

Appendix A:
Basic-level Training and Certification Journal

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Introduction

The inspector training and qualification program requires that you complete a variety of activities, each of which is designed to help you learn information or practice a skill that will be important to performing the job of an inspector. When you have completed the entire qualification process, you will have demonstrated each of the competencies that describe a successful inspector.

A competent inspector must:

1. Understand the legal basis for and the regulatory processes used to achieve the NRC's regulatory objectives by
 - acquiring a fundamental understanding of the USNRC organizational structure and objectives (Regulatory Framework)¹
 - understanding the basis for the authority of the agency (Regulatory Framework)
 - understanding the processes established to achieve the regulatory objectives (Regulatory Framework)
2. Understand the technology and apply concepts in various technical areas to allow the NRC to carry out its overall responsibilities by
 - understanding science and engineering fundamentals in a your field of expertise (Fundamental Plant Design and Operation)
 - developing and maintaining an understanding of how basic nuclear plant design and operations provide for protection of public health and safety (Fundamental Plant Design and Operation)
 - using knowledge of a specific reactor type or within a specialized technical area to identify, address and resolve regulatory issues (Technical Area Expertise)
3. Master the techniques and skills needed to collect, analyze, and integrate information using a safety focus to develop a supportable regulatory conclusion by
 - independently gathering information through objective review, observation, and open communications (Inspection)
 - determining acceptability of information by comparing to established criteria (Inspection)
 - responding to events or conditions involving potential or actual adverse safety consequence (Emergency Response)
 - approaching problems objectively, gathering and integrating information, and developing a comprehensive understanding before reaching a conclusion (Problem Analysis)
 - objectively analyzing and integrating information using a safety focus to identify the appropriate regulatory conclusion and regulatory response (Assessment and Enforcement)
4. Have the personal and interpersonal skills to carry out their assigned regulatory activities either individually or as part of a team by

¹Competency areas are listed in parenthesis following each item

- clearly expressing ideas or thoughts, carefully listening, and speaking and writing with appropriate safety focus and context (Communication)
- working collaboratively with others toward common objectives (Teamwork)
- working independently, exercising judgement, and exhibiting flexibility in the completion of activities including during difficult or challenging situations (Self-Management)
- using technology to gather, manipulate, and share information (Information Technology)

Program Organization

The inspector qualification process has two levels. The first level is the Basic-Level. Basic-level activities are designed to help you develop an awareness of the role of the Agency, your role as an inspector, and the technology you will be inspecting. Successfully completing the Basic-level work will provide you with a context for meaningful learning during on-site work and a foundation for in-depth learning at the next level. After successfully completing the Basic-level activities, you will be eligible to receive a *Basic Inspector Certification*.

With a *Basic Inspector Certification* you may be assigned to perform limited scope inspection activities under an appropriate degree of detailed supervision. The scope of your assigned inspection activities will be controlled by your immediate supervisor. Typically, your supervisor will review your work in detail at specified points during the course of your qualification activities. You can be asked to conduct inspection activities but will not be expected to independently reach conclusions, describe official agency positions on evolving issues, or act as an official agency spokesperson. The emphasis in the inspector qualification program is on competencies. There is no set time for completing each segment of the program nor do the on-the-job activities specify an exact number of times you must practice a task. You must practice until you can perform inspector tasks successfully in accordance with the evaluation criteria. Therefore, the time needed to complete all of the requirements to receive a *Basic Inspector Certification* will vary based on your previous education, training, and experience. Most employees will require several months to complete the work to be eligible to achieve *Basic Inspector Certification*.

The second level of the qualification process is the Proficiency-Level, which has two parts. One part is General Proficiency activities, which are designed to develop your interpersonal and inspection skills. The second part is Technical Proficiency activities, which are designed to develop your technical expertise in one of the inspector classifications. The final activity in the Proficiency Level is to appear before a qualification board. You may work on the General and Technical Proficiency Journals at the same time. Successful completion of the board will ensure that you have a sufficiently integrated understanding of the role of the Agency, the inspection program, and your role as an inspector to act independently in the field. Upon successful completion of all Proficiency Level activities, including the qualification board, you will be eligible to receive *Full Inspector Qualification*. As a fully qualified Inspector you will be assigned the full scope of inspection activities to perform independently.

There are three Qualification Journals (Basic-Level, General Proficiency-Level and Technical Proficiency-Level) you will need to complete during the inspector qualification

process. Each journal identifies the classroom requirements and provides the individual study activities and on-the-job learning activities you must complete. The signature cards and certifications, which you will use to document your progress as you move through the Basic- and Proficiency-Level, can be found at the end of each journal. Each journal also contains a form to document the justification for accepting equivalent training or experience as a means of meeting an inspector qualification requirement. The signature cards, certification pages, and equivalency justification pages will become the permanent record of your completion of the inspector qualification program and will be placed in your official file.

Required Basic-Level Training Courses:

These courses can be taken in any order, with the exception of G-104, which should be taken after you have completed the majority of the other work in this journal.

- H-100, Site Access training
- R-100, Reactor Concepts
- Ethics Training - Web-based as part of ISA-3
- Allegations Training - Web-based as part of ISA-5
- P-105, PRA Basics for Regulatory Applications
- G-104, Expectations for Inspectors

Interpersonal Skills Training

The Interpersonal Skills Training Courses listed below are not required until the Proficiency Level for Full Inspector Qualification. However, they can be taken at any time during the inspector qualification process. Successful completion of any of these courses should be documented on the Signature Card in the General Proficiency Qualification Journal.

- Effective Communication for NRC Inspectors
- Gathering Information for Inspectors through Interviews

Technical Training

Technical training may be started at this level, provided that the training does not identify the successful completion of the Basic-level as a prerequisite

Basic-Level Individual Study Activities

The individual study activities are designed to direct and focus your efforts as you begin reviewing documents that will be important to the performance of your job. Each study activity begins with a **purpose** statement informing you of why the activity is important and how it relates to the job of an inspector. The **level of effort** has been noted so that you have an idea of how much effort should be expended in completing the activity. (Of course, the times are estimates. You may need a little more or a little less time - but use the level of effort as an estimate.) The **evaluation criteria** are listed up front so that you will review them first and better understand what you are expected to achieve as a result of completing the activity. Use the evaluation criteria to help you to focus on what is most important. The **tasks** outline the things you must do in order successfully address the evaluation criteria.

The following general guidance applies as you complete the various study activities:

- ✓ The first three activities should be done first. Becoming familiar with the Agency, the internal and external web sites, and your overall role as an inspector is important for successfully completing many of the remaining activities. You should also become familiar with the content of the remaining activities so that you can complete the activities as opportunities arise.
- ✓ Complete all parts of each activity.
- ✓ Your supervisor will act as a resource as you complete each activity. Your supervisor may also designate other fully qualified individuals to work with you as you complete the various activities. Discuss any questions you may have about the content of anything you read with your supervisor or designated resource.
- ✓ You are responsible for keeping track of what tasks you have completed. Be sure to complete all the tasks in each activity before meeting with your supervisor for evaluation.

Basic-level Individual Study Activity

| | |
|-----------------------------|--|
| TOPIC: | (ISA-1) History and Organization of the Nuclear Regulatory Commission |
| PURPOSE: | The purpose of this activity is to familiarize you with the regulatory history of the commercial nuclear industry and the evolution of the regulatory framework under which today's NRC staff functions. During this activity you will review the organization of the agency and it's staff and the relationships between the major offices. |
| COMPETENCY AREA: | REGULATORY FRAMEWORK |
| LEVEL OF EFFORT: | 8 hours |
| REFERENCES: | Title 10 of the Code of Federal Regulations (CFR) NUREG-1350, USNRC Information Digest NUREG/BR-0175, "A Short History of Nuclear Regulations," Rev. 1, June 2000 |
| EVALUATION CRITERIA: | <p>Upon completion of this activity, you will be asked to demonstrate your understanding of the Agency's regulatory history and development of the commercial applications of nuclear energy, by successfully doing the following:</p> <ol style="list-style-type: none">1. Discuss the purpose of the Atomic Energy Act of 1954, as amended.2. Discuss the major regulatory impacts of the Energy Reorganization Act of 1974, as amended.3. Outline the major offices and briefly describe the functioning of the following: the Commission; the office of the Inspector General; Office of SECY; ASLB; ACRS; commission staff and program offices, including Chief Information Officer, Chief Financial Officer, Executive Director for Operations.4. Describe your Region's or Office's organization and key management positions.5. Discuss the relationship between the NRC and the Department of Energy. |

TASKS:

2. Obtain paper copies or locate and bookmark electronic locations of the above stated reference material for personal use and future reference. Some documents may be available through the regional public affairs office. Electronic copies can be found on the NRC External Website in the Electronic Reading Room
3. Review the reference material to gain an understanding of the principles discussed in the evaluation criteria.
4. Review and discuss the evaluation criteria with your supervisor.

DOCUMENTATION: Basic-level Certification Signature Card Item ISA-1

Basic-level Individual Study Activity

TOPIC: (ISA-2) Navigating the NRC's Internal and External Web Pages

PURPOSE: The purpose of this activity is to familiarize you with the NRC's internal and external web sites and to acquaint you with the information available. Inspectors must routinely review a variety of documents to support their inspection activities. Many of these documents are now available electronically. This individual study activity will familiarize you with the web locations of documents and information vital to your job. This will begin to build the knowledge you will need later to successfully perform your assigned responsibilities.

COMPETENCY

AREA: INFORMATION TECHNOLOGY

LEVEL OF

EFFORT: 8 hours

REFERENCES: NRC Internal and External websites

Regional or Office Guidance (as applicable)

EVALUATION

CRITERIA: There are no specific evaluation criteria for this activity. Use your supervisor or other Agency personnel as a resource as you complete this activity.

NOTE: Circumstances may result in some parts of the web pages being unavailable at times. Complete as much as is possible.

NOTE: There are often several ways to reach a particular piece of information. As you navigate the various web sites you will be directed to bookmark specific information that you will need to access later to complete other activities in this Manual Chapter.

TASKS: Open your web browser and do the following:

1. Explore the NRC's Internal Home Page
 - a. Review the material available under Agency Applications.
Review the topics covered by the Field Policy Manual.
 - b. Locate the Ethics area.
 - i. Review the information available.

