

REGIONAL OFFICE REVIEW PROCEDURE

A. Purpose

To establish a procedure and criteria to review the administration of the operator licensing functions in the regional offices and to review the Operator Licensing and Human Factors Branch (IOLB) support of the regional offices in carrying out the operator licensing functions delegated to the regions.

B. Background

1. NRR is responsible for regulatory policy and licensing operators pursuant to 10 CFR Part 55. To monitor the execution of this responsibility, IOLB shall oversee the operator licensing functions delegated to the regional offices. The oversight function shall include a quadrennial office visit.
2. The objectives of the review include:
 - a. Evaluating regional consistency in implementing the regulations, Examination Standards, and other policy guidance. Consistency is evaluated by assessing examination administration, quality, level of difficulty, and grading.
 - b. Providing feedback to NRR management concerning the adequacy of the operator licensing functions delegated to the regional offices.
 - c. Evaluating examiner feedback and the responsiveness of IOLB to that feedback, along with any other identified issues based on observations and interactions.
 - d. Determining the adequacy of IOLB support provided to the regional offices to carry out their functions.
 - e. Ensure licensing decisions are implemented per 10 CFR Part 55 and NUREG-1021, "Operator Licensing Examination Standards for Power Reactors."

C. Implementation Procedure

1. Attachment 3 is an activity tracker for the Team Leader to use to coordinate and implement the office review.
2. By no later than December 15th, the Team Leader shall contact the appropriate regional branch chief to arrange an optimal time for the review. The date of the review should be selected to coincide with a time when most examiners are in the office and available for telephone, electronic, or in-person interviews. The review should be scheduled to accommodate NRR Program Office manager interviews with region OL staff and participation in the exit briefing.
3. After the review has been arranged and approximately 30 days prior to the scheduled review date, the Team Leader will send a memorandum in the format of Attachment 1 to the regional office being reviewed.
4. The review shall evaluate the administration of delegated operator licensing functions within the region (using the assessment guidance in Attachment 2) and the support and guidance provided to the regional offices by IOLB. The assessment of many of the elements that make up the regional operator licensing functions will be both objective and subjective in nature. For those licensing functions where definitive requirements have been previously established, the ratings will be based on objective measurements of performance against those requirements. The specific ratings are defined as follows:

SATISFACTORY (S):

- Goals and requirements are consistently met or exceeded.
- Schedules are realistic and consistently met.
- Initiatives are implemented with positive results.

NEEDS IMPROVEMENT (NI):

- Goals and requirements are consistently not met.
- Schedules are frequently not met.
- Regional management attention is warranted.
- Potential vulnerability or deficiency.

NOT APPLICABLE (NA):

- Not applicable or not evaluated (use of this rating must be justified).

Additional reviews may be scheduled if necessary to meet the objectives of the review program. However, a region should receive no more than one office

review in any fiscal year unless unforeseen or special circumstances arise. If an additional office review is necessary, then IOLB will document the circumstances requiring the additional review in the associated quadrennial operator licensing program review report.

5. The office review will be performed by a team consisting of the necessary expertise to adequately evaluate the assessment areas. The review of written examinations and operating tests will be performed by one or more certified examiners. When possible, the team will include an experienced chief examiner from another regional office and an operator licensing assistant (OLA) from IOLB or another regional office. The Team Leader will generally be a senior examiner from IOLB.
6. An entrance meeting should be scheduled to introduce the team members to the region staff and discuss logistics for the review.
7. An exit meeting shall be scheduled at the end of the review to discuss the findings of the review team and concerns of the regional office. Prior to the exit meeting, the Team Leader will discuss the team's findings with the appropriate regional manager(s). Regional staff may attend the exit meeting at regional management discretion. The Team Leader will ensure a bridge line is reserved for the exit meeting and will provide the bridge line information to individuals who are unable to attend in person.
8. Assessment Areas

A detailed review of each of the following assessment areas or all aspects of an assessment area is not required during each review. Issues from previous reviews, regional self-assessments, and examination audits are generally of particular interest.

- a. The Examination Administrative Requirements Assessment (Attachment 2, Section 1.0) shall be completed in conjunction with the Written and Operating Test examination packages selected for review.
- b. The Operating and Written Examination Assessments (Attachment 2, Sections 2.0 and 3.0) should be used to review selected portions of examination packages. Note that these examination packages are in addition to those audited per OLMC-320. Since each regional office is responsible for quality assurance of examinations, no distinction shall be made between examinations written by the NRC or by the facility licensee. The examination package shall be reviewed for compliance with the revision of NUREG-1021 in effect at the time the examination was administered.

