prepared and signed by the team leader in accordance with STP Procedure SA-100, *Implementation of the Integrated Materials Performance Evaluation Program*. The team leader also performs the SUNSI review. Administrative staff assigned to support the team leader is responsible for typing, proofreading, profiling in ADAMS, and distributing this document.

WordPerfect Name: [YYYY - Year] [XX - State Name Abbreviation] Draft IMPEP Report and Letter.wpd.

Distribution (e-mail): IMPEP team leader and members, IMPEP Project Manager, and RSAO.

Distribution (paper copy via FedEx): Letter Addressee; Carbon Copies: SLO, State Radiation Control Program Director, if appropriate; and Agreement State IMPEP team member.

ADAMS: STP-002 Template Instructions (Appendix A). Create a package inserting Draft IMPEP Report and Letter and organization charts. Profile/Distribution List Codes: SP01 (Appendix C).

**E. State Response to Draft IMPEP Report**

State returns the response to the Draft IMPEP Report to the team leader. The team leader ensures that the document is put into ADAMS by the administrative staff.



**Procedure Title: *Administrative Staff Support Under IMPEP***

**Procedure Number: AD-600**

**Page: 5 of 7**  
**Issue Date:**  
**08/31/06**

WordPerfect Name: N/A

Distribution (e-mail): IMPEP team leader and members, IMPEP Project Manager, and RSAO.

ADAMS: STP-002 Template Instructions (Appendix A).  
Enter State Response as individual document.  
Profile/Distribution List Codes: SP01 (Appendix C).

**F. Proposed Final IMPEP Report**

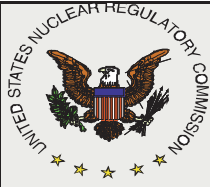
IMPEP Project Manager and team leader revise the Draft IMPEP Report to reflect the State's response. The IMPEP Project Manager also performs the SUNSI review. STP administrative staff assigned to support the State IMPEP review is responsible for typing, proofreading, profiling in ADAMS, and distributing this document.

WordPerfect Name: [YYYY - Year] [XX - State Name Abbreviation] Proposed Final IMPEP Report and Memo.wpd

Distribution (e-mail): IMPEP team leader and members; IMPEP Project Manager; STP Historian and Periodic Meeting Coordinator; IMPEP Staff Contact, Division of Industrial and Medical Nuclear Safety (IMNS), NMSS; STP Agreement State Project Officer (ASPO); and RSAO.

Distribution (NRC paper copy): MRB Members/Memo Addressees; Director, IMNS/NMSS; Assistant General Counsel for Rulemaking and Fuel Cycle, OGC; and Technical Assistant, OEDO.

Distribution (paper copy via FedEx): Carbon Copies: SLO, State Radiation Control Program Director, if appropriate; the Agreement State IMPEP team member; and the Organization of Agreement States (OAS) Liaison to the MRB.



**Procedure Title: *Administrative Staff Support Under IMPEP***

**Procedure Number: AD-600**

**Page: 6 of 7**  
**Issue Date:**  
**08/31/06**

ADAMS: STP-002 Template Instructions (Appendix A). Create a package inserting Proposed Final IMPEP Report and Memorandum, Organization Charts, and State Response. Profile/Distribution List Codes: SP01 (Appendix C).

**G. Management Review Board Meeting Minutes**

The STP Historian and Periodic Meeting Coordinator or a designee takes the minutes at the meeting and circulates the minutes for review to the IMPEP team leader, the IMPEP Project Manager, and the State or Region being reviewed. STP administrative staff assigned to support the State IMPEP review is responsible for typing, proofreading, profiling in ADAMS, and distributing this document.

WordPerfect Name: [YYYY - Year] [XX - State Name Abbreviation] MRB Minutes.wpd

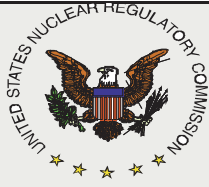
Distribution (e-mail): IMPEP team leader; IMPEP Project Manager; STP Historian and Periodic Meeting Coordinator; STP ASPO; and RSAO.

Distribution (NRC/  
State paper copy): MRB Members; Carbon Copies: State Radiation Control Program Director and OAS Liaison to the MRB.

ADAMS: STP-002 Template Instructions (Appendix A). Profile/Distribution List Codes: SP01 (Appendix C).

**H. Final IMPEP Report**

Final IMPEP Report is coordinated by the team leader and the IMPEP Project Manager by revising the Proposed Final IMPEP Report to reflect the actions recommended by the MRB. STP administrative staff assigned to support the State IMPEP review is responsible for typing, proofreading, profiling in ADAMS, and distributing this document. The Final IMPEP Report is signed by the Deputy Executive Director for Materials, Research, State and Compliance Programs, OEDO.