- ii. Note the various sources of ethics advice.
- c. Locate the Library Services Area (NRC Technical Library).
 - i. Review the information available.
- d. Locate the Office of Nuclear Reactor Regulation's (NRR's) Home Page. (Hint: NRR is a Program Office)
 - i. Identify the Director, NRR
 - ii. For research and test reactor inspectors, find and review the office organization, the work planning center, Program Support, the RPS help site and Office Letters/ Instructions
 - iii. For power reactor inspectors, find the ROP Digital City and bookmark it. You will need the location of Digital City to complete other individual study activities.
- e. Locate the Office of State and Tribal Program's home page. Review the functions of this program office.
- f. Locate the Office of Nuclear Materials Safety and Safeguards' (NMSS) Home Page and review the functions of the office.
- g. Locate the Office of Enforcement's home page and book mark it. Review the functions of the office.
- h. Locate the Office of the Secretary's (SECY) home page
 - i. Review the functions of the office.
 - ii. Review the purpose of a SECY paper
 - iii. Review the purpose of Staff Requirements Memoranda
- i. Review the information found on each of the NRC Regions web sites (if available).
- j. Locate the site for NRC Management Directives (MDs).
 - i. Find the MD dealing with the NRC Incident Investigation Program; review the purpose of the program.
 - ii. Find the MD dealing with the Management of Allegations; describe the general policy on disclosure of the identity of an allegor.
- k. Locate the Agency's Employee Training and Development web site.
 - i. Locate the Schedule - find the next presentation of the Westinghouse Simulator Refresher course (R-704P) or the Health Physics Technology course (H-201).
 - ii. Review how to enroll in a course.
 - iii. Locate Self-Paced Learning area
 - iv. Find the web-based Allegation Management training.
 - v. Review the list of available web-based learning opportunities.

- vi. Review the list of other available self-paced learning opportunities.

2. Explore the NRC's External (Public) Server

- a. Go to the Electronic Reading Room
 - i. Find the Glossary of Nuclear Terms. (Basic References)
 - ii. Find the NRC Inspection Manual and bookmark it. (Collection of Documents)
 - iii. Find Regulatory Guides. Read about the purpose of a Regulatory Guide.
 - iv. Locate Generic Communication Documents. Review the purpose of each of the types of generic communication documents.
 - v. Find NUREGs. Read about the different types of NUREG documents and determine how you can tell the difference.
 - vi. Find the NRC Regulations contained in Title 10 of the Code of Federal Regulations (CFR).
 - 1. How many volumes comprise Title 10? What parts are applicable to the NRC?
 - 2. Use the search feature and search on 'radiation protection'. View one of the documents to read about what a recent change to CFR involved.
 - 3. View a part of the CFR. Look for the information that indicates when the regulation was issued and amended.
 - vii. Find and review the general purposes and procedures associated with the Privacy and Freedom of Information Acts (FOIA).
 - viii. Locate and review the rulemaking process under "What We Do."
- b. Go to Nuclear Reactors
 - i. Generally review the information relating to the Reactor Oversight Process.
 - ii. Generally review the information found in the Current Performance Indicators and Inspection Findings area. Choose a plant and review that data.

DOCUMENTATION: Basic-level Certification Signature Card Item ISA-2

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Basic-level Individual Study Activity

TOPIC: (ISA-3) Inspector Objectivity, Protocol, and Professional Conduct

PURPOSE: The purpose of this activity is to acquaint you with the NRC's expectations of inspector conduct and protocol. And professionalism are essential to the Agency fulfilling its goals of protecting public health and safety. Inspector conduct is a vital component of the NRC's credibility as an effective regulator. As a qualified inspector, you will often be representing the Agency in interactions with licensee management and workers, local officials, media, and the public. This individual study activity will help you understand NRC procedures, policies, and expectations related to inspector conduct. This activity will also help you develop the professional conduct that you will need to be an effective NRC inspector.

COMPETENCY

AREA: INSPECTION
SELF-MANAGEMENT

LEVEL OF

EFFORT: 8 hours

REFERENCES: NRC Inspection Manual Chapter 0102, "Oversight and Objectivity of Inspectors and examiners at Reactor Facilities "

Management Directive 7.5, "Ethics"

NRC Inspection Manual Chapter 1201, "Conduct of Employees"

NUREG/BR-0075, "Field Policy Manual", No.10, "Conduct of Employees "

NUREG/BR-0075, "Field Policy Manual", No.13, "Witnessing of Unsafe Situations"

Regional or Office guidance related to inspector/employee conduct

EVALUATION

CRITERIA: Upon completion of the tasks in this activity, you will be asked to demonstrate your understanding of proper NRC inspector conduct during inspections at nuclear facilities by successfully addressing the following:

1. What are the expectations of NRC employees regarding:
 - (a) alcohol and illegal drugs?
 - (b) official business and personal relationships?
 - (c) business partnerships with licensees?
 - (d) work habits and professional demeanor?

2. Describe the restrictions regarding the following specific employee activities which could result in a loss of impartiality (or the perception thereof):
 - (a) accepting transportation from a licensee
 - (b) attending social functions essentially limited to licensee and contractor attendance
 - (c) coffee clubs, cafeterias, credit unions
 - (d) property and neighborhood relationships
 - (e) community activities
 - (f) employment of spouse and children
3. Explain the Office of Government Ethics (OGE) standards of ethical conduct for the following areas as applicable to NRC inspectors:
 - (a) gifts from outside sources
 - (b) gifts between employees
 - (c) conflicting financial interests
 - (d) impartiality in performing official duties
 - (e) seeking other employment
 - (f) misuse of power
 - (g) outside activities
4. What are the actions expected to be performed by NRC personnel when they identify unsafe work practices or violations which could lead to an unsafe situation?
5. What are the overall requirements used by NRC managers to verify the performance and objectivity of individual inspectors and team leaders during on-site activities at reactor facilities?
6. How do NRC managers with responsibility for oversight of inspectors assess the performance and objectivity of those inspectors? Your answer should include discussion of the specific areas that NRC management should focus on in assessing inspectors.
7. What are the expectations of inspector conduct in a reactor control room during normal, transient, and emergency conditions?
8. What are NRC employees supposed to do if they receive an allegation of improper action by an NRC staff member or contractor involved in inspection or other oversight activities?

TASKS:

1. Complete the Ethics Training. To access the training, select Ethics on NRC's Internal Web Site. Be sure to print the completion record at the end of the on-line ethics course. This must be presented to your supervisor as evidence that you have completed the course.
2. Locate and review the material specifically listed in the Reference section of this activity.
3. Identify, locate, and review your Region's or Office's policy guidance on inspector/employee conduct. Some of this guidance may be located in directives which describe the duties and responsibilities of specific positions (e.g, resident staff or project engineer guidance). You should closely review the guidance applicable to your position.
4. Meet with the regional counsel in your Region or other designated ethics expert and discuss applications of ethics to your role as an NRC employee. Demonstrate your understanding of the guidance by explaining the answers to the first three questions listed in the Evaluation Criteria section of this activity.
5. Meet with your supervisor, your regional counsel, or other designated ethics expert to discuss any questions you may have as a result of this activity. Discuss the items listed under the Evaluation Criteria section of this study activity with your supervisor.

DOCUMENTATION: Basic-level Certification Signature Card Item ISA-3

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Basic-level Individual Study Activity

TOPIC: (ISA-4) Fitness-For-Duty (FFD) Rule

PURPOSE: The purpose of this activity is to provide you with an understanding of the Fitness for Duty Rule. Nuclear power plants and certain other NRC licensees are required to have fitness-for-duty programs which include drug and alcohol testing procedures and other measures to assure that the licensee staff are capable of operating the facilities safely. Research and test reactors are not subject to 10 CFR 26, but per 10 CFR 55.53(k), each licensed operator "...shall participate in any drug and alcohol testing program that may be established for that non-power facility."

COMPETENCY AREAS: INSPECTION
SELF-MANAGEMENT

LEVEL OF EFFORT: 3 hours

REFERENCES: Enforcement Manual, Chapter 7.4, "Enforcement Actions Involving Fitness-For-Duty (FFD)" (This is for information only for research and test reactor inspectors).

EVALUATION CRITERIA: Upon completion of this activity, you will be asked to demonstrate your understanding of the NRC's Fitness-for-Duty Rule by successfully addressing the following:

1. State the purpose of the NRC's Fitness for Duty Rule and which licensees are required to meet this rule.
2. Explain why the Fitness-for-Duty Rule (10 CFR Part 26) is not considered an "unwarranted" invasion of privacy and how licensees implement the requirements.
3. Discuss the enforcement policy related to violations of the Fitness for Duty Rule.

TASKS:

1. On the NRC's External Web site, use the search function to find information on "fitness for duty."
2. Read the information on the history of the NRC's Fitness for Duty Program.
3. Explore all aspects of the Fitness for Duty Rule and Drug Testing Program guidance provided on the NRC's Web Site.
4. Meet with your supervisor or the person designated to be your resource for this activity and discuss the items listed in the Evaluation Criteria section.

DOCUMENTATION:

Basic-level Certification Signature Card Item ISA-4

Basic-level Individual Study Activity

TOPIC: (ISA-5) Allegations

PURPOSE: The purpose of this activity is to provide you with the opportunity to practice handling an allegation from receipt of the allegation to final disposition. This study activity will help you to effectively interact with individuals bringing concerns to the NRC and to appropriately respond to those concerns.

**COMPETENCY
AREA:** INSPECTION
SELF-MANAGEMENT
COMMUNICATION

**LEVEL OF
EFFORT:** 12 hours

REFERENCES: NRC Management Directive 8.8, "Management of Allegations"

Regional or Office guidance on allegations

**EVALUATION
CRITERIA:** You will be asked to demonstrate your understanding of how to receive, process, and document an allegation by successfully completing allegation processing activities.

TASKS:

1. Complete the web-based training module on Allegations. To access the Allegations Training, select Employee Training and Development on the NRC Internal Website. Select Self-Paced and then Web-Based at the Training Website. Be sure to print the completion certificate at the end of the on-line allegations training. You must present the certificate to your supervisor as evidence that you have successfully completed the course.
2. Review the applicable guidance for allegations
3. Attend at least two (2) allegation review boards (ARB) which include both material and reactor allegations on the agenda
4. Meet with the Allegation Coordinator and have him/her brief you on the allegation process and the Allegation Coordinator's role in the process.

5. Review several allegation files (for closed allegations) and familiarize yourself with the documentation to the concerned individual.
6. Review how the original concern was brought to the NRC's attention.
7. Working with your supervisor, simulate receiving an allegation and complete the required documentation to have the concern presented at an ARB meeting. Discuss with your supervisor a proposed inspection/review of the simulated allegation.
8. Discuss with your supervisor the options available to the NRC to follow up on an allegation and the circumstances when each are appropriate.
9. Obtain the inspection results and/or licensee review information for a concern that has been referred. Discuss the precautions and limitations associated with referrals with your supervisor or the Allegation Coordinator.
10. Compare the inspection results or licensee investigation results to the original concern. Discuss with your supervisor how the inspection results addressed the concerns.
11. Meet with your supervisor or the person designated to be your resource for this activity and discuss the items listed in the Evaluation Criteria section.