- c. The Operator Requalification Program Assessment (Attachment 2, Section 4.0) shall be used to review one or two requalification program inspections or NRC-administered requalification examinations, if applicable.
- d. The Regional Operations Assessment (Attachment 2, Section 5.0) shall be used to review the region's method of disseminating guidance from IOLB, scheduling examinations, handling waiver requests, reviewing medical evaluation forms, processing license denial appeals, docket management, and Reactor Program System Operator Licensing (RPS-OL) entries.
- e. The Resource Utilization Assessment (Attachment 2, Section 6.0) shall be used to assess the effectiveness of the region's examiner training program and the efficiency of examiner resource utilization.
- f. The Regional and Program Office Communications Section (Attachment 2, Section 7.0) shall be used to assess the interaction between the regional office and IOLB.
- g. The Regional Differences Assessment (Attachment 2, Section 8.0) shall be used to assess the region's ability to identify regional differences and implement IOLB resolutions.
- h. The Cross-Regional Examination Participation Assessment (Attachment 2, Section 9.0) shall be used to assess the region's participation in cross-regional examinations and implementation of OLMC-120, "National Exam Schedule."

9. General Implementation Guidance

- a. The Team Leader shall prepare a review plan considering the IOLB examination audit schedule and the results of previous reviews/audits. The Team Leader will assign the assessment areas among the team members based on their experience and expertise. The Team Leader should select approximately four initial examinations to evaluate during the review (fewer or more examinations may be sampled depending on availability of resources).
- b. The Team Leader shall have team members collect the following reports, as applicable to their areas of review, covering the period since the last review in the regional office.

NOTE: RPS-OL reports may contain personally identifiable information (PII) and should be treated IAW the Privacy Act and NRC guidance.

- The previous IOLB Regional Office Review Report
- Regional operator licensing self-assessment reports or a summary of trends and any notable findings from the self-assessment(s)
- RPS-OL Report 14, "License Restriction Report"
- RPS-OL Report 18, "Proposed Denials / Appeals Status"
- RPS-OL Report 19, "Waiver Tracking"
- RPS-OL Report 25, "Fitness for Duty"
- RPS Inspections and Inspection Scheduling, Tracking and Reporting (ISTAR) Report IR 4, "Advanced Findings Violations Search," for 71111.11A, 71111.11B, and 71111.11Q examination audit reports, or a summary of trends and any notable findings from the audits conducted IAW OLMC-320
- RPS ISTAR Report IR 6ROP6, "ROP Sample Completion Hours Charged – Min Nom Max," for IP-71111.A11A, IP-71111.11B, and IP-71111.11Q for each in-scope "cycle" year of the office review
- CAC Labor Summary Report for the following CACS: 000703, "FB-OR-IP-7111111A-LICENSED OPERATOR REQUALIFICATION PROGRAM-ANNUAL REVIEW;" 000704, "FB-OR-IP-7111111B-LICENSED OPERATOR REQUALIFICATION PROGRAM;" and 000705, "FB-OR-IP-7111111Q-LICENSED OPERATOR REQUALIFICATION PROGRAM."

- c. Portions of the review can be performed using digital resources (such as ADAMS and RPS-OL) prior to the on-site portion of the review to maximize efficiency of the time spent at the regional office.

D. Documentation Required

A report shall be prepared by the Team Leader upon completion of the office review. This report shall summarize the findings of the assessment team regarding the adequacy and consistency of program implementation by the regional office and areas where IOLB must provide additional support for the regional office. The report shall be from the Director, Division of Reactor Oversight (DRO), to the appropriate regional Division Director and other appropriate regional office personnel. Prior to final distribution of the report, a preliminary copy shall be sent to the regional office for review and comment. The regional office's comments will be considered for inclusion in the final report. The report should be placed in ADAMS in the appropriate region and year folder in the "Office Reviews" folder in NRR NRR-DIRS IOLB.