**Procedure Title:** *Administrative Staff Support Under IMPEP*  
**Procedure Number:** AD-600

**Page:** 7 of 7  
**Issue Date:**  
08/31/06

WordPerfect Name: [YYYY - Year] [XX - State Name Abbreviation] Final  
IMPEP Report and Letter.wpd

Distribution (e-mail): IMPEP team leader and members; IMPEP Project Manager;  
IMPEP Staff Contact, IMNS/NMSS; STP ASPO; and  
RSAO.

Distribution (NRC/  
State paper copy): MRB Members; NRC Commission; Technical Assistant,  
OEDO; Director, IMNS/NMSS; Assistant General Counsel  
for Rulemaking and Fuel Cycle; OGC; OCA (2 copies);  
and Agreement State IMPEP team member.

Distribution  
(Regular Mail): OEDO administrative staff dispatches to the State  
Addressee; Carbon Copies: SLO, OAS Liaison to the  
MRB, State Radiation Control Program Director, if  
appropriate.

ADAMS: STP-003 Template Instructions (Appendix B). Create a  
package inserting the Final IMPEP Report and Letter;  
Organization Charts, and State Response.  
Profile/Distribution List Codes: SP01 (Appendix C).

## **VI. APPENDICES**

Appendix A ADAMS Profiling Template - STP-002  
Appendix B ADAMS Profiling Template - STP-003  
Appendix C RIDS Code SP01

## **VII. REFERENCES**

STP Procedure SA-100, *Implementation of the Integrated Materials Performance  
Evaluation Program*



## **APPENDIX A**

### **STP-002 TEMPLATE**

# ADAMS DOCUMENT PROCESSING INSTRUCTION TEMPLATE LOCAL OFFICE POLICY AND PROCEDURES FOR NRC GENERATED DOCUMENTS

**ADAMS Document Processing Instruction Number:**

**STP-002**

## 1. Document Type or Category

These instructions are to be applied to documents in the type or category of:

**Name of Document Type or Category:**

Agreement State Integrated Materials Performance Evaluation Program (IMPEP) Letters, Memoranda, Meeting Minutes, Public Meeting Notice

## 2. Description of Documents in this Category

Following is a description of the specific documents that are included in this type or category. If you have a question regarding the applicability of these instructions to your document(s), contact the person listed in instruction number 3.

**Description of Documents:**

Per Management Directive 5.6, *Integrated Materials Performance Evaluation Program*

(*IMPEP*), it is the NRC's policy to evaluate the "Agreement State radiation control programs"

using common and non-common performance indicators, to ensure that public health and

safety are adequately protected and that Agreement State programs are compatible

with NRC's program. A Management Review Board, composed of senior level managers,

reviews the IMPEP team's evaluations (findings and recommendations). As a result of

IMPEP, the following documents are generated by the NRC staff: (1) Scheduling letter -

date of IMPEP review (signed by STP or the Regions); (2) Draft IMPEP letter report (signed

by STP or the Regions); (3) Proposed Final IMPEP memorandum report (signed by STP);

(4) Public Meeting Notice for Management Review Board meeting (signed by STP); (5) Final

IMPEP letter report (signed by OEDO; see STP-003 Template); (6) Management Review

Board final meeting minutes memoranda (signed by STP); (7) Acknowledgment Letter, if

State responded to the Final IMPEP letter report (signed by STP or OEDO). Documents

# ADAMS DOCUMENT PROCESSING INSTRUCTION TEMPLATE LOCAL OFFICE POLICY AND PROCEDURES FOR NRC GENERATED DOCUMENTS

generated by the States: (1) Questionnaire Response; (2) Organization Charts; (3) State Response to Draft IMPEP letter report; and (4) State Response to Final IMPEP letter report, if appropriate.

## 3. Organizations That Maintain and Use These Instructions

The name of the NRC organization responsible for creating and maintaining these instructions is:

**Name of Organization:**

Office of State and Tribal Programs (STP)

The name of the individual to contact with questions or comments about these instructions is:

**Contact Name:**

Kathaleen Kerr, STP (415-3340)

Gwen Davis, STP (415-2325)

The names of the NRC organizations required to follow these instructions are:

**Names of Organizations:**

Office of State and Tribal Programs (STP)

Regions I, II, III, IV (Regional State Agreements Officers/RSAs)\*

\*If an RSAO is the Team Leader on an IMPEP review, the Scheduling letter, Questionnaire Responses from the State, Organization Charts, Draft IMPEP letter report, and State Response to Draft IMPEP letter report are document types that the RSAs' Administrative Staff will enter into ADAMS according to this template.