DOCUMENTATION: Basic-level Certification Signature Card Item ISA-5

Basic-level Individual Study Activity

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| TOPIC: | (ISA-6) NRC's Response to an Emergency at a Nuclear Facility |
| PURPOSE: | The purpose of this activity is to acquaint you with the actions taken by the NRC in response to an emergency that may occur at a nuclear facility. Emergency response is vital to the Agency, fulfilling one of its primary mandates - protecting the health and safety of the public. As a fully qualified inspector, you will be trained to perform specific emergency response activities. This individual study activity will help you to understand how the NRC meets its emergency response mandate, and will begin to build the knowledge you will need later to successfully perform your assigned emergency response responsibilities. |
| COMPETENCY AREA: | EMERGENCY RESPONSE |
| LEVEL OF EFFORT: | 12 hours |
| REFERENCES: | <p>NRC Internal web page - Program Office - Nuclear Security and Incident Response (NSIR)</p> <p>Management Directive 8.2, "NRC Incident Response Program"</p> <p>Regional Policy Guide for Emergency Response</p> <p>NUREG 0728, "NRC Incident Response Plan" (Note: This NUREG is revised periodically to reflect changes to the agency's activities. Be sure to obtain the most recent version.)</p> |
| EVALUATION CRITERIA: | <p>Upon completion of this activity, you will be asked to demonstrate your understanding of the role of the Agency and your Region or Office in protecting public health and safety when responding to emergency situations at a nuclear facility by successfully addressing the following:</p> <ol style="list-style-type: none">1. Identify the types of emergency classifications and give examples of when the different classifications would be declared.2. Identify the different modes of NRC emergency response and describe the purpose of each mode. |

3. Discuss the capabilities (e.g., communications, information technology, etc.) provided in the Headquarters, Regional, and on-site emergency response facilities
4. Recognizing that these positions may not apply to all nuclear facilities and that the NRC will act with all available resources to respond to an emergency, identify the responsibilities of the following during a declared emergency event:
 - a. Resident staff
 - b. Region-based staff
 - c. Headquarters Staff
 - d. Headquarters Operations Officer
 - e. Licensee
 - f. State and Local officials
 - g. Site team
 - h. Base Team

TASKS:

1. Explore all aspects of the NSIR Organization presented on the NRC's Internal Home Page.
2. Review your Region's or Office's policy guidance on emergency response.
3. Review the NRC Incident Response Plan in order to address the evaluation criteria. Go to Emergency Response on the NRC External Web site and "tour" the Operations Center.
4. Meet with your supervisor or the person designated to be your resource for this activity and discuss the items listed in the Evaluation Criteria section.

DOCUMENTATION:

Basic-level Certification Signature Card Item ISA-6

Basic-level Individual Study Activity

TOPIC: (ISA-7) The Enforcement Process

PURPOSE: The purpose of this activity is to provide you with an overview of the NRC's process for enforcing the Agency's rules and regulations. This individual study activity will assist you in learning, understanding, and using the Agency's enforcement process for a wide variety of circumstances. It will also provide you with information on the internal activities used by the NRC for processing enforcement actions.

COMPETENCY AREA: REGULATORY FRAMEWORK
ASSESSMENT AND ENFORCEMENT

LEVEL OF EFFORT: 12 hours

REFERENCES:

- Enforcement Policy on NRC External Web site
- Enforcement Guidance Documents
- Office of Enforcement Annual Report for FY 2001
- Regional Policy Guide for Enforcement

EVALUATION CRITERIA: Upon completion of the tasks in this activity, demonstrate your understanding of the Agency's enforcement policy by successfully completing the following items:

1. State the purpose of the NRC's enforcement policy.
2. Describe the legal basis from which the NRC derives its enforcement authority.
3. Compare and contrast the different severity levels of violations.
4. Identify the method used to determine the significance of a violation.
5. Identify the method used to assign a severity level to a violation.
6. State the purpose of an enforcement panel

7. State the purpose of a pre-decisional enforcement conference.
8. Discuss the purpose and use of enforcement actions against an individual.
9. Discuss the purpose of civil penalties and how to determine the amount of the penalty.
10. Recognize the purpose of the escalated enforcement process flow chart.
11. Recognize the purpose of the different types of Orders and when they are used.
12. Recognize the purpose of an Exercise of Discretion.
13. Recognize the purpose of a Notice of Enforcement Discretion.

TASKS:

1. Review the overall enforcement process outlined on the NRC External Web site. Select Enforcement from the list under What We Do.
2. Locate the Enforcement Annual Reports in the Electronic Reading Room. Read the Introduction and Overview of the Office of Enforcement Annual Report for FY 2001
3. Locate the Enforcement Manual on the NRC External Web site. Bookmark it for future use and review the table of contents
4. Review your Region's or Office's guidance on implementing the enforcement policy.
5. Meet with the enforcement specialist in your Region or Office to discuss the current enforcement guidance.
6. Meet with your supervisor or the person designated to be your resource for this activity and discuss the items listed in the Evaluation Criteria section.

DOCUMENTATION:

Basic-level Certification Signature Card Item ISA- 7

Basic-level Individual Study Activity

TOPIC: (ISA-8) The Office of Investigations

PURPOSE: The purpose of this activity is to familiarize you with the Office of Investigations (OI). As a fully qualified inspector you may be assigned to work with the Office of Investigations by providing technical support. This individual study activity will help you to understand the role of the Office of Investigations, how it functions, and what your responsibilities will be if you are assigned to assist OI during the conduct of an investigation.

COMPETENCY AREA: INSPECTION
REGULATORY FRAMEWORK

LEVEL OF EFFORT: 1 hour

REFERENCES: MD 9.8, "Organization and Functions, Office of Investigations"
Regional or Office of Investigations Director
Office of Investigations Website on the NRC External Website.

EVALUATION CRITERIA: Upon completion of this activity, you will be asked to demonstrate your understanding of the purpose and function of the Office of Investigations (OI) by successfully addressing the following:

1. State the function of OI.
2. Describe the organizational structure of OI.
3. Describe what your role would be in assisting OI.
4. Describe the authorities of an OI investigator.

TASKS:

1. Review Management Directive 9.8
2. Study the Office of Investigations Web page and associated organizational charts.
3. Meet with your supervisor or the person designated to be your resource for this activity and discuss the items listed in the Evaluation Criteria section.

DOCUMENTATION: Basic-level Certification Signature Card Item ISA-8

Basic-level Individual Study Activity

TOPIC: (ISA-9) Exploring the Operating Reactor Inspection Program

PURPOSE: The purpose of this study activity is for you to obtain a broad overall knowledge of the operating reactor inspection program. Upon completion of this study activity, you will have the necessary background to go into a more detailed study of the inspection program, and learn the specifics of what an inspector does, why it is done, and how it is done.

COMPETENCY AREA: INSPECTION
REGULATORY FRAMEWORK

LEVEL OF EFFORT: 30 hours

REFERENCES: NUREG-1649, "Reactor Oversight Process." (For power reactor inspectors only.)

NRC Inspection Manual Chapter (IMC) 2515. "Light Water Reactor Inspection Program - Operating Phase"

IMC 0612, "Power Reactor Inspection Reports"

IMC 0300, "Announced and Unannounced Inspections"

IMC 0301, "Coordination of NRC Visits to Commercial Reactor Sites"

IMC 0305, "Operating Reactor Assessment Program"

IMC 0330, "Guidance for NRC Review of Licensee Draft Documents"

IMC 0620, "Inspection Documents and Records"

EVALUATION CRITERIA: After completing this study activity, you will demonstrate your understanding of the operating reactor inspection program by successfully doing the following:

1. State when the NRC starts implementing the operating inspection program at a site, and how long it remains in effect.
2. State the seven safety cornerstones and their purpose. (For power reactor inspectors only.)

3. Define the relationship of cornerstones to strategic arenas. (For power reactor inspectors only.)
4. State the three major program elements of the operating reactor inspection program and their specific functions. Identify how often resources are assigned to each program element. (For power reactor inspectors only.)
5. Compare and contrast a “smart” sample and a random sample. Explain why the “smart” sample is more appropriate for the ROP.
6. State the criteria for declaring that an inspection is complete.
7. State the purpose of providing an inspection hours estimate in each procedure.
8. State the purpose and content of inspection reports.
9. State the general policy regarding an inspector's review and handling of non-NRC generated documents.
10. State the policy for announced and unannounced inspections and for controlling major inspection activities at a licensee's site.
11. Describe the characteristics of a “major” inspection activity and state the limitations as to how many can be performed during a specified time limit. (For power reactor inspectors only.)
12. Describe in general terms the implementation of the NRC's operating reactor assessment program.

NOTE: All inspection documents identified below can be obtained from the Electronic Reading Room on the NRC's Website.

TASKS:

1. Locate Inspection Manual Chapter (IMC) 2515, “Light-Water Reactor Inspection Program - Operations Phase,” and its appendices A, B, C, and D or IMC 2545 for Non-Power Reactors. Read the appropriate IMC in detail and scan the appendices to become aware of the organization of the operating inspection program including its major parts.
2. Locate NUREG-1649, “Reactor Oversight Process.” (For power reactor inspectors only.) Read the NUREG to become

aware of the concept of the reactor oversight program, its parts, and how it is implemented through IMC 2515.

3. Locate IMC 0612, "Power Reactor Inspection Reports" (For power reactor inspectors only) or IMC 0610, "Inspection Reports." (For research and test reactor inspectors only). Read the appropriate manual chapter to obtain a general understanding of the objectives of an inspection report, become familiar with the terminology and definitions, the format of an inspection report, and have a general understanding of how inspection "findings" are addressed.
4. Locate IMC 0330, "Guidance For NRC Review of Licensee Draft Documents" and IMC 0620, "Inspection Documents and Records." Scan the two manual chapters to obtain a general knowledge of the types of documents that will be encountered during an inspection and the NRC policy regarding how these documents should be handled.
5. Locate IMC 0300, "Announced and Unannounced Inspections" and IMC 0301, "Coordination of NRC visits to Commercial Reactor Sites." (For power reactor inspectors only.) Scan the applicable manual chapter(s) and determine the difference between announced and unannounced inspections and when each would be used.
6. Locate IMC 0305, "Operating Reactor Assessment Program." (For power reactor inspectors only.) Scan the manual chapter to obtain a broad understanding of how the NRC assesses licensee performance and the actions the NRC takes for varying levels of licensee performance.
7. Meet with your supervisor or the person designated to be your resource for this activity and discuss the items listed in the Evaluation Criteria section.

DOCUMENTATION: Basic-level Certification Signature Card Item ISA-9

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Basic-level Individual Study Activity

TOPIC: (ISA-10) Exploring the Reactor Oversight Program's (ROP) Internal Webpage

PURPOSE: The purpose of this activity is to introduce you to an available resource you might find useful as an inspector.