ATTACHMENT 1

EXAMPLE OF LETTER TO REGION SCHEDULING QUADRENNIAL OFFICE REVIEW

MEMORANDUM TO: (____NAME____), Director
Division of Reactor Safety, R(____)

FROM: (NAME), Director
Division of Reactor Oversight
Office of Nuclear Reactor Regulation

SUBJECT: QUADRENNIAL PROGRAM REVIEW OF THE OPERATOR
LICENSING FUNCTION IN REGION (____)

The Operator Licensing and Human Factors Branch (IOLB) is planning to perform its quadrennial Region (____) office review during the week of (____DATE____). (____NAME____) of IOLB has discussed this visit with (____REGION CONTACT____) of your staff and confirmed the dates. (____REGION CONTACT____) has also agreed to arrange for working space for the review team. (____TEAM LEADER____), IOLB, will lead the team consisting of himself/herself, (____LIST IOLB TEAM MEMBERS____), and (____NAME OF REGIONAL EXAMINER____) from Region (____).

Enclosed for your information is the planned agenda for this review. (____NAME AND TITLE____) will be the NRR management representative and will discuss the operator licensing programs with you and your staff, review the team's findings, and participate in the exit briefing.

We appreciate the cooperation of you and your staff for this review. I believe that the success of this important review function depends on a high level of regional office cooperation. If you or your staff have any questions pertaining to this review, please call me or [NAME], Chief, IOLB at (301) 415-1004 or (301) 415-[#], respectively.

Attachment:
As stated

Distribution:
Regional BC (____NAME____)
IOLB OLA
Regional OLA
Team Members

Concurrence: Team Leader, IOLB BC, DRO DD

SAMPLE AGENDA

- DAY ONE** Assemble and brief team/region staff on schedule for visit (TEAM LEADER)
- Brief region management and staff on schedule for visit (TEAM LEADER)
- Begin assessments (TEAM)
- DAY TWO** Continue assessments (TEAM)
- Meet with regional operator licensing staff to discuss assessments (TEAM LEADER/MANAGER)
- DAY THREE** Continue assessments (TEAM)
- Meet with regional operator licensing staff to discuss assessments (TEAM LEADER/MANAGER)
- Brief NRR and DRS managers on team findings (TEAM)
- DAY FOUR** Prepare exit meeting summary (TEAM)
- Exit meeting (TEAM)

ATTACHMENT 2

ASSESSMENT OF THE REGIONAL OPERATOR LICENSING PROGRAM

ASSESSMENT SUMMARY SHEET

1.0	<u>EXAMINATION ADMINISTRATIVE REQUIREMENTS ASSESSMENT</u>	S/NI/NA
2.0	<u>OPERATING TEST ASSESSMENT</u>	S/NI/NA
3.0	<u>WRITTEN EXAMINATION ASSESSMENT</u>	S/NI/NA
4.0	<u>OPERATOR REQUALIFICATION PROGRAM ASSESSMENT</u>	S/NI/NA
5.0	<u>REGIONAL OPERATIONS ASSESSMENT</u>	S/NI/NA
6.0	<u>RESOURCE UTILIZATION ASSESSMENT</u>	S/NI/NA
7.0	<u>REGIONAL AND PROGRAM OFFICE COMMUNICATIONS</u>	S/NI/NA
8.0	<u>REGIONAL DIFFERENCES ASSESSMENT</u>	S/NI/NA
9.0	<u>CROSS-REGIONAL EXAMINATION PARTICIPATION ASSESSMENT</u>	S/NI/NA

DEFINITIONS OF ASSESSMENT RATINGS

SATISFACTORY (S):

- Goals and requirements are consistently met or exceeded.
- Schedules are consistently met.
- Initiatives are implemented with positive results.

NEEDS IMPROVEMENT (NI):

- Goals and requirements are consistently not met.
- Schedules are frequently not met.
- Regional management attention is warranted.
- Potential vulnerability or deficiency.

NOT APPLICABLE (NA):

- Not applicable or not evaluated (any use of this rating must be justified).

ASSESSMENT OF THE REGIONAL OPERATOR LICENSING PROGRAM

1.0 EXAMINATION ADMINISTRATIVE REQUIREMENTS ASSESSMENT

Examinations assessed: _____

- 1.1 License applications (NRC Form 398 & NRC Form 396) were reviewed for completeness and accuracy and approved by an examiner. (ES-202, Section C.2)

Comments:

- 1.2 An ADAMS Facility Examination File exists for each facility, containing the pertinent written correspondence, checklists, and forms listed in ES-501, Section F.1.