# ADAMS DOCUMENT PROCESSING INSTRUCTION TEMPLATE LOCAL OFFICE POLICY AND PROCEDURES FOR NRC GENERATED DOCUMENTS

## 4. When to Add Documents to ADAMS

Documents in this type or category are to be added to ADAMS when they are in the stage of their life-cycle indicated below:

	<p><b>A. Add Documents using Draft Document Class when they are first ready to be shared for review and comments. ADAMS will be used to store and manage the documents from their initial draft through their final draft stage to their final Official Agency Record stage.</b></p>
	<p><b>B. Add Documents using Draft Document Class when they are ready to be routed for final concurrence or they are ready to be sent to another office for further processing or actions. ADAMS will be used to store and manage the documents from their final draft stage to their Official Agency Record stage.</b></p> <p><b>Initial draft versions of the documents (if any) are stored outside of ADAMS and the documents are added to ADAMS when are ready to be routed for concurrence.</b></p>
<b>X</b>	<p><b>C. Add Documents using Official Record Document Class after obtaining concurrence when they are final and ready to be declared as Official Agency Records. ADAMS will be used to store and manage the documents in their final Official Agency Record stage.</b></p> <p><b>Initial and final draft versions of the documents (if any) are stored outside of ADAMS and concurrences (if applicable) are obtained and captured on the documents before they are added to ADAMS.</b></p>

**Additional or Special Instructions:**


# ADAMS DOCUMENT PROCESSING INSTRUCTION TEMPLATE LOCAL OFFICE POLICY AND PROCEDURES FOR NRC GENERATED DOCUMENTS

## 5. Responsibilities for Adding and Finalizing Documents

### A. Entry of Documents to ADAMS

The staff listed below are responsible for adding the documents in this type or category to ADAMS. This includes completing the document processing steps described in Instruction Numbers 6, 7, 8, and 9.

#### Documents are Added by:

STP: K. Kerr, G. Davis

-----  
RSAOs' Administrative Staff, if appropriate

#### Additional or Special Instructions:

### B. Finalizing the Documents in This Type or Category

The staff listed below are responsible for finalizing the documents in this type or category. This includes completing the following steps:

1. Ensuring that any previous versions of the final document that meet the criteria to be saved as part of the final record are marked as "permanent."
2. Conducting a quality control check on the document profile fields, security access rights, and formatting and pagination of the document.
3. Executing the ADAMS function "**Declare as Official Agency Record.**"

For additional information see the ADAMS Policy and Procedure Handbook, Chapter 10, "Finalizing a Document and Document Package."

#### Documents are Finalized by:

STP: K. Kerr, G. Davis

-----  
RSAOs' Administrative Staff, if appropriate

#### Additional or Special Instructions:

<b>ADAMS DOCUMENT PROCESSING INSTRUCTION TEMPLATE LOCAL OFFICE POLICY AND PROCEDURES FOR NRC GENERATED DOCUMENTS</b>
--

<b>5. Responsibilities for Adding and Finalizing Documents</b>
--

<b>C. Distributing the Final Documents in This Type or Category</b>
---

The staff listed below are responsible for distributing the final documents in this type or category. This includes completing the document processing steps described in Instruction Numbers 10 and 11.

**Documents are Distributed by:**

STP: K. Kerr, G. Davis

-----  
RSAOs' Administrative Staff, if appropriate

**Additional or Special Instructions:**

<b>D. Filing Documents in the ADAMS File Plan</b>
---

The staff listed below are the ADAMS Record Custodian(s) responsible for filing the Official Agency Records in the ADAMS File Plan using the ForeMost software. This includes completing the document processing step described in Instruction Number 12.

**Name(s) of ADAMS Record Custodian(s):**

STP: Central Files is STP's ADAMS Records Custodians

-----  
Regions' ADAMS Records Custodians according to their local policy and procedures.

**Additional or Special Instructions:**

# ADAMS DOCUMENT PROCESSING INSTRUCTION TEMPLATE LOCAL OFFICE POLICY AND PROCEDURES FOR NRC GENERATED DOCUMENTS

## 6. Identification of ADAMS Library

Documents in this type or category are to be added to the following ADAMS Library:

<b>X</b>	<b>Main Library</b>
	<b>Allegations and Investigations Library</b>
	<b>Discrimination Complaint Files Library</b>
	<b>Inspector General Library</b>

## 7. Placement of Documents into ADAMS Library Folders

Use the following Library Folder(s) for the documents in this category:

### Library Folders to be Used for Final Documents

<b>Folder Name 1:</b>	<b>Folder Name 2:</b>
None	<b>Regions' Designation, if appropriate</b>
<b>Folder Name 3:</b>	<b>Folder Name 4:</b>

**Additional or Special Instructions:**


# ADAMS DOCUMENT PROCESSING INSTRUCTION TEMPLATE LOCAL OFFICE POLICY AND PROCEDURES FOR NRC GENERATED DOCUMENTS

## 8. Preparing the ADAMS Document Profile for Official Records

Enter data into the Document Profile properties as indicated below for the Official Record documents in this category.