COMPETENCY AREA: INFORMATION TECHNOLOGY
INSPECTION
COMMUNICATION

LEVEL OF EFFORT: 1 Hour

REFERENCES: Reactor Oversight Program (ROP) Internal Webpage

EVALUATION CRITERIA: There are no specific evaluation criteria for this activity. Use your supervisor or other Agency personnel as a resource as you complete this activity.

TASKS:

1. Open your web browser. Locate the Reactor Oversight Program website on the NRC internal webpage. The Reactor Oversight Process is a program that is supported by the Nuclear Reactor Regulation (NRR) program office.
2. Find the ROP feedback form WordPerfect document. This is the form for internal stakeholders to use to send comments to NRR (the program office) about the ROP process and procedures. Talk with an experienced inspector about the process of submitting a feedback form. If the opportunity is available, work with an experienced inspector as they complete a feedback form.
3. Locate the Program Points of Contact section. Review the list of people from the Inspection Program Branch in NRR and their specific areas of responsibility for the Reactor Oversight Program (ROP).

DOCUMENTATION: Basic Level Certification Signature Card Item ISA-10

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Basic-level Individual Study Activity

TOPIC: (ISA-11) Augmented Inspection Team (AIT), Special Inspection Team (SIT) and Incident Inspection Team (IIT) Activities

PURPOSE: The purpose of this activity is to familiarize you with the actions taken by the NRC in response to incidents that do not require activation of the NRC Incident Response Plan. As a fully qualified inspector, you may be assigned to either an AIT, SIT or IIT inspection activity. This individual study activity will help you to understand how the NRC implements this program, what your responsibilities will be if you are assigned to a team, what the differences are between an AIT, SIT and an IIT, and how this program differs from the NRC Incident Response Program.

COMPETENCY AREA: INSPECTION

LEVEL OF EFFORT: 6 hours

REFERENCES: Management Directive 8.3, "NRC Incident Investigation Program"

Any procedures addressing AIT, SIT or IIT activities

EVALUATION CRITERIA: Upon completion of this activity, you will be asked to demonstrate your understanding of the NRC's AIT, SIT and IIT inspection activities by successfully addressing the following:

1. State the purpose of the NRC's Incident Investigation Program.
2. Describe what an AIT is and its purpose.
3. Describe what an SIT is and its purpose.
4. Describe what an IIT is and its purpose.
5. Describe how the Incident Investigation Program is different than the Incident Response Program.

TASKS:

1. Review Management Directive 8.3. MDs can be found on the NRC Internal Web site.
2. Explore all aspects of the Incident Investigation Program presented on the NRC's Internal Web Site.
3. Review your Region's or Office's guidance on AIT, SIT and IIT activities.
4. Meet with your supervisor, or the person designated to be your resource for this activity, and discuss the answers to the questions listed under the Evaluation Criteria.

DOCUMENTATION:

Basic-level Certification Signature Card Item ISA-11

Basic-level Individual Study Activity

TOPIC: (ISA-12) Understanding How The Commission Operates

PURPOSE: The NRC commissioners establish the approach the NRC staff will use to address a particular need of agency importance. Examples include the commission policy statement regarding NRC staff use of Probabilistic Risk Analysis in the decision making process and resident inspector staffing requirements at power reactor facilities. Commission decisions can have a significant impact on the conduct of inspection activities, inspectors should be familiar with the direction-setting and policy-making activities of the Commission.

COMPETENCY AREA: REGULATORY FRAMEWORK

LEVEL OF EFFORT: 4 Hours

REFERENCES: NRC External Websites

EVALUATION CRITERIA: At the completion of this activity, you should be able to:

1. Locate commission-related documents on the internal and external agency web page.
2. Discuss how staff requirements memoranda are used by the commission to direct the staff.

TASKS

1. Read about the Commission's "Direction-setting and Policy-making" activities under the heading of "What We Do"
2. Read about the different kinds of decision documents issued by the Commission.
3. Find and read Chairman Meserve's speech given on 12/11/2001 about "NRC Programs and Processes for Safety Oversight."
4. Meet with your supervisor or the person designated to be your resource for this activity and discuss the items listed in the Evaluation Criteria section.

DOCUMENTATION: Basic-level Certification Signature Card Item ISA- 12

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Basic-level Individual Study Activity

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| TOPIC: | (ISA-13) Organization and Content of the NRC Inspection Manual |
| PURPOSE: | <p>The purpose of this activity is to introduce you to the contents and organization of the NRC Inspection Manual, and to how those contents relate to inspection programs, particularly the operating reactor inspection program. As an inspector, you will be implementing an inspection program that is defined by a manual chapter and implemented by its associated inspection procedures. This study activity will help you to identify and locate inspection procedures that are used in the operating inspection program and to recognize the limitations associated with applying the guidance contained in the procedures. This activity will also introduce you to manual chapters that establish policy which will govern some of your actions in implementing the inspection program.</p> |
| COMPETENCY AREA: | REGULATORY FRAMEWORK INSPECTION |
| LEVEL OF EFFORT: | 8 hours |
| REFERENCES: | <p>NRC Internal Home Page - Program Office - NRR</p> <p>Inspection Manual Chapter 0040, "Preparing, Revising and Issuing Documents For The NRC Inspection Manual"</p> <p>Inspection Manual Chapter 9900, "Technical Guidance"</p> |
| EVALUATION CRITERIA: | <p>After completing this activity you will demonstrate your understanding of the content and organization of the NRC Inspection Manual, and the limitations associated with applying the guidance contained in the manual by successfully doing the following:</p> <ol style="list-style-type: none">1. Identify the major parts of the NRC Inspection Manual.2. State the purpose of each of the following types of documents located in the NRC Inspection Manual?<ol style="list-style-type: none">a. Manual Chaptersb. Inspection Proceduresc. Temporary Instructionsd. Part 9900 Technical Guidance<ul style="list-style-type: none">- Technical Guidance- 10 CFR Guidance |

- e. Change Notices
- 3. Describe the numbering/identification process used for the items in No. 2 above?
- 4. Demonstrate the ability to locate copies of inspection documents contained in the NRC Inspection Manual on the WEB.

TASKS:

- 1. Locate Inspection Manual Chapter 0040, "Preparing, Revising and Issuing Documents For The NRC Inspection Manual" from the Electronic Reading Room on the NRC External Web site.
- 2. Read in detail the first six sections of manual chapter 0040, and scan the remainder portions of the document.
- 3. Locate the Table of Contents for the "NRC Inspection Manual."
- 4. Scan the Table of Contents, noticing in particular the following:
 - a. The date of issuance and latest change notice entered in the Table of Contents.
 - b. Title associated with Part numbers.
 - c. The number associated with each document.
 - d. The issue date and change notice number associated with each document.
- 5. Locate the section of the NRC inspection manual entitled "Technical Guidance."
- 6. Scan the titles of the individual guidance documents.
- 7. Read the inspection procedures that apply to your inspector area.
- 8. Meet with your supervisor, or an experienced inspector, and discuss two reactor facility issues that could involve use of the technical guidance contained in Manual Chapter 9900. Discuss the limitations that are associated with applying the guidance contained in the inspection procedures.

9. Meet with your supervisor or the person designated to be your resource for this activity and discuss the items listed in the Evaluation Criteria section.

DOCUMENTATION: Basic-level Certification Signature Card Item ISA-13

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Basic-level Individual Study Activity

TOPIC: (ISA-14) NRC Interagency Agreements

PURPOSE: While conducting reactor inspection activities, inspectors may identify important issues that could adversely affect health and safety but are not under the direct regulatory authority of the NRC. Examples include industrial safety items, such as loose asbestos insulation, and other issues, such as defective radioactive waste shipping trailers. Conversely, other federal and state agencies may identify issues of concern to the NRC. To ensure these items are addressed by the proper regulatory authority, the NRC has established agreements, called memoranda of understanding, with other federal and state agencies which outline how these issues should be addressed.

This activity will introduce you to the major interagency agreements that the NRC has entered into and familiarize you with the regional or office points-of-contact that have been established for other federal and state agencies.

COMPETENCY AREA: REGULATORY FRAMEWORK

LEVEL OF EFFORT: 4 Hours

REFERENCES: NRC Manual Chapter 1007, "Interfacing Activities Between Regional Offices of NRC and OSHA" (Note: Research and test reactor inspectors should use this guidance as applicable.)

Regional or Office guidance (if applicable)

EVALUATION CRITERIA:

At the completion of this activity, you should be able to:

1. Locate the active memoranda of understanding (MOU) used to coordinate between the NRC and other federal agencies or state agencies.
2. Explain, in general terms, how the NRC coordinates with state and other federal agencies on matters that are not under the regulatory authority of the NRC.
3. Explain the actions required by an NRC inspector when he/she identifies an occupational health and safety issue at a reactor facility. Be able to state where the guidance for these actions is provided.

4. Identify who, in your Region or Office, is the point of contact for coordinating NRC activities with the following federal agencies:
 - a. Occupational Safety and Health Administration (OSHA)
 - b. Department of Transportation (DOT)
 - c. Federal Emergency Management Administration (FEMA)
 - d. Department of Energy (DOE)
 - e. State Agencies

TASKS:

1. Identify where the current NRC MOUs are available in your Region or Office. Electronic versions can be found on the NRC Internal Web site under Enforcement.
2. Review the MOUs to develop a general understanding of the agreements between the NRC and the following federal agencies: OSHA, DOT, FEMA, and DOE. For Regional inspectors, review any MOUs between the NRC and the states in your regions. Determine the major services or resources available to be coordinated between the NRC and these agencies.
3. Identify the designated liaison for those agencies and state agencies in your Region or Office.
4. Meet with your supervisor, an experienced inspector, or the above liaison representative, and discuss two reactor facility issues that involved interface with other federal agencies or state agencies. Discuss how the issues were addressed in the context of the applicable NRC MOU and office guidance.
5. Meet with your supervisor or the person designated to be your resource for this activity and discuss the items listed in the Evaluation Criteria section.

DOCUMENTATION: Basic-level Certification Signature Card Item ISA-14

Basic-level Individual Study Activity

TOPIC: (ISA-15) Interaction with the Public

PURPOSE: The purpose of this activity is to acquaint you with the expectations of NRC inspectors when dealing with members of the public. Responsiveness and openness are essential to the Agency fulfilling its goals of enhancing public confidence. As a qualified inspector, you will have many opportunities to interact with the public. This individual study activity will help you understand NRC procedures, policies, and available resources related to interaction with the public.

COMPETENCY AREAS: COMMUNICATION
SELF-MANAGEMENT
REGULATORY FRAMEWORK

LEVEL OF EFFORT: 6 hours

REFERENCES:

1. NUREG/BR 0215, "Public Involvement in the Nuclear Regulatory Process" Rev. 1,
3. NUREG/BR-0297, "NRC Public Meetings"
4. NRC Management Directive (MD) 3.4, "Release of Information to the Public"
5. MD 3.5, "Public Attendance at Certain Meetings Involving the NRC Staff"
6. MD 8.11, "Review Process for 10CFR2.206 Petitions"
7. NRC Internal Web site, Communication and Public Meetings
8. Regional or Office guidance related to interaction with the public (Conduct of public meetings, Response to inquiries from the public, Release of Information to the Public).