- 1.2.1 ADAMS files have public release dates consistent with program office delayed-release guidance (i.e., ROI 16-14R).

Comments:

- 1.2.2 Pre- and Post-Examination Security Agreements were executed in accordance with the Examination Standards. (ES-201, Section D.2.b; Form ES-201-3)

Comments:

- 1.2.3 The Examination Report was prepared in accordance with ES-501, Section E.3.

Comments:

2.0 OPERATING TEST ASSESSMENT

Examinations assessed: _____

2.1 **Adequacy of the facility walk-through portions of initial examination operating tests**

2.1.1 The facility walk-through test complies with ES-301 (use Forms ES-301-1, -2, and -3 as guides). Quality reviews were conducted in accordance with ES-201, Sections C.3.e, f, and g and ES-301, Section E.2, as documented on Forms ES-201-2 and ES-301-3. Any comments (if available) were properly resolved and the final examination was revised, as necessary, prior to regional supervisor approval.

Comments:

2.1.2 The facility walk-through appears to be an appropriate test of system knowledge. (Evaluate only if JPMs are available.)

Comments:

2.2 **Adequacy of the integrated plant operations portions of initial examination operating tests**

2.2.1 The simulator scenarios comply with ES-301 (use Form ES-301-4 as a guide). Quality reviews were conducted in accordance with ES-201, Sections C.3.e, f, and g and ES-301, Section E.2, as documented on Forms ES-201-2, ES-301-3, and ES-301-4. Any comments (if available) were properly resolved and the final examination was revised, as necessary, prior to regional supervisor approval.

Comments:

2.2.2 The simulator scenarios appear to be an appropriate test of integrated plant operations.

Comments:

2.3 **Examination Record Retention**

2.3.1 Sample 2-3 individual docket files, including those of operators who failed the exam, to ensure the files contain the following:

2.3.1.1 Examination Reports (Forms ES-303-1, ES-303-2, as-run ES-D-1) for each operator, along with all correspondence with the applicant. (ES-501, Section F.2)

Comments:

2.3.1.2 For any operator who failed the operating test of the NRC exam, docket file contains all failed portions of the exam, including Form ES-D-2 if the simulator operating test portion was failed, in addition to the forms identified in item 2.3.1.1 (ES-501, Section F.2). Verify that the operating test comments justify the grades assigned per ES-303.

Comments:

2.3.2 The Facility Examination File contains the as-run forms for each scenario set (ES-D-1 and D-2) and operating test outlines (ES-301-1 and 301-2) administered during the examination.

Comments:

3.0 WRITTEN EXAMINATION ASSESSMENT

Examinations assessed: _____

3.1 **Adequacy of the written examination reviews**

3.1.1 Quality examination reviews were conducted in accordance with ES-201, Sections C.3.e, f, and g and ES-401, Section E.2 or ES-401N, Section E.2 as documented on Forms ES-201-2, ES-401-6, ES-401-9, ES-401N-6, and ES-401N-9, as applicable. Any comments (if available) were properly resolved and the final examination was revised, as necessary, prior to regional supervisor approval.

Comments:

3.1.2 Any changes to examination grading are fully documented by the reviewer with original grading lined out but legible (no white out or other obscuring methods used). (ES-403, D.2)

Comments:

- 3.1.3 Perform an independent review on a sample (~25%) of the submitted written examination questions using Forms ES-401-6 and ES-401-9, or Forms ES-401N-6 and ES-401N-9, as applicable. The independent written examination review substantially agrees with the region's review as documented on Forms ES-401-6 and ES-401-9, or Forms ES-401N-6 and ES-401N-9, as applicable. Review ES 401-9 or ES-401N-9 Forms associated with different exams and document any significant inconsistencies.

Comments:

3.2 Examination Record Retention

The ADAMS Facility Examination File shall contain the following information:

- 3.2.1 The final written examination and answer key with all changes incorporated, and the NRC-approved examination that was pre-reviewed by the facility licensee (including licensee comments) or the draft examination submitted by the facility licensee for NRC review.

Comments:

4.0 OPERATOR REQUALIFICATION PROGRAM ASSESSMENT

Inspections assessed: _____

- 4.1 For the one to two samples selected, requalification program inspections were conducted in accordance with IP 71111.11, including the quarterly, annual, and biennial samples. RPS and Inspection Reports data match, and any deviations from the IP are appropriately documented.