**Class**

### Official Record

Document Properties	Value
Item ID	System Assigned
Accession Number	System Assigned
Estimated Page Count	Numeric characters
Document Date	Date printed/stamped on document. Format is: MM/DD/YYYY
Document Type (MV)	Integrated Materials Performance Evaluation Program (IMPEP) - Letter, Memoranda, Meeting Minutes, etc.
Availability	Publicly available
Title	Date of Document MM/DD/YYYY; Document Addressed to/from (Name); Description of the subject of the document or "subject line," if appropriate (i.e., 12/22/2000 Letter to E. D. Bailey Re California Draft IMPEP Report)
Author Name (MV)	Signer of the letter - picklist
Author Affiliation (MV)	NRC/STP or Region
Addressee Name (MV)	Required
Addressee Affiliation (MV)	State of _____
Docket Number (MV)	
License Number (MV)	
Case/Reference Number (MV)	
Document/Report Number (MV)	



# ADAMS DOCUMENT PROCESSING INSTRUCTION TEMPLATE LOCAL OFFICE POLICY AND PROCEDURES FOR NRC GENERATED DOCUMENTS

## 8. Preparing the ADAMS Document Profile for Official Records

Enter data into the Document Profile properties as indicated below for the Official Record documents in this category.

**Class**

### Official Record

Document Properties	Value
Keyword (MV)	SUNSI Review Complete STP-002 Template
Document Date Received	
Date Docketed	
Related Date	
Comment	Initials of who entered document into ADAMS.
Vital Records Category	No
Document Status	
Media Type	Electronic
Physical File Location	ADAMS
FACA Document	No
Date to be Released	Letters or Memoranda - five working days from the date of the document; public meeting notice - immediately.
Distribution List Codes	SP01
Contact Person	IMPEP Project Manager (i.e., McCraw Aaron T, STP, 301-415-1277)
Text Source Flag	Native Application
Official Record?	System Assigned
Document Sensitivity	Non-sensitive

# ADAMS DOCUMENT PROCESSING INSTRUCTION TEMPLATE LOCAL OFFICE POLICY AND PROCEDURES FOR NRC GENERATED DOCUMENTS

## 9. Assigning Security Access Controls for Final Documents

### Security Access To Be Used For Final Documents

Use this list to assign the final security access to be used when documents are ready to be declared as Official Agency Records. This is the security access list that will be in effect for the life of the documents. The ADAMS Group, **Records Managers**, will automatically be listed as “**Owner**” when the, “**Declare as Official Agency Record**,” function is executed on a document or document package. Any other group or individual who was granted “Owner” or “Author” rights will be changed by the system to “Viewer” rights when the, “**Declare as Official Agency Record**,” function is executed. Accordingly, it is only necessary to determine who requires “Viewer” rights to final documents. Additionally, the system will automatically include the ADAMS Group “**NRC Users**” (which includes all NRC employees) for all documents that have been made Publicly Available.

Name of ADAMS Group or Individual's GroupWise ID	Access Level			Name of ADAMS Group or Individual's GroupWise ID	Access Level		
	Owner	Author	Viewer		Owner	Author	Viewer
<b>STPADM Regions' Designation</b>	X  X			<b>NRC Users</b>			X
Name of ADAMS Group or Individual's GroupWise ID	Access Level			Name of ADAMS Group or Individual's GroupWise ID	Access Level		
	Owner	Author	Viewer		Owner	Author	Viewer
<b>Document Processing Center</b>	X						
Name of ADAMS Group or Individual's GroupWise ID	Access Level			Name of ADAMS Group or Individual's GroupWise ID	Access Level		
	Owner	Author	Viewer		Owner	Author	Viewer
Name of ADAMS Group or Individual's GroupWise ID	Access Level			Name of ADAMS Group or Individual's GroupWise ID	Access Level		
	Owner	Author	Viewer		Owner	Author	Viewer

<b>ADAMS DOCUMENT PROCESSING INSTRUCTION TEMPLATE LOCAL OFFICE POLICY AND PROCEDURES FOR NRC GENERATED DOCUMENTS</b>
--

<b>10. Internal Distribution of Final Documents</b>
---

Final documents in this category are to be distributed to internal recipients using the following distribution method:

**Method of Internal Distribution:**

ADAMS "Send To" Function to the appropriate individuals/offices. Management Review

Board members should receive paper copies.

**Additional or Special Instructions:**

<b>11. External Distribution of Final Documents</b>
---

Final documents in this category are to be distributed to external recipients using the following distribution method:

**Method of External Distribution:**

STP, K. Kerr or G. Davis by U.S. Mail.

RSAOs' Administrative Staff, as appropriate, by U.S. Mail.

**Additional or Special Instructions:**

**ADAMS DOCUMENT PROCESSING INSTRUCTION TEMPLATE  
LOCAL OFFICE POLICY AND PROCEDURES  
FOR NRC GENERATED DOCUMENTS**

**12. Filing in Records Management Software (ForeMost)**

The File Codes listed below are to be used when filing documents in this category in the ForeMost records management software:

**File Codes to be Used:**

STP: Central Files is STP's ADAMS Records Custodians. File codes to be determined  
by them.

Regions' Records Custodians

## **APPENDIX B**

### **STP-003 TEMPLATE**

# ADAMS DOCUMENT PROCESSING INSTRUCTION TEMPLATE LOCAL OFFICE POLICY AND PROCEDURES FOR NRC GENERATED DOCUMENTS

**ADAMS Document Processing Instruction Number:**

STP-003

## 1. Document Type or Category

These instructions are to be applied to documents in the type or category of:

**Name of Document Type or Category:**

Agreement State Integrated Materials Performance Evaluation Program (IMPEP) Letters

Signed by the Deputy Executive Director for Materials, Research, State and Compliance Programs, Office of the Executive Director for Operations.