EVALUATION CRITERIA: Upon completion of this activity, you will be asked to demonstrate your understanding of proper interaction with the public by successfully addressing the following:

1. Describe the expectations of NRC employees regarding answering telephone calls that involve inquiries from a member of the public.

2. Name some resources available to you to assist you in responding to the following types of public inquiries:
 - a. General questions about NRC organization and functions
 - b. General questions about a technical topic such as radioactive particles
 - c. Questions about a licensed facility's performance or an NRC inspection
 - d. Questions on a specific technical issue of current interest
3. Describe what is meant by "Plain Language". Identify where examples and guidance related to plain language can be found.
4. Explain what a "2.206 petition" is. Describe how it is handled by the NRC.
5. Explain what a "green ticket" item is used for and how it is handled.
6. Describe how other public inquiries, including "non-allegations", are handled in your office.
7. Describe what an NRC employee should do if he/she is requested to speak (on an NRC-related topic) at a meeting such as the Lions Club or local chapter of the American Nuclear Society.
8. Identify what type of NRC meetings are generally open to the public. List some that are not usually open to the public.
9. Describe how members of the public can find out about NRC public meetings. Discuss the expectations on timeliness of meeting notices and summaries.
10. Describe the restrictions regarding the release of information to the public including specific types of information that is not to be released.

NOTE: NUREG references in this activity that cannot be found on the NRC External Website may be requested from your Public Affairs Officer.

TASKS:

1. Review the information presented by the NRC Public Affairs Office on interactions with the public on the NRC's Internal and External Web Sites. Review the information available on

the external NRC web site related to general topics of interest to the public such as the Public Involvement, School Programs, and the Technical Information Papers.

2. Visit the NRC's "Plain Language Action Plan" on the internal web site, including some of the links to resource materials.
3. Visit the Communication and Public Meetings page on the NRC Internal Web site. Review the public meeting policy and checklist.
4. Locate and review the material specifically listed in the Reference section of this activity. The NRR Project Manager's Handbook and NUREG/BR-0200, Public Petition Process may also be beneficial in understanding the processing of 2.206 petitions and "ticketed items".
5. Review the steps in the rulemaking process on the NRC's External Website under "What We Do".
6. Identify, locate, and review your region's policy guidance on staff's receipt and processing of inquiries from the general public. Meet with your PAO or supervisor and discuss the expectations of an inspector who receives an inquiry.
7. Meet with your supervisor and discuss what types of public interactions that you are likely to encounter and ensure that you understand what you are to do. Then, discuss the items listed in the Evaluation Criteria section.

DOCUMENTATION: Basic-level Certification Signature Card Item ISA-15

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Basic-level Individual Study Activity

TOPIC: (ISA-16) Contacts with the Media

PURPOSE: The purpose of this activity is to provide you with an understanding of the importance of communicating with the public and media in an accurate, clear, and non-complex manner and within the limitations of agency guidance for the release of information to the public. This supports one of the NRC's main objectives of increasing public confidence. This study activity will provide you information on the implementation of the guidance on contacts with the public and media.

COMPETENCY AREAS: COMMUNICATION
SELF-MANAGEMENT

LEVEL OF EFFORT: 4 hours

REFERENCES: NUREG/BR-0202, "Guidelines for Interviews with the News Media"
Management Directive 3.4, "Release of Information to the Public"
NUREG/BR-0224, "Guidelines for Conducting Public Meetings"
Regional or Office Instructions establishing the policy and process for receipt of inquiries from the public - media.

EVALUATION CRITERIA: Upon completion of this activity, you will be asked to demonstrate your understanding of the guidance on contacts with the media by successfully addressing the following:

1. Discuss the NRC goal of improving public confidence and how good communication with the media contributes to achieving that goal.
2. Identify the importance of communicating with the media in a manner to build trust.
3. Discuss the importance of the following with regard to communication with the media: agency goals, onsite inspection staff, safety focus, risk informed, trustworthy, limited knowledge on the subject.
4. Discuss the importance of planning ahead and preparing well for communication with the media.

5. Discuss the importance of controlling your speech, including what words to not use, not speculating, not guessing, not answering the “what if” questions, not giving your opinion or repeating any other persons opinion, and not talking off the record.
6. Describe the policy and process for how to communicate to management any inquiries from or unplanned interactions with the news media and other members of the public.

NOTE: NUREG references in this activity that cannot be found on the NRC External Website may be requested from your Public Affairs Officer.

TASKS:

1. Meet with the regional Public Affairs Officer or someone from Office of Public Affairs at Headquarters to discuss the guidelines for interviews with the news media.
2. Explore all aspects of the importance of appropriate, accurate, and clear communications with the public provided on the NRC’s Web Site.
3. Review the agency guidance on how to communicate with the public - media.
4. Meet with your supervisor or the person designated to be your resource for this activity and discuss the items listed in the Evaluation Criteria section.

DOCUMENTATION:

Basic-level Certification Signature Card Item ISA-16

Basic-level Individual Study Activity

TOPIC: ISA-(17) Institute of Nuclear Power Operations (INPO), Nuclear Energy Institute (NEI), and National Organization of Test, Research and Training Reactors (TRTR)

PURPOSE: The purpose of this activity is to familiarize you with the appropriate protocols when reviewing documentation generated by INPO, NEI or TRTR. In addition, to familiarize you with the proper conduct when INPO or TRTR is at a facility. Most of this guidance relates to INPO and NEI. This guidance should be used as guidance and applied to TRTR as appropriate.

COMPETENCY AREA: REGULATORY FRAMEWORK
SELF-MANAGEMENT

LEVEL OF EFFORT: 1 hour

REFERENCES: NUREG/BR-0075, "NRC Field Policy Manual" (Available on the NRC Internal Web site under Agencywide Applications

Manual Chapter 0612, "Power Reactor Inspection Reports",

EVALUATION CRITERIA:

Upon completion of the tasks in this activity, you will be asked to demonstrate your general understanding of the appropriate protocols and conduct when reviewing INPO, NEI or TRTR documentation and when conducting an inspection when INPO or TRTR is at a facility by discussing the following:

1. Specify when is it appropriate to refer to INPO documents in an NRC inspection report or other agency documentation.
2. Identify the circumstances under which are you allowed to perform an inspection of an NEI initiative.
3. Identify the accepted protocol for an NRC inspector attending an INPO meetings held with licensee personnel.

TASKS:

1. Review Field Policy Manual - Policy No. 9, "NRC Review of INPO Documents."
2. Review Field Policy Manual - Policy No. 12, "Coordination of NRC Activities at Power Reactor Facilities."
3. Review Field Policy Manual - Policy No. 14, "NRC Interaction with the Nuclear Energy Institute."

4. Review the section in Inspection Manual Chapter 0612 on third party reviews.
5. Meet with your supervisor or the person designated to be your resource for this activity and discuss the items listed in the Evaluation Criteria section.

DOCUMENTATION: Basic-level Certification Signature Card Item ISA- 17

Basic-level Individual Study Activity

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| TOPIC: | (ISA-18) Freedom of Information Act and the Privacy Act |
| PURPOSE: | The purpose of this activity is to provide you with an understanding of the how the NRC implements the Freedom of Information Act (FOIA) and the Privacy Act while guarding against the inadvertent and unauthorized release of information. While it is very important to communicate with the public, communication must be done within the limitations of agency guidance for the release of information to the public. This supports one of the NRC's main objectives of increasing public confidence. This study activity will provide you information on the implementation of the guidance on responding to FOIA requests for information from the public. |
| COMPETENCY AREAS: | COMMUNICATION SELF-MANAGEMENT REGULATORY FRAMEWORK |
| LEVEL OF EFFORT: | 6 hours |
| REFERENCES:. | 10 CFR Part 9, "Public Records" Management Directive 3.1, "Freedom of Information Act" Management Directive 3.2, "Privacy Act" Management Directive 3.4, "Release of Information to the Public" Regional or Office Instructions establishing the policy and procedure for processing FOIA requests for agency records |
| EVALUATION CRITERIA: | Upon completion of this activity, you will be asked to demonstrate your understanding of the guidance on contacts with the media by successfully addressing the following: <ol style="list-style-type: none">1. Discuss the NRC goal of improving public confidence and how implementing the provisions of FOIA and the Privacy Act will contribute to achieving that goal.2. Identify the completeness and timeliness requirements for responding to an FOIA request and discuss how important this responsiveness is in building public trust. |

3. Discuss the following responsibilities when responding to a FOIA request:
 - a. provide all records subject to the request in the Agency's possession;
 - b. identify other NRC offices that might have records subject to the FOIA request;
 - c. screen the records prior to release to ensure that withholdable information is properly marked prior to forwarding to Headquarters; and
 - d. support the decision to withhold information by providing the appropriate exemption and "foreseeable harm" statements.
4. Identify the type of information which should be withheld from release when responding to an FOIA request, including the proprietary, pre-decisional, and privacy information.
5. Describe the legal limitations of what can be released to the public and what must be protected under the Privacy Act.
6. Describe the policy and procedure for processing FOIA requests for agency records.

TASKS:

1. Meet with the FOIA Coordinator to discuss the procedure for processing FOIA requests for agency records.
5. Explore the information made available to the public on the NRC's Web Site and via ADAMS.
6. Review the agency guidance on how to implement the FOIA without releasing pre-decisional information and other information covered under the Privacy Act.
7. Meet with your supervisor or the person designated to be your resource for this activity and discuss the items listed in the Evaluation Criteria section.

DOCUMENTATION:

Basic-level Certification Signature Card Item ISA-18

Basic-level Individual Study Activity

TOPIC: (ISA-19) Entrance and Exit Meetings

PURPOSE: Effective communication is critical for overall Agency success. For NRC inspectors, the inspection entrance and exit meetings are the primary forums for communicating issues with licensees. In addition to communicating effectively, as government officials, inspectors have additional requirements to follow during entrance and exit meetings to ensure proprietary data and safeguard information is not disclosed, and information is shared with the public when appropriate. To ensure issues are discussed in accordance with NRC requirements, communication standards have been established that outline how entrance and exit meetings are to be conducted. The purpose of this activity is to introduce you to the standards for conducting NRC entrance and exit meetings and to allow you to demonstrate an ability to conduct an entrance and exit meeting.

COMPETENCY AREA: COMMUNICATION
TEAMWORK
INSPECTION

LEVEL OF EFFORT: 6 Hours

REFERENCES: Manual Chapter 2515, "Light-Water Reactor Inspection Program-Operations Phase"

Regional Guidance or Office Guidance (if applicable)

EVALUATION CRITERIA:

At the completion of this activity, you should be able to:

1. Locate the various guidance for conducting NRC entrance and exit meetings.
2. Successfully conduct an entrance and exit meeting in accordance with NRC guidance.