Comments:

- 4.2 For the one to two samples selected, the regional office announced its intent to conduct inspections through the annual assessment letter (<https://www.nrc.gov/reactors/operating/oversight/listofasmrpt.html>).

Comments:

- 4.3 For the one to two samples selected, how many inspectors are typically dispatched to the site? How long are the inspectors at the site? How many DIE

hours have been required to complete the inspections in comparison to the ISTAR? (Refer to RPS ISTAR Report IR 6.)

Comments:

- 4.4 Is there any evidence that the Examination Standards are being treated as requirements (see ROI-94-29)?

Comments:

- 4.5 Inspection findings are well supported and consistent with IOLB guidance. Conclusions are reasonable and based on facts discussed in the report.

- 4.6 The NRC inspectors are qualified to perform the inspection.

Comments:

5.0 REGIONAL OPERATIONS ASSESSMENT

5.1 **Region/Headquarters Interactions**

- 5.1.1 An effective method is used to disseminate information (e.g., ROIs, conference call notes, appeal results, manual chapter changes) to all examiners in the region. (Note: this item should be assessed during interviews with the region examiners.)

Comments:

- 5.1.2 Verify examiners are capable of accessing the ADAMS document file for ROIs. (This is required by OLMC-160, Regional Office Interactions.) (Note: this item could be assessed during interviews with the region examiners.)

Comments:

- 5.1.3 Summarize regional views on level of IOLB support and timeliness of response to requests for support. Include planned or completed actions taken to address regional comments. (Note: this item should be assessed during interviews with the region examiners, OLA and chief.)

Comments:

5.2 **Waivers**

5.2.1 Using RPS-OL Report 19 and the IOLB ROI log, determine how many applications requested “waivers” (which includes waivers, deferrals, and excusals) during the review period. _____

5.2.2 The regional offices’ resolution of waivers, deferrals, excusals, and exemptions conforms to NRC policy (ES-204, C.2.).

Comments:

5.2.3 Using RPS-OL Report 19 and ADAMS operator docket files, verify that a sample of the waiver decisions are documented on NRC Form 398 (ES-204, C.2.e) and in correspondence to the applicant (ES-204, C.2.d).

Comments:

5.3 **Review of medical examinations**

5.3.1 The region has an effective medical examination tracking system to monitor the status and location of medical reviews.

Comments:

5.3.2 Select several ADAMS operator docket files to ensure NRC Form 396 and, if appropriate, the NRC doctor’s review is filed in each docket.

Comments:

5.3.3 Verify that only current medical examinations have been accepted. (ES-202, Sections C.1.a and C.2.a; ES-204, Section D.1.c; ES-605, Section C.3)

Comments:

5.3.4 Using RPS-OL Report 14, check several ADAMS operator docket files for which the medical evaluations require license restrictions and verify the restrictions are stated on the license.

Comments:

5.3.5 Using RPS-OL Report 25 and current enforcement information (the regional enforcement specialist can supply information for cases against operators), verify that fitness for duty cases are documented in the ADAMS operator docket files and RPS-OL.

Comments:

5.4 License denial and appeal process

5.4.1 Number of failures overturned -

5.4.1.1 by the regional office: _____

5.4.1.2 by IOLB: _____

5.4.2 Assess whether the regional office should have reasonably been expected to identify and correct the flawed test items prior to examination administration or during the grading process.

Comments:

5.4.3 The region supported the appeal process in accordance with ES-502 or ES-605, as applicable, and OLMC-500.

Comments:

5.4.4 Using RPS-OL Report 18, verify that any appellants' ADAMS operator docket files include documentation from DRO on the appeal results.

Comments:

5.4.5 For any appeal that resulted in examination grading changes, confirm that the data in RPS-OL was updated.

Comments:

5.5 Docket Management and Office Procedures

5.5.1 Applications are logged in as received.

Comments:

5.5.2 Applications are processed within 30 days of receipt.

Comments:

5.5.3 ADAMS operator docket files are maintained and up to date.

Comments:

- 5.5.4 Docket security is designed and maintained to ensure the privacy of applicants.