## 2. Description of Documents in this Category

Following is a description of the specific documents that are included in this type or category. If you have a question regarding the applicability of these instructions to your document(s), contact the person listed in instruction number 3.

**Description of Documents:**

Per Management Directive 5.6, *Integrated Materials Performance Evaluation Program*

(*IMPEP*), it is the NRC's policy to evaluate the "Agreement State radiation control programs"

in an integrated manner, using common and non-common performance indicators, to ensure

that public health and safety are adequately protected and that Agreement State programs

are compatible with NRC's program. A Management Review Board, composed of senior

level managers, reviews the IMPEP team's evaluation (findings and recommendations).

As a result of IMPEP, the following letters are generated by the NRC staff and signed by the

Deputy Executive Director for Materials, Research, State and Compliance Programs, OEDO:

(1) Final IMPEP Letter Report to the State;

(2) Acknowledgement Letter to State, if appropriate. (This letter is a response to the State's response to the Final IMPEP Letter Report.)

**ADAMS DOCUMENT PROCESSING INSTRUCTION TEMPLATE  
LOCAL OFFICE POLICY AND PROCEDURES  
FOR NRC GENERATED DOCUMENTS**

**3. Organizations That Maintain and Use These Instructions**

The name of the NRC organization responsible for creating and maintaining these instructions is:

**Name of Organization:**

Office of State and Tribal Programs (STP)

The name of the individual to contact with questions or comments about these instructions is:

**Contact Name:**

Kathaleen Kerr, STP (415-3340)

Gwen Davis, STP (415-2325)

The names of the NRC organizations required to follow these instructions are:

**Names of Organizations:**

Office of State and Tribal Programs

# ADAMS DOCUMENT PROCESSING INSTRUCTION TEMPLATE LOCAL OFFICE POLICY AND PROCEDURES FOR NRC GENERATED DOCUMENTS

## 4. When to Add Documents to ADAMS

Documents in this type or category are to be added to ADAMS when they are in the stage of their life-cycle indicated below:

	<p><b>D. Add Documents using Draft Document Class when they are first ready to be shared for review and comments. ADAMS will be used to store and manage the documents from their initial draft through their final draft stage to their final Official Agency Record stage.</b></p>
<b>X</b>	<p><b>E. Add Documents using Draft Document Class when they are ready to be routed for final concurrence or they are ready to be sent to another office for further processing or actions. ADAMS will be used to store and manage the documents from their final draft stage to their Official Agency Record stage.</b></p> <p><b>Initial draft versions of the documents (if any) are stored outside of ADAMS and the documents are added to ADAMS when are ready to be routed for concurrence.</b></p>
	<p><b>C. Add Documents using Official Record Document Class after obtaining concurrence when they are final and ready to be declared as Official Agency Records. ADAMS will be used to store and manage the documents in their final Official Agency Record stage.</b></p> <p><b>Initial and final draft versions of the documents (if any) are stored outside of ADAMS and concurrences (if applicable) are obtained and captured on the documents before they are added to ADAMS.</b></p>

**Additional or Special Instructions:** Draft documents should be added to ADAMS after STP Management has concurred. If there are enclosures to the letter, they should be in one WordPerfect file with the letter unless the format of the enclosures precludes it. If it is necessary to create a package of the letter with its enclosures, security rights need to be granted for each document in the package and the enclosures should appear in the contents of the package as listed in the document. If there is an incoming letter, a package should be created containing the incoming and the response. Security rights should be given to EDO as "owner."



# ADAMS DOCUMENT PROCESSING INSTRUCTION TEMPLATE LOCAL OFFICE POLICY AND PROCEDURES FOR NRC GENERATED DOCUMENTS

## 5. Responsibilities for Adding and Finalizing Documents

### A. Initial Entry of Documents to ADAMS

The staff listed below are responsible for initially adding the documents in this type or category to ADAMS. This includes completing the document processing steps described in Instruction Numbers 6, 7(A), 8, and 10.

#### Documents are Initially Added by:

STP: K. Kerr, G. Davis

#### Additional or Special Instructions:

### B. Routing Documents for Concurrence

The staff listed below are responsible for routing the documents in this type or category to obtain concurrences. These staff are responsible for completing the document processing step described in Instruction Number 12.

#### Documents are Routed for Concurrence by:

STP: K. Kerr, G. Davis

#### Additional or Special Instructions:

When document has been concurred on by STP Management, add to ADAMS and put in STP "Suspense Folder." The original paper copy of the letter, with enclosures, is taken to the OEDO mailroom and date-stamped.