TASKS:

1. Locate and read the guidance for conducting NRC entrance and exit meetings contained in MC-2515 and regional or office instructions.
2. Observe at least one entrance and exit meeting conducted at a reactor site. If possible, observe meetings that have been conducted for a wide range of inspection activities in a variety of forums, such as a public exit meeting.

3. Review an inspection report that was recently completed, and conduct a “mock” entrance and exit meeting of the inspection report findings in the presence of your supervisor or a fully qualified inspector designated by your supervisor.
4. Meet with your supervisor or the person designated to be your resource for this activity and discuss the items listed in the Evaluation Criteria section.

DOCUMENTATION: Basic-level Certification Signature Card Item ISA -19

Basic-level Individual Study Activity

TOPIC: (ISA-20) Documenting Inspection Findings.

PURPOSE: NRC inspection reports serve many important functions. In addition to serving as a vehicle to communicate inspection findings to a licensee, inspection reports form part of the historical record of NRC activities at a reactor site. To that end, it is vital for inspection reports to clearly document the results of inspection activities conducted. To assist inspectors in the preparation of inspection reports, the NRC has developed several guidance documents, which outline what information should be documented in an inspection report, and how that information should be presented. The purpose of this activity is to introduce you to the standards for preparing NRC inspection reports and to allow you to demonstrate an understanding of the applicable inspection report documentation requirements.

COMPETENCY AREAS: INSPECTION
SELF-MANAGEMENT
COMMUNICATION
TEAMWORK
ASSESSMENT AND ENFORCEMENT

LEVEL OF EFFORT: 16 Hours

REFERENCES: NRC Inspection Manual 0612, "Power Reactor Inspection Reports" (for power reactors) or IMC 0610, "Inspection Reports" (for research and test reactors)

NRC Inspection Manual 0620, "Inspection Documents and Records"

Regional Guidance or Office Guidance (as applicable)

EVALUATION CRITERIA: At the completion of this activity, you should be able to:

1. Locate the various guidance for preparing NRC inspection reports.
2. Verify an inspection report was written in accordance with the applicable NRC guidance.
3. Explain the threshold for documenting licensee and NRC identified issues in NRC inspection reports.

TASKS:

1. Locate and read the various guidance for documenting inspection findings. The necessary information will be contained in NRC manual chapters, and regional or office instructions.
2. Select a recently completed inspection report that was prepared in your region or office that contains both NRC and licensee identified findings. Compare the inspection report format and content to the report preparation guidance contained in either NRC manual chapter 0612 or 0610, and to any applicable regional or office guidance. Through review of the guidance, and conversations with the report author, verify the report was prepared in accordance with the requisite report preparation guidance.
3. Meet with your supervisor or the person designated to be your resource for this activity and discuss the items listed in the Evaluation Criteria section.

DOCUMENTATION:

Basic-level Certification Signature Card Item ISA-20

Basic-level Individual Study Activity

TOPIC: (ISA-21) Differing Professional Opinions (DPO) and Differing Professional Views (DPV)

PURPOSE: The purpose of this activity is to provide guidance on the informal and formal processes for pursuing resolution of differing professional views or opinions. It is the policy of the NRC and the responsibility of all NRC supervisory and managerial personnel to maintain a working environment that encourages each employee to make known his/her best professional judgment even though that judgment may differ from the prevailing staff view, disagree with a management decision or policy position or take issue with proposed or established agency practices. To further this policy, NRC Management Directive (MD) 10.159, "Differing Professional Views or Opinions" establishes an informal process for the staff to use when expressing differing professional views and a formal process to be used when expressing differing professional opinions. This activity will provide you with an understanding of NRC's Differing Professional Opinions (DPO) and Differing Professional Views (DPV) process.

COMPETENCY AREAS: INSPECTION
SELF-MANAGEMENT
COMMUNICATION

LEVEL OF EFFORT: 2 hours

REFERENCES: Management Directive (MD) 10.159, "Differing Professional Views or Opinions"

Regional or Office Instructions establishing the policy and procedure for resolving DPOs or DPVs (if applicable)

EVALUATION CRITERIA: Upon completion of this activity, you will be asked to demonstrate your understanding of NRC's Differing Professional Opinions (DPO) and Differing Professional Views (DPV) process by successfully addressing the following:

1. Define and identify the differences between a Differing Professional View and a Differing Professional Opinion.
2. State the expectations of NRC employees regarding making known their best professional judgment even though it may differ from the judgement of others.

3. Discuss under what circumstances the various methods available for expressing your best professional judgment would be used, including DPV or DPO
4. State the purpose of the NRC's DPV and DPO process.
5. Describe the Agency's DPV process and DPO process and how each is implemented.
6. Describe where the resolution of DPVs and DPOs are published.

TASKS:

1. Meet with the regional counsel, or other individual designated to be your resource for this activity, to develop an understanding of the NRC policy and guidance for resolution of differing professional views or opinions.
2. Review the Agency's Management Directive (MD) 10.159, "Differing Professional Views or Opinions."
3. Explore all aspects of the Agency's DPV and DPO guidance and documentation provided on the NRC's Web Site.
4. Meet with your supervisor or the person designated to be your resource for this activity and discuss the items listed in the Evaluation Criteria section.

DOCUMENTATION: Basic-level Certification Signature Card Item ISA-21

Basic-level Individual Study Activity

TOPIC: (ISA-22) Overview of 10 CFR Part 50

PURPOSE: The purpose of this activity is to acquaint you with the regulations that specify the requirements for all aspects of the construction and operation of a nuclear reactor. This individual study activity will help you to understand the content of Part 50 and how to locate the specific requirements for any subject.

COMPETENCY AREA: REGULATORY FRAMEWORK

LEVEL OF EFFORT: 4 hours

REFERENCES: NRC Internal Home Page
Paper copy of 10 CFR Parts 1 to 50, latest revision

EVALUATION CRITERIA: Upon completion of the tasks in this activity, you will be asked to demonstrate your understanding of the general content of 10 CFR Part 50 by successfully discussing the following:

1. State the purpose of Part 50.
2. Given a specific subject, identify which section in Part 50 discusses the requirements for that subject by using the search feature on the NRC Regulations & Nuclear Regulatory Legislation web pages.
3. Discuss the general content of the information covered by the Part 50 quiz.

TASKS:

1. Become familiar with, and be able to use the search feature to locate, the information available in NRC Regulations & Nuclear Regulatory Legislation web pages presented on the NRC's Internal Web Site.
2. Complete the Part 50 quiz. The self-study quiz is located in ROP Digital City on the Internal Website. Since this is an ungraded self-study activity, you will also find the answers on Digital City. Be sure to complete the quiz **before** you print the answer sheet.

3. Meet with your supervisor or the person designated to be your resource for this activity and discuss the items listed in the Evaluation Criteria section.

DOCUMENTATION: Basic-level Certification Signature Card Item ISA-22

Basic-level Individual Study Activity

TOPIC: (ISA-23) Overview of 10 CFR Parts 19 and 20

PURPOSE: The purpose of this activity is to familiarize you with Parts 19 and 20 of the NRC regulations. These regulations are generic to any position within the Agency and will provide a perspective on conducting inspections in the working environment of a nuclear reactor. This individual study activity will help you understand the purpose of Parts 19 and 20 and provide you with some basic knowledge that all NRC inspectors will use when conducting inspections in radiologically controlled areas.

COMPETENCY AREA: REGULATORY FRAMEWORK

LEVEL OF EFFORT: 4 hours

REFERENCES: NRC Internal web page - NRC Maintained 10 CFR Website - Parts 19 and 20

A hard copy of Parts 19 and 20

EVALUATION CRITERIA:

Upon completion of this activity, you will be asked to demonstrate your general understanding of Parts 19 and 20 and why these regulations are important for all inspectors, by successfully addressing the following:

2. Describe the general purpose of Part 19.
3. Identify the section of Part 19 that describes the rights of radiation workers if they believe a violation of radiological working condition requirements has occurred.
4. Identify the section of Part 19 that requires a licensee to report doses to workers.
5. Describe the purpose of Part 20.
5. Identify the section and discuss the various radiological circumstances that would require a licensee to notify the NRC.
6. Discuss why it is important for every NRC inspector to have a general understanding of Part 19 and 20.

TASKS: 1. Review Part 19 for a general understanding of the following:

- a. The purpose of Part 19 [19.1]
 - b. Documents are required to be posted [19.11(d) and (e)]
 - c. Requirements for promptly identifying any condition that may cause unnecessary exposure [19.12(a)(4)]
 - d. Instructions for individuals in a restricted area that may experience unnecessary exposure to radiation and/or radioactive materials [19.12(a)(5)]
 - e. What times the NRC is allowed to inspect a facility [19.14(a)]
 - f. Requests by workers for an NRC inspection [19.16(a)]
2. Review Part 20 for a general understanding of the following:
- a. The purpose of Part 20 [20.1001]
 - b. Occupational dose limits for adults [20.1201]
 - c. Occupational dose limits for members of the public [20.1301]
 - d. Concepts of ALARA [20.1101]
 - e. Conditions requiring individual monitoring of external and internal occupational dose [20.1502]
3. Meet with your supervisor or the person designated to be your resource for this activity and discuss the items listed in the Evaluation Criteria section.

DOCUMENTATION: Basic-level Certification Signature Card Item ISA-23

Basic-level Individual Study Activity

TOPIC: (ISA-24) Licensee-specific Regulatory Documents and Procedures

PURPOSE: The purpose of this activity is to acquaint you with licensee-specific documents and procedures that you need to be aware of and be able to access on-site during an inspection. These documents and procedures describe how a licensee complies with NRC regulations and requirements. As a fully qualified inspector you will need to identify circumstances where the licensee is in non-compliance. Also, inspectors must adhere to applicable licensee procedures at all times while on-site. This activity will acquaint you with the most common types of licensee-specific regulatory documents and procedures and will help you learn how individual facilities may implement NRC regulations and requirements differently.

COMPETENCY AREA: REGULATORY FRAMEWORK

LEVEL OF EFFORT: 16 hours

REFERENCES:

Improved Standard Technical Specifications or Technical Specifications for a specific research and test reactor, as applicable

NUREG 800, "Standard Review Plan", for power reactor inspectors or NUREG 1537, Part 2, "Standard Review Plan and Acceptance Criteria, Guidelines for Preparing and Reviewing Applications of Non-Power Reactors," for research and test reactor inspectors.

NRC Regulatory Guide 1.33, "Quality Assurance Program Requirements (Operations)"

NRC Regulatory Guide 1.70 or NUREG 1537, Part 1, "Format and Content Guidelines for Preparing and Reviewing Applications of Non-Power Reactors," as applicable

Updated Final Safety Analysis Report (UFSAR) (any available) or research and test reactor safety analysis report, as applicable.