Comments:

- 5.5.6 Completeness of ADAMS operator docket file contents verified by a random sample of docket files for completeness required per ES-501, Section F.2. Track a minimum of one application through the complete process from date of receipt to issuance of license or denial.

Comments:

5.6 Status of RPS-OL Entries/Licensing Assistant Interaction with RPS-OL

- 5.6.1 RPS-OL entries are up to date within 1 week of the review date. Enforcement against operators are entered in RPS-OL.

- 5.6.2 ADAMS operator docket files align with their RPS-OL entries.

Comments:

- 5.6.3 Document any notable issues experienced with RPS-OL and Operator Digital Docket (ODD) after the last review and convey recent RPS-OL and ODD developments to the regional OLA.

Comments:

6.0 RESOURCE UTILIZATION ASSESSMENT

6.1 Examiner training and development

- 6.1.1 The training program is implemented for new examiners. (Inspection Manual Chapter [IMC] 1245, Appendix C-10.)

Comments:

- 6.1.2 Perform a sample review of new examiner training journals to determine compliance with Appendix C-10 of IMC-1245, if applicable.

Comments:

- 6.1.3 Each examiner has been observed during an operating test or inspection on an annual basis in accordance with IMC-0102.

Comments:

- 6.1.4 Each examiner attended a reactor technology and an examination techniques refresher training course at 3-(calendar) year intervals (IMC-1245, Appendix D-1).

Comments:

- 6.1.5 Each examiner maintained proficiency by administering one complete operating test per calendar year (IMC-1245, Appendix D-1).

Comments:

6.2 **Staff Utilization**

- 6.2.1 During the four-year period of the review, has the region interacted with regional industry representatives on operator licensing issues? For example, did the regional office staff participate in meetings with utility training staffs other than routine meetings associated with specific examination assignments, such as training conferences or workshops held by utility organizations? (Note: meetings with industry representatives focused on operator licensing topics or training help to improve the quality of facility-developed examination materials.)

Comments:

- 6.2.3 Review printouts of examiner time usage and evaluate appropriateness of charged time for examinations and requalification program inspections by assessing FTE utilization and budgeted FTE.

6.2.3.1 Assess FTE utilization for fee billable OL work:

- (1) Select "CAC Labor Summary" under "Reports" on cacs.nrc.gov
- (2) Select "Yes" for fee-billable
- (3) Select the region under "Office"
- (4) Select "11 – Operating Reactors" under "Business Line"
- (5) Select "4 – Licensing" under "Product Line"

- (6) Select "165 – Operator Licensing" under "Product,"
- (7) Enter from and to dates for the most recent full fiscal year of the review period
- (8) Click "View Report"
- (9) Save report as a CSV file
- (10) Sum all regular and non-regular hours of fee-billable work
- (11) Convert hours from Step (10) to FTE used (1 FTE = 1160 hours)
- (12) Compare FTE used for the fiscal year to fee-billable OL FTE budgeted for the business line for the fiscal year
- (13) Repeat for each fiscal year of the review period

(NOTE: If the region is budgeted for new reactor work, perform all the same steps EXCEPT at (4), select "17 – New Reactors" under "Business Line.")

Comments:

6.2.3.2: Assess FTE utilization for non-fee billable OL work:

- (1) Select "CAC Labor Summary" under "Reports" on cacs.nrc.gov
- (2) Select "No" for fee-billable
- (3) Select the region under "Office"
- (4) Select "11 – Operating Reactors" under "Business Line"
- (5) Select "4 – Licensing" under "Product Line"
- (6) Select "165 – Operator Licensing" under "Product,"
- (7) Enter from and to dates for the most recent full fiscal year of the review period
- (8) Click "View Report"
- (9) Save report as a CSV file
- (10) Sum all regular and non-regular hours of non-fee billable work
- (11) Convert hours from Step (10) to FTE used (1 FTE = 1160 hours)
- (12) Compare FTE used for the fiscal year to non-fee billable OL FTE budgeted for the business line for the fiscal year
- (13) Repeat for each fiscal year of the review period

(NOTE: If the region is budgeted for new reactor work, perform all the same steps EXCEPT at (4), select "17 – New Reactors" under "Business Line.")

- 6.2.4 Did the regional staff adequately support the National Examiners' Conference?
(Note: all regional examiners, OLAs and regional OL branch chiefs should attend when possible.)