# ADAMS DOCUMENT PROCESSING INSTRUCTION TEMPLATE LOCAL OFFICE POLICY AND PROCEDURES FOR NRC GENERATED DOCUMENTS

## 5. Responsibilities for Adding and Finalizing Documents

### C. Finalizing the Documents in This Type or Category

The staff listed below are responsible for finalizing the documents in this type or category. This includes completing the document processing steps described in Instruction Numbers 7 (B), 9, 11, 13 and 14. In addition these staff are responsible for:

1. Ensuring that any previous versions of the final document that meet the criteria to be saved as part of the final record are marked as "permanent."
2. Conducting a quality control check on the document profile fields, security access rights, and formatting and pagination of the document.
3. Executing the ADAMS function "**Declare as Official Agency Record.**"

For additional information see the ADAMS Policy and Procedure Handbook, Chapter 10, "Finalizing a Document and Document Package."

#### Documents are Finalized by:

STP: K. Kerr, G. Davis

#### Additional or Special Instructions:

OEDO will date the document and return to STP for finalizing in ADAMS.

<b>ADAMS DOCUMENT PROCESSING INSTRUCTION TEMPLATE LOCAL OFFICE POLICY AND PROCEDURES FOR NRC GENERATED DOCUMENTS</b>
--

<b>5. Responsibilities for Adding and Finalizing Documents</b>
--

<b>D. Distributing the Final Documents in This Type or Category</b>
---

The staff listed below are responsible for distributing the final documents in this type or category. This includes completing the document processing steps described in Instruction Numbers 15 and 16.

**Documents are Distributed by:**

OEDO and STP (K. Kerr, G. Davis)

**Additional or Special Instructions:**

OEDO will distribute the original to the addressee, including carbon copies, to the OEDO staff and the Commisisoners, by paper, and STP by e-mail using the ADAMS "Send To" function; OEDO will also distribute a paper copy to STP; STP will be responsible for the remaining distribution.

<b>E. Filing Documents in the ADAMS File Plan</b>
---

The staff listed below are the ADAMS Record Custodian(s) responsible for filing the Official Agency Records in the ADAMS File Plan using the ForeMost software. This includes completing the document processing step described in Instruction Number 17.

**Name(s) of ADAMS Record Custodian(s):**

STP: Central Files is STP's ADAMS Records Custodians

**Additional or Special Instructions:**

# ADAMS DOCUMENT PROCESSING INSTRUCTION TEMPLATE LOCAL OFFICE POLICY AND PROCEDURES FOR NRC GENERATED DOCUMENTS

## 6. Identification of ADAMS Library

Documents in this type or category are to be added to the following ADAMS Library:

<b>X</b>	<b>Main Library</b>
	<b>Allegations and Investigations Library</b>
	<b>Discrimination Complaint Files Library</b>
	<b>Inspector General Library</b>

## 7. Placement of Documents into ADAMS Library Folders

Use the following Library Folder(s) for the documents in this category:

### A. Library Folders to be Used for Draft Documents

<b>Folder Name 1:</b>	<b>Folder Name 2:</b>
STP Suspense Folder	
<b>Folder Name 3:</b>	<b>Folder Name 4:</b>

### B. Library Folders to be Used For Final Documents

<b>Folder Name 1:</b>	<b>Folder Name 2:</b>
None	
<b>Folder Name 3:</b>	<b>Folder Name 4:</b>
<b>Folder Name 5:</b>	<b>Folder Name 6:</b>

**Additional or Special Instructions:**

# ADAMS DOCUMENT PROCESSING INSTRUCTION TEMPLATE LOCAL OFFICE POLICY AND PROCEDURES FOR NRC GENERATED DOCUMENTS

## 8. Preparing the ADAMS Document Profile for Draft Documents

Enter data into the Document Profile properties as indicated below for the Draft documents in this category.

**Class**

**Draft**

Document Properties	Value
Item ID	System Assigned
Accession Number	System Assigned
Estimated Page Count	Numeric characters
Document Date	Date printed/stamped on document. Format is: MM/DD/YYYY
Document Type (MV)	Integrated Materials Performance Evaluation Program (IMPEP) - Agreement States, Letter
Availability	Publicly available
Title	Date of Document MM/DD/YYYYL; Document Addressed to (Name); Description of the subject of letter or the "subject line," if appropriate (i.e., California - Draft IMPEP Report)
Author Name (MV)	Signer of the letter - select from picklist
Author Affiliation (MV)	NRC/EDO
Addressee Name (MV)	Required
Addressee Affiliation (MV)	State of _____
Docket Number (MV)	
License Number (MV)	
Case/Reference Number (MV)	Use OEDO Green Ticket Number, if appropriate (G19990100 - nine digit characters)

# ADAMS DOCUMENT PROCESSING INSTRUCTION TEMPLATE LOCAL OFFICE POLICY AND PROCEDURES FOR NRC GENERATED DOCUMENTS

## 8. Preparing the ADAMS Document Profile for Draft Documents

Enter data into the Document Profile properties as indicated below for the Draft documents in this category.