Facility-specific license (any available)

Facility-specific Safety Evaluation Report (any available)

EVALUATION CRITERIA:

Upon completion of this activity, you will be asked to demonstrate your familiarity with the role of licensee-specific regulatory

documents and procedures within the regulatory framework by successfully addressing the following:

1. Identify the regulatory enforcement hierarchy that exists between CFR requirements, a facility-specific license, facility-specific Technical Specifications, a facility-specific UFSAR and Safety Evaluation Report (SER), and facility-specific procedures.
2. Recognize how the NRC standard review plan is related to the documents identified in item 1.
3. Identify which organization writes safety analysis, which organization approves them, and which organization is required to maintain current copies.
4. Identify the organization responsible for writing Regulatory Guides and Safety Evaluation Reports, and the organization responsible for approving them. Describe the requirements for maintaining copies current.
5. Discuss how enforcement actions relate to safety analysis reports or an SER.
6. Locate where the following can generally be found:
 - a. Safety Limits (facility-specific)
 - b. Design Basis Accident Analysis
 - c. Maximum licensed thermal power
 - d. Limiting Safety System Settings (facility-specific)
 - e. Limiting Conditions for Operation (LCO)
 - f. Bases for LCOs
 - g. NRC criteria for accepting a safety analysis
 - h. Licensee commitments to various standards
 - i. Specific, but not necessarily all, approved methods for complying with NRC requirements
 - j. Licensee Security Plan

TASKS:

1. Locate all applicable reference documents.
2. Meet with an appropriately qualified inspector and discuss the general objectives of a licensee security plan and their restriction on public availability. Also, determine the specific security requirements to which an NRC inspector must personally adhere.
3. Discuss with your Office Enforcement Specialist your answers to the above questions related to enforcement policy.

4. Meet with your supervisor or the person designated to be your resource for this activity and discuss the items listed in the Evaluation Criteria section.

DOCUMENTATION: Basic-level Certification Signature Card Item ISA- 24

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Basic Level On-the-Job Activities

Basic-Level On-the-Job Training Activities

The on-the-job activities require you to conduct inspection-related work, under supervision, at a reactor facility. They are designed to allow you to observe and perform key inspector tasks under controlled circumstances. Like the individual study activities, each of the on-the-job activities informs you why the activity is important, how much time you might need to complete the assignment, and what you are expected to complete successfully during the activity.

Prior to beginning the activities in this section, you must successfully complete the course work for site access. There are two ways this can be done. You can complete the NRC's Site Access Course and the site specific requirements for access. Or, you may complete the site access requirements at a site. Your supervisor will discuss with you the best way for you to meet the site access requirements.

The following general guidance applies as you complete the various on-the-job activities:

- ✓ The activities in this section should be completed in the order in which they are presented.
- ✓ Complete all parts of each activity.
- ✓ Your supervisor will act as a resource as you complete each activity. Discuss any questions you may have about how a task must be done or how the guidance is applied. Your supervisor may also designate other fully qualified inspectors to work with you as you complete the various activities.
- ✓ You are responsible for keeping track of what tasks you have completed. Be sure that you have completed all aspects of an OJT activity before you meet with your supervisor for evaluation.

Basic-level On-the-Job Activity

TOPIC: (OJT-1) Facility Familiarization Tour with a Qualified Inspector

PURPOSE: The purpose of this activity is to: (1) acquaint you with the general layout of a facility and identify various major equipment; (2) instruct you in the types of industrial and radiological personal protection requirements and the proper method of complying with these requirements; (3) instruct you in the use of security procedures; and (4) instruct you in the proper response to an emergency if the emergency is declared while in the facility.

**COMPETENCY
AREAS:**

INSPECTION
COMMUNICATION
FUNDAMENTAL PLANT DESIGN AND OPERATION
EMERGENCY RESPONSE

Note: completion of this activity may require several facility tours.

LEVEL

OF EFFORT: 32 hour

REFERENCES: Licensee's drawing(s) of the site building layouts.

**EVALUATION
CRITERIA:**

Upon completion of this activity, you will be asked to demonstrate your understanding of the general plant layout and inspector behavior in the plant by successfully addressing the following:

1. Given a drawing of the site building layout, be able to identify where the major facility areas are located.
2. Identify the types of industrial personnel safety equipment that are available and the circumstances under which each piece of equipment should be used.
3. Explain how you would know what type(s) of radiological protection equipment are required before entering a radiologically controlled area (RCA).
4. Given specific scenarios related to security situations, describe what actions you would take.
5. Given specific scenarios related to emergency response situations, describe what actions you would take.

6. Given specific scenarios related to health physics situations, describe what actions you would take.

TASKS:

1. Review a drawing(s) of the building layout for the site and plan a route for a tour that will include the major areas on the site, such as:
 - g. turbine building (for power reactor inspectors) or experimental facilities (for research and test inspectors)
 - h. engineered safeguards equipment areas
 - i. radiologically controlled area
 - j. emergency response facility
 - k. control room
 - l. spent fuel pool
 - m. switch yard or electrical distribution system
 - n. diesel generator rooms or other emergency power supplies
 - o. other areas deemed appropriate by a qualified inspector.
2. Prior to the tour, discuss the requirements for personal industrial safety equipment with a qualified inspector.
3. Tour the facility with a qualified inspector and locate the major pieces of equipment and facility areas - including but not limited to those items described above.
4. Enter the RCA with a qualified inspector and tour the area to observe and/or discuss items such as: different radiological control postings, methods of designating areas that have additional radiological control requirements for entry, different radiological control clothing requirements for different areas, use of portal monitors and personal friskers, and monitoring personal dosimetry.
5. During the tour, discuss the proper security procedures for entering the areas discussed above, including the actions to take in the event a procedure error or violation of security rules is committed or observed.
6. During the tour, discuss the proper response in the event an emergency is declared while in the facility.
7. During the tour, discuss the proper response in the event of a radiological control event or anomaly.
8. Meet with your supervisor or the person designated to be your resource for this activity and discuss the items listed in the Evaluation Criteria section.

DOCUMENTATION: Basic-level Certification Signature Card - OJT 1

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Basic-level On-the-Job Activity

TOPIC: (OJT-2) Control Room Tour with Resident or other Qualified Inspector

PURPOSE: The purpose of this activity is to familiarize you with the appropriate protocol for the conduct of an inspector in a control room. This activity will also help you to become familiar with general control room layout, required control room staffing, and the inspector's role in gathering facility status information.

COMPETENCY AREAS: SELF-MANAGEMENT
INSPECTION
FUNDAMENTAL PLANT DESIGN AND OPERATION
EMERGENCY RESPONSE

LEVEL OF EFFORT: 3 hours

REFERENCES: Licensee specific procedure for the conduct of operations in the control room.

EVALUATION CRITERIA: Upon completion of this activity, you should be able to:

1. Explain the appropriate protocol for an inspector's conduct in the control room.
2. Explain how you would respond if you were present in the control room during an emergency situation. Specifically, you should explain why it is never appropriate for an inspector to operate any controls, or to interfere in licensee operations, during routine or emergency situations.
3. Describe the general layout of a control room. Explain what is meant by "At the Controls" in a control room or explain where operator(s) must be stationed in the control room during operations. Describe examples of site specific restrictions for limits on where an inspector can go in a control room, with or without permission.
4. Describe the basic staffing in the control room and where you would expect to find various licensed personnel.
5. Describe the types of information an inspector gathers in the control room and how that information is obtained.

Note: Power reactor inspectors are expected to visit the control room with a resident inspector

TASKS:

1. Locate and read appropriate sections of the site specific guidance for control of operations in the control room.
9. Discuss site specific guidance, as it relates to protocol for conduct of NRC personnel in the control room, with an inspector. Discuss how this guidance could vary from site to site.
10. Go to the control room with an inspector and observe appropriate protocol. Gain a general understanding of the control room layout and staffing. Also, observe the inspector gathering facility status information.
11. Meet with your supervisor or the person designated to be your resource for this activity and discuss the items listed in the Evaluation Criteria section.

DOCUMENTATION:

Basic-level Certification Signature Card Item OJT 2

Basic-level On-the-Job Activity

TOPIC: (OJT-3) Licensee Plan-of-the-Day (POD) Meeting, Documents or Information

PURPOSE: The purpose of this activity is to: (1) acquaint you with the various types of information discussed in the POD; (2) instruct you in the types of information provided in the POD that is important to an inspector; and (3) inform you of the appropriate inspector protocols so that you will know when NRC participation is and is not appropriate.

COMPETENCY AREAS: INSPECTION
COMMUNICATION
SELF-MANAGEMENT

LEVEL OF EFFORT: 2 hours

REFERENCES: None

EVALUATION CRITERIA: Upon completion of this activity, you will be asked to demonstrate your understanding of the NRC inspector's role at the POD, by successfully discussing the following:

1. Identify the types of information discussed in the POD that are important to an inspector and discuss why the information is important.
2. Given specific examples, be able to discuss if it is appropriate for an inspector to participate in the discussion at or about the POD.

TASKS:

1. Discuss with a qualified inspector, the types of information provided at the meeting or in a POD document that would be important to you and why that information is important.
2. Discuss with a qualified inspector, the protocols of when an NRC inspector should and shouldn't participate in the licensee's discussions.
3. Review the licensee's overview organization chart and then, either observe a POD meeting with a qualified inspector or review a POD document with a qualified inspector

4. Meet with your supervisor or the person designated to be your resource for this activity and discuss the items listed in the Evaluation Criteria section.

DOCUMENTATION: Basic-level Certification Signature Card OJT 3

Basic-level On-the-Job Activity

TOPIC: (OJT-4) Inspection Activities

PURPOSE: The purpose of this activity is to familiarize you with inspection tasks commonly performed by an inspector. This on-the-job training will prepare you to independently plan and conduct the baseline inspection program as defined in the applicable Inspection Manual Chapter (IMC).

COMPETENCY AREAS: INSPECTION
COMMUNICATION
TEAMWORK
SELF-MANAGEMENT

LEVEL OF EFFORT:

Note: The objective of this activity is to make sure that you have experienced the full range of inspection activities. The time needed to complete the tasks will depend on your individual proficiency. There is no set number of inspections you must complete. You must participate in inspections until such time as you can address the evaluation criteria to the satisfaction of your supervisor.

REFERENCES: NRC IMC 0330, "Guidance for NRC Review of Licensee Draft Documents"

NRC IMC 2515, "Light Water Reactor Inspection Program - Operations Phase" or IMC- 2545 for Non-Power Reactors

NUREG 1649, "Reactor Oversight Process" (for power reactor inspectors only)

UFSAR or safety analysis report for activity to be inspected

Inspection planning guidance

EVALUATION CRITERIA:

Upon completion of this activity, you will be asked to demonstrate your understanding of the baseline inspection process by:

1. Describing the contents and purpose of the site-specific inspection plan.
2. Describing the purpose of the inspection planning call.