Comments:

7.0 REGIONAL AND PROGRAM OFFICE COMMUNICATIONS

7.1 **Feedback from Regions**

- 7.1.1 Do regional office staff, other than the branch chief, regularly participate in the biweekly phone call with IOLB and the other regions? Are these calls effective and useful? (Note: this should be assessed during interviews with regional examiners.)

Comments:

- 7.1.2 Has IOLB participated in regular communication with the regional office and been responsive to questions/concerns from regional staff since the last regional office review? (Note: this should be assessed during interviews with regional examiners.)

Comments:

8.0 **REGIONAL DIFFERENCES ASSESSMENT**

- 8.1 During the four-year period, did the regional office identify any regional differences and inconsistencies with other regional offices? If so, were these addressed by an ROI or during a biweekly call or at the biennial conference? (Note: this may be assessed by reviewing ROIs submitted by the region during the review period and by discussing with regional staff during interviews.)

Comments:

- 8.2 Were any new regional differences identified as a result of the review? If so, ensure that these differences are documented for review by IOLB.

Comments:

9.0 **CROSS-REGIONAL EXAMINATION PARTICIPATION ASSESSMENT**

- 9.1 How many exams in other regions did the regional office support? (Note: The goal is for each regional office to support another regional office examination at least once per year. Regional offices can provide examination support to any other regional office, but it is preferred that the regional offices rotate support to other regional offices from year-to-year to allow for best exposure to different regional practices.)

Comments:

- 9.2 How much cross-regional support was provided to the regional office?

(See note for 9.1 above.)

Comments:

- 9.3 Does the region meet the goals discussed in OLMC-120, "National Examination Schedule"?

Comments:

ATTACHMENT 3 TEAM LEADER ACTIVITY TRACKER					
OLMC-310 Item	Task	Team Members		Due Date	Status / Rating
Prep work					
Section C.3	Send Attachment 1 memo				
Section C.6	Schedule entrance meeting				
Section C.7	Schedule exit meeting				
Section C.2	Schedule NRR Mgmt. interviews with region staff				
Section C.9.a	Select exams for review				
Section C.8.c	Pick BRQ inspections for review				
Section C.9.b	Pull reports				
Section C.9.b	Pull requal hours				
	Conf room, computers, file access, bldg access				
	Review Region's Self-Assessment Results				
	Finalize travel				
	Entrance meeting				
Att 2, Section 1.0	Admin Requirements				
	1.1 License Applications				
	1.2 ADAMS Facility Examination File				
Att 2, Section 2.0	Operating Test Assessment	Exams:	Exams:		

	2.1 Adequacy of the facility walk-through				
	2.2 Adequacy of the integrated plant operations				
	2.3 Examination Record Retention				
Att 2, Section 3.0	Written Examination Assessment	Exams:	Exams:		
	3.1 Adequacy of the written examination reviews				
	3.2 Examination Record Retention				
Att 2, Section 4.0	Operator Requal Program Assessment				
	4.1 Conducted in accordance with IP 71111.11B				
	4.2 Regional Office announces its intent				
	4.3 Inspection hours (RPS PM Report 3)				
	4.4 ES treated as requirements - ROI-94-29				
	4.5 Inspection findings well supported				
	4.6 NRC inspectors qualified				
Att 2, Section 5.0	Regional Operations Assessment				

	5.1 Region/Headquarters Interactions				
	5.2 Waivers				
	5.3 Review of medical examinations				
	5.4 License denial and appeal process				
	5.5 Docket Management and Office Procedures				
	5.6 Status of RPS-OL Entries				
Att 2, Section 6.0	Resource Utilization Assessment				
	6.1 Examiner training and development				
	6.2 Staff Utilization				
Att 2, Section 7.0	Regional and Program Office Communications				
	7.1 Feedback from Regions				
Att 2, Section 8.0	Regional Differences Assessment				
	8.1 Regional office identifying differences				
	8.2 New regional differences				
Att 2, Section 9.0	Cross-Regional Exam Participation Assessment				
	9.1 Regional Office participated				
	9.2 Cross-regional support was provided				

	9.3 Implementation of NES Goals				
Exit/Doc	Finalize assessments				
	Compile issues and discuss findings				
	Document findings				
	Brief Region DRS Director on findings				
	Attend exit meeting				
	Travel home				
	Issue final report				
Focus Areas:					