**Class**

**Draft**

Document Properties	Value
Document/Report Number (MV)	
Keyword (MV)	SUNSI Review Complete EDO-002 Template
Document Date Received	
Date Docketed	
Related Date	
Comment	Initials of person who put document into ADAMS
Vital Records Category	No
Document Status	
Media Type	Electronic
Physical File Location	ADAMS
FACA Document	No
Date to be Released	
Distribution List Codes	SP01
Contact Person	
Text Source Flag	Native Application
Official Record?	System Assigned
Document Sensitivity	Non-Sensitive

# ADAMS DOCUMENT PROCESSING INSTRUCTION TEMPLATE LOCAL OFFICE POLICY AND PROCEDURES FOR NRC GENERATED DOCUMENTS

## 9. Preparing the ADAMS Document Profile for Official Records

Enter data into the Document Profile properties as indicated below for the Official Record documents in this category.

**Class**

### Official Record

Document Properties	Value
Item ID	System Assigned
Accession Number	System Assigned
Estimated Page Count	Numeric characters
Document Date	Date printed/stamped on document. Format is: MM/DD/YYYY
Document Type (MV)	Integrated Materials Performance Evaluation Program (IMPEP) - Agreement States, Letter
Availability	Publicly available
Title	Date of Document MM/DD/YYYY; Document Addressed to (Name); Description of the subject of letter or the "subject line," if appropriate (i.e., California - Draft IMPEP Report)
Author Name (MV)	Signed of the letter - select from picklist, use proper format
Author Affiliation (MV)	NRC/EDO
Addressee Name (MV)	Required
Addressee Affiliation (MV)	State of _____
Docket Number (MV)	
License Number (MV)	
Case/Reference Number (MV)	Use EDO Green Ticket Number, if appropriate (G19990100 - nine digit characters)

# ADAMS DOCUMENT PROCESSING INSTRUCTION TEMPLATE LOCAL OFFICE POLICY AND PROCEDURES FOR NRC GENERATED DOCUMENTS

## 9. Preparing the ADAMS Document Profile for Official Records

Enter data into the Document Profile properties as indicated below for the Official Record documents in this category.

**Class**

### Official Record

Document Properties	Value
Document/Report Number (MV)	
Keyword (MV)	SUNSI Review Complete EDO-002 Template
Document Date Received	
Date Docketed	
Related Date	
Comment	Initials of who entered document into ADAMS.
Vital Records Category	No
Document Status	
Media Type	Electronic
Physical File Location	ADAMS
FACA Document	No
Date to be Released	Five working days from the date of the document
Distribution List Codes	SP01
Contact Person	
Text Source Flag	Native Application
Official Record?	System Assigned
Document Sensitivity	Non-sensitive



# ADAMS DOCUMENT PROCESSING INSTRUCTION TEMPLATE LOCAL OFFICE POLICY AND PROCEDURES FOR NRC GENERATED DOCUMENTS

## 10. Assigning Security Access Controls for Documents Routed for Concurrence

### Security Access To Be Used For Documents Routed For Concurrence

Use this list to establish the security access to be used for documents that are being routed for concurrence. When concurrence has been obtained and the documents are ready to be Declared as Official Agency Records, use the security access list in Instruction Number 11.

Name of ADAMS Group or Individual's GroupWise ID	Access Level			Name of ADAMS Group or Individual's GroupWise ID	Access Level		
	Owner	Author	Viewer		Owner	Author	Viewer
STPADM	X			EDO	X		
Name of ADAMS Group or Individual's GroupWise ID	Access Level			Name of ADAMS Group or Individual's GroupWise ID	Access Level		
	Owner	Author	Viewer		Owner	Author	Viewer
Document Processing Center	X			NRC Users			X
Name of ADAMS Group or Individual's GroupWise ID	Access Level			Name of ADAMS Group or Individual's GroupWise ID	Access Level		
	Owner	Author	Viewer		Owner	Author	Viewer
Name of ADAMS Group or Individual's GroupWise ID	Access Level			Name of ADAMS Group or Individual's GroupWise ID	Access Level		
	Owner	Author	Viewer		Owner	Author	Viewer
Name of ADAMS Group or Individual's GroupWise ID	Access Level			Name of ADAMS Group or Individual's GroupWise ID	Access Level		
	Owner	Author	Viewer		Owner	Author	Viewer
Name of ADAMS Group or Individual's GroupWise ID	Access Level			Name of ADAMS Group or Individual's GroupWise ID	Access Level		
	Owner	Author	Viewer		Owner	Author	Viewer

# ADAMS DOCUMENT PROCESSING INSTRUCTION TEMPLATE LOCAL OFFICE POLICY AND PROCEDURES FOR NRC GENERATED DOCUMENTS

## 11. Assigning Security Access Controls for Final Documents

### Security Access To Be Used For Final Documents

Use this list to assign the final security access to be used when documents are ready to be declared as Official Agency Records. This is the security access list that will be in effect for the life of the documents. The ADAMS Group, **Records Managers**, will automatically be listed as “**Owner**” when the, “**Declare as Official Agency Record**,” function is executed on a document or document package. Any other group or individual who was granted “Owner” or “Author” rights will be changed by the system to “Viewer” rights when the, “**Declare as Official Agency Record**,” function is executed. Accordingly, it is only necessary to determine who requires “Viewer” rights to final documents. Additionally, the system will automatically include the ADAMS Group “**NRC Users**” (which includes all NRC employees) for all documents that have been made Publicly Available.