3. Providing your supervisor with a specific inspection plan that you have prepared. Describe the purpose and contents of a specific inspection plan.
4. Discussing the documents to be reviewed including their content and purpose prior to an inspection.
5. Describing the contents and purpose of the part of the entrance meeting you conducted.
6. Describing the activities you accomplished during the inspection(s), and their purpose.
7. Describing the purpose of the management brief and the exit pre-brief of licensee management in which you participated .
8. Describing the contents and purpose of the part of the exit meeting you conducted.

TASKS:

1. Review the annual or applicable site specific inspection plan to understand where your inspection effort fits into the overall plan.
2. Participate in a inspection planning call to the licensee.
3. Participate in developing the inspection specific plan.
4. Review the following documents to understand how they provide background information, current issues, areas for emphasis and support for the inspection effort you plan to accomplish:
 - a. Previous inspection reports.
 - b. Plant Issues Matrix (for power reactor inspectors only)
 - c. Appropriate licensee documents
 - d. Applicable inspection procedures
 - e. Other applicable documents, i.e., Performance Indicators, Licensee Event Reports, Information Notices, Bulletins, etc.
5. Observe an entrance meeting
6. Observe the activities performed by a qualified inspector during the completion of the planned inspection by:
 - a. Observing implementation of inspection procedures
 - b. Observing interviews / discussion with facility personnel
 - c. Observing facility work activities
 - d. Reviewing documentation and records
 - e. Discussing inspection results with the lead inspector

7. Observe briefing of NRC management
8. Observe an exit pre-brief of licensee management
9. Observe an exit meeting
10. Participate as an active member in an inspection by:
 - a. Drafting a portion of the inspection specific plan.
 - b. Conducting activities described in No. 6 above as appropriate.
 - c. As deemed appropriate by your supervisor, conducting a portion of:
 - (1) the entrance meeting.
 - (2) the briefing of NRC management.
 - (3) the pre-brief of licensee management
 - (4) the exit meeting
11. Meet with your supervisor or the person designated to be your resource for this activity and discuss the items listed in the Evaluation Criteria section.

DOCUMENTATION: Basic-level Qualification Signature Card- OJT 4

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Basic-level On-the-Job Activity

TOPIC: (OJT-5) Documenting Inspection Findings

PURPOSE: The purpose of this activity is to give guidance on content, format, and style for inspection reports. The objectives of this activity are to ensure that inspection reports: 1) clearly communicate significant inspection results to licensees, NRC staff, and the public; 2) provide a basis for significance determination and enforcement action; and 3) present information associated with significant inspection findings in a manner that will be useful to NRC management in developing longer-term, broad assessments of licensee performance.

COMPETENCY

AREAS: FUNDAMENTAL PLANT DESIGN AND OPERATION
INSPECTION
COMMUNICATION
TEAMWORK
ASSESSMENT AND ENFORCEMENT

LEVEL

OF EFFORT: 40 hours

| |
|---|
| <p>Note: References, Evaluation Criteria and Tasks related to the Significance Determination Process (SDP) are for power reactor inspectors only.</p> |
|---|

REFERENCES: MC 0330, "Guidance for NRC Review of Licensee Draft Documents"

MC 0609, "Significance Determination Process (SDP)"

MC 0612, "Power Reactor Inspection Reports" or MC 0610, "Inspection Reports"

MC 0620, "Inspection Documents and Records"

Guidance for documenting inspection findings

Enforcement Policy (Refer to the NRC web site)

NUREG/BR-0075, "Field Policy Manual", Policy No. 9, "NRC Review of INPO Documents (power reactor inspectors only)"

EVALUATION

CRITERIA:

Upon completion of this activity, you will be asked to demonstrate your understanding of documenting inspection findings by successfully addressing the following:

1. Discuss the thresholds for determining what findings should be documented in an inspection report.
2. Describe how to process a finding through phase 1 of the SDP and what are the various outcomes.
3. Explain which findings are not processed through the SDP including how and why they are documented.
4. Discuss how to write an inspection report input.
5. Discuss how to write a violation.
6. Contrast the differences in documenting Inspector Identified Findings, Cross-cutting Issues, and Licensee Identified Violations.

TASKS:

2. Using MC 0609 and MC 0612, or MC 0610, determine if an identified issue is above the threshold for documentation.
3. Use MC 0612 to process a finding that does not fit into the SDP such as findings related to cross-cutting issues.
4. Use MC 0609 to process a finding through phase 1 of the SDP.
5. Using MC 0612 or MC 0610 and other available guidance, draft an inspection report input.
6. Given a violation of regulatory requirements and the Enforcement Policy and guidance, draft a violation.
7. Using MC 0330 and MC 0620, describe how to determine the documents that must be included as attachments to an inspection report as an agency record.

DOCUMENTATION:

Basic-level Certification Signature Card OJT 5

Basic-level Signature Cards and Certification

| | | |
|---|------------------------------------|--|
| <i>Inspector Name:</i> _____ | <i>Employee Initials/ Date</i> | <i>Supervisor's Signature/Date</i> |
| A. Training Courses | | |
| H-100, Site Access Training (or licensee site access) | | |
| R-100, Reactor Concepts | | |
| P-105, PRA Basics for Regulatory Applications | | |
| G-104, Expectations for Inspectors | | |
| B. Individual Study Activities | | |
| ISA-1 History and Organization of the Nuclear Regulatory Commission | | |
| ISA-2 Navigating the NRC's Internal and External Web Pages | | |
| ISA-3 Inspector Objectivity, Protocol, and Professional Conduct | | |
| ISA-4 Fitness for Duty (FFD) Rule | | |
| ISA-5 Allegations | | |
| ISA-6 NRC's Response to an Emergency at a Nuclear Facility | | |
| ISA-7 The Enforcement Process | | |
| ISA-8 The Office of Investigations | | |
| ISA-9 Exploring the Operating Reactor Inspection Program | | |
| ISA-10 Exploring Reactor Oversight Program's (ROP) Internal Webpage | | |
| ISA-11 Augmented Inspection Team (AIT), Special Inspection Team (SIT), and Incident Inspection Team (IIT) Activities | | |
| ISA-12 Understanding How the Commission Operates | | |
| ISA-13 Organization and Content of the NRC Inspection Manual | | |
| ISA-14 NRC Interagency Agreements | | |
| ISA-15 Interactions with the Public | | |
| ISA-16 Contacts with the Media | | |
| ISA-17 Institute of Nuclear Power Operations (INPO), Nuclear Energy Institute (NEI), and National Organization of Test, Research and Training Reactors (TRTR) | | |
| ISA-18 Freedom of Information Act and the Privacy Act | | |
| ISA-19 Entrance and Exit Meetings | | |

| | Employee Initials/ Date | Supervisor's Signature/ Date |
|---|----------------------------|---------------------------------|
| ISA-20 Documenting Inspection Findings | | |
| ISA-21 Differing Professional Opinions (DPO) and Differing Professional Views (DPV) | | |
| ISA-22 Overview of 10 CFR Part 50 | | |
| ISA-23 Overview of 10 CFR Parts 19 and 20 | | |
| ISA-24 Licensee-specific regulatory documents and procedures | | |
| C. On-the-Job Training Activities | | |
| OJT-1 Plant Familiarization Tour with a Qualified Inspector | | |
| OJT-2 Control Room Tour with Resident Inspector | | |
| OJT-3 Licensee Plan-of-the-Day (POD) Meeting | | |
| OJT-4 Inspection Activities | | |
| OJT-5 Documenting Inspection Findings | | |

Basic Inspector Certification

(name)

Has successfully completed all of the requirements
to be certified as a

BASIC INSPECTOR

Supervisor Signature _____ Date: _____

This signature card and certification must be accompanied by the appropriate Form 1, Basic Level Equivalency Justification, if applicable.

Form 1: Basic-Level Equivalency Justification

| | |
|---|--|
| Inspector Name: _____ | Identify equivalent training and experience for which the inspector is to be given credit |
| A. Training Courses | |
| R-100, Reactor Concepts | |
| P-105, PRA Basics for Regulatory Applications | |
| B. Individual Study Activities | |
| ISA-1 History and Organization of the Nuclear Regulatory Commission | |
| ISA-2 Navigating the NRC's Internal and External Web Pages | |
| ISA-3 Inspector Objectivity, Protocol, and Professional Conduct | |
| ISA-4 Fitness for Duty (FFD) Rule | |
| ISA-5 Allegations | |
| ISA-6 NRC's Response to an Emergency at a Nuclear Facility | |
| ISA-7 The Enforcement Process | |
| ISA-8 The Office of Investigations | |
| ISA-9 Exploring the Operating Reactor Inspection Program | |
| ISA-10 Exploring Reactor Oversight Program's (ROP) Internal Webpage | |
| ISA-11 Augmented Inspection Team (AIT), Special Inspection Team (SIT) and Incident Inspection Team (IIT) Activities | |
| ISA-12 Understanding How the Commission Operates | |

Form 1: Basic-Level Equivalency Justification

| | |
|---|--|
| Inspector Name: _____ | Identify equivalent training and experience for which the inspector is to be given credit |
| ISA-13 Organization and Content of the NRC Inspection Manual | |
| ISA-14 NRC Interagency Agreements | |
| ISA-15 Interaction with the Public | |
| ISA-16 Contacts with the Media | |
| ISA-17 Institute of Nuclear Power Operations (INPO), Nuclear Energy Institute (NEI), and National Organization of Test, Research and Training Reactors (TRTR) | |
| ISA-18 Freedom of Information Act and the Privacy Act | |
| ISA-19 Entrance and Exit Meetings | |
| ISA-20 Documenting Inspection Findings | |
| ISA-21 Differing Professional Opinions (DPO) and Differing Professional Views (DPV) | |
| ISA-22 Overview of 10 CFR Part 50 | |
| ISA-23 Overview of 10 CFR Parts 19 and 20 | |
| ISA-24 Licensee-specific regulatory documents and procedures | |
| C. On-the-Job Training Activities | |
| OJT-1 Plant Familiarization Tour with a Qualified Inspector | |
| OJT-2 Control Room Tour with Resident Inspector | |

| <i>Form 1: Basic-Level Equivalency Justification</i> | |
|--|--|
| <i>Inspector Name:</i> _____ | <i>Identify equivalent training and experience for which the inspector is to be given credit</i> |
| OJT-3 Licensee Plan-of-the-Day (POD) Meeting | |
| OJT-4 Inspection Activities | |
| OJT-5 Documenting Inspection Findings | |

Supervisor's Recommendation

Signature /
Date _____

Division Director's Approval

Signature /
Date _____

Copies to:
Inspector
HR Office