Name of ADAMS Group or Individual's GroupWise ID	Access Level			Name of ADAMS Group or Individual's GroupWise ID	Access Level		
	Owner	Author	Viewer		Owner	Author	Viewer
STPADM	X			EDO	X		
Name of ADAMS Group or Individual's GroupWise ID	Access Level			Name of ADAMS Group or Individual's GroupWise ID	Access Level		
	Owner	Author	Viewer		Owner	Author	Viewer
Document Processing Center	X			NRC Users			X
Name of ADAMS Group or Individual's GroupWise ID	Access Level			Name of ADAMS Group or Individual's GroupWise ID	Access Level		
	Owner	Author	Viewer		Owner	Author	Viewer
Name of ADAMS Group or Individual's GroupWise ID	Access Level			Name of ADAMS Group or Individual's GroupWise ID	Access Level		
	Owner	Author	Viewer		Owner	Author	Viewer

# ADAMS DOCUMENT PROCESSING INSTRUCTION TEMPLATE LOCAL OFFICE POLICY AND PROCEDURES FOR NRC GENERATED DOCUMENTS

## 12. Routing Documents For Concurrence

Use the method indicated below to route the documents in this type or category to obtain concurrences.

	<b>Documents Do Not Require Concurrence</b>
	<b>Route Documents Using Ad-hoc Workflow</b>
	<b>Route Documents Using Saved Workflow</b>
	<u>Name and Location of Saved Workflow</u>
X	<b>Route Documents Using E-Mail With ADAMS "Send To" Function</b>
	<b>Route Documents in Paper Format</b>

### **Additional or Special Instructions:**

When document has been concurred on by STP Management, add to ADAMS and put in STP "Suspense Folder." Take original paper copy to OEDO mailroom.

## 13. Capturing Concurrences

Use the method indicated below to capture concurrences for the documents in this type or category.

	<b>Documents Do Not Require Concurrence</b>
X	<b>Type Concurrence Data on the Standard Concurrence Grid</b>
	<b>Capture Concurrence Data Using ADAMS Automated Workflow Capture Process</b>
	<b>(Future ADAMS Release)</b>

### **Additional or Special Instructions:**

**ADAMS DOCUMENT PROCESSING INSTRUCTION TEMPLATE  
LOCAL OFFICE POLICY AND PROCEDURES  
FOR NRC GENERATED DOCUMENTS**

**14. Obtaining Signature**

The documents in this type or category require the signature of an NRC Official.

**Yes**

**No**

**Additional or Special Instructions:**

TBD

**15. Internal Distribution of Final Documents**

Final documents in this category are to be distributed to internal recipients using the following distribution method:

**Method of Internal Distribution:**

OEDO and STP will distribute by e-mail using ADAMS "Send To" function. The Management Review Board will receive paper copies of the documents.

**Additional or Special Instructions:**

OEDO will distribute to OEDO staff and the Commissioners, by paper, and STP by using the ADAMS "Send To" function. OEDO will also distribute a paper copy to STP; STP will finish the rest of the distribution either by e-mails or paper copies.

<b>ADAMS DOCUMENT PROCESSING INSTRUCTION TEMPLATE LOCAL OFFICE POLICY AND PROCEDURES FOR NRC GENERATED DOCUMENTS</b>
--

<b>16. External Distribution of Final Documents</b>
---

Final documents in this category are to be distributed to external recipients using the following distribution method:

**Method of External Distribution:**

OEDO will distribute the letter to the external addresses, including carbon copies, by paper, through the U.S. Mail. STP will distribute the letter to any other external addresses, as appropriate.

**Additional or Special Instructions:**

<b>17. Filing in Records Management Software (ForeMost)</b>
---

The File Codes listed below are to be used when filing documents in this category in the ForeMost records management software:

**File Codes to be Used:**

STP: Central Files is STP's ADAMS Records Custodians. File codes to be determined by them.

## APPENDIX C

### **RIDS Code SP01 (Correspondence Related to Agreement State IMPEP Reviews)**

#### SP01

RidsEdoMailCenter  
RidsNmssImns  
RidsRgn1DnmsRsao  
RidsRgn1OraRslo  
RidsRgn2OraRslo  
RidsRgn3DnmsRsao  
RidsRgn3OraRslo  
RidsRgn4DnmsRsao  
RidsRgn4OraRslo  
RidsStpMailCenter

#### Designated Staff

Martin Virgilio  
Charles Miller  
Duncan White  
Nancy McNamara/Marjorie McLaughlin  
Robert Trojanowski  
James Lynch  
Roland Lickus/Sheri Minnick  
Linda McLean/Randall Erickson  
William Maier  
Kathleen Kerr