

Appendix B
General Proficiency-Level
Training and Qualification Journal

Table of Contents

Introduction	3
Required General Proficiency Training Courses	3
General Proficiency Individual Study Activity	3
(ISIA-General-1) Quality Assurance Program	4
(ISIA-General-2) Corrective Action Program	6
(ISIA-General-3) Technical and Regulatory Issues	8
(ISIA-General-4) Safety Culture	9
General Proficiency On-the-Job Activity	11
(OJT-General-1) Emergency Drill/Exercise Observation	12
General Proficiency-Level Signature Card and Certification	15
Form 1: General Proficiency-Level Equivalency Justification	16

Introduction

You may complete the General Proficiency requirements together with the Technical Proficiency requirements for your specific inspector classification.

Required General Proficiency Training Courses

NOTE: You DO NOT have to finish Appendix A before completing the following courses.

- Effective Communication for NRC Inspectors
- Gathering Information for Inspectors through Interviews
- Media Training Workshop

NOTE: You must complete Appendix A and receive Basic Inspector Certification before beginning the courses listed below.

Before signing up for any course, be sure that you have checked and have met any prerequisites.

These courses should be completed in the order listed:

- Conducting Inspections (G-105)
- Root Cause/Incident Investigation Workshop (G-205)
- Field Techniques and the Regulatory Processes (G-103)

General Proficiency 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.) 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 focus on what is most important. The **tasks** outline the things you must do to successfully address the evaluation criteria.

General Proficiency Individual Study Activity

TOPIC: (ISA-General-1) Quality Assurance Program (for power reactor inspectors only as quality assurance program requirements for research and test reactors are addressed in IMC 1245 Appendix C5, ISA-RT-1, under ANSI/ANS 15.8 and RG 2.5)

PURPOSE: This activity will provide you with a working knowledge of the contents of Appendix B, "Quality Assurance Criteria for Nuclear Power Plants and Fuel Processing Plants," to 10 CFR Part 50, "Domestic Licensing of Production and Utilization Facilities," industry standards, and the associated licensee programs and documents that collectively establish the basis for the licensee's quality assurance (QA) program.

**COMPETENCY
AREA:**

INSPECTION

**LEVEL
OF EFFORT:**

12 hours

REFERENCES:

1. Appendix B to 10 CFR Part 50
2. ASME NQA-1-2004, "Quality Assurance Requirements for Nuclear Facility Applications"
3. Regulatory Guide 1.33, "Quality Assurance Program Requirements"
4. Licensee QA program documentation

**EVALUATION
CRITERIA:**

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

1. Discuss the general content of Appendix B to 10 CFR Part 50 and the 18 criteria contained in the appendix.
2. Describe the relationship between the plant license, the final safety evaluation report (FSAR), the plant technical specifications, and Appendix B to 10 CFR Part 50.
3. Outline the key elements of an effective QA program, and the licensee's implementation of those elements at your reference site.

TASKS:

1. Review and discuss the 18 criteria of Appendix B with your supervisor or qualified inspector, and communicate an

understanding of their content and general application to field inspections.

2. Review the basic regulations that require a QA program. Review industry standards related to QA. Find where the FSAR, technical specifications, and plant license address QA. Review a licensee QA program and the implementing procedures.
3. At a site, gain a general understanding of the licensee's QA program through a combination of discussions with a qualified resident inspector and review of assessments/reports prepared by the licensee QA organization.
4. Meet with your supervisor or a qualified inspector to discuss any questions that you may have as a result of this activity and demonstrate that you can meet the evaluation criteria listed above.

DOCUMENTATION: General Proficiency Qualification Signature Card
Item ISA-General-1

General Proficiency Individual Study Activity

TOPIC: (ISA-General-2) Corrective Action Program

PURPOSE: This activity will provide you with a working knowledge of the licensee programs and documents that were established to meet the requirements for an effective problem identification and corrective action program, as outlined in criterion XVI of Appendix B to 10 CFR Part 50.

COMPETENCY AREA: INSPECTION

LEVEL OF EFFORT: 20 hours

REFERENCES:

1. Inspection Procedure (IP) 71152, "Identification and Resolution of Problems"
2. IP 40500, "Effectiveness of Licensee Process to Identify, Resolve, and Prevent Problems"
3. Site-specific documents that describe the licensee's corrective action program
4. Criterion XVI of Appendix B to 10 CFR Part 50

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

1. Discuss the principle steps in your reference site's corrective action program (CAP) with respect to identification of a condition adverse to quality through final resolution.

TASKS:

1. At your reference site, gain a general understanding of the licensee's CAP through a combination of discussions with a qualified resident inspector and attendance at routine CAP meetings.
2. Using IP 71152 for guidance, review a sample of about six issues entered into the licensee's CAP within the past month and compare the licensee's actions with regulatory requirements. Discuss the resolution of the issues with the resident inspector. This review should include the resolution of potential operability issues, if available.

3. Meet with your supervisor or a qualified operations resident inspector to discuss any questions that you may have as a result of this activity and demonstrate that you can meet the evaluation criteria listed above.

DOCUMENTATION: General Proficiency Qualification Signature Card
Item ISA-General-2

General Proficiency Individual Study Activity

TOPIC: (ISA-General-3) Technical and Regulatory Issues (for power reactor inspectors only)

PURPOSE: This activity will familiarize you with various topics of interest that have proven problematic in the past.

COMPETENCY AREA: INSPECTION

LEVEL OF EFFORT: Various

REFERENCES: 1. General Topics Web-Based Training (<http://nrr10.nrc.gov/rop-digital-city/electronic-read-sign.html>)

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

1. Discuss the general topics presented in the Web-based training and exhibit a basic knowledge of the technical/regulatory issues and their application to the U.S. Nuclear Regulatory Commission (NRC).

TASKS:

1. Complete the Web-based training on general topics listed at the referenced Web page.
2. Gain a general understanding of the technical/regulatory issues and their applications to the NRC.
3. *Meet with your supervisor or a qualified inspector to discuss any questions that you may have as a result of this activity and demonstrate that you can meet the evaluation criteria listed above. [C-1]*

DOCUMENTATION: General Proficiency Qualification Signature Card
Item ISA-General-3

General Proficiency Individual Study Activity

TOPIC: (ISA-General-4) Safety Culture

PURPOSE: This activity will provide you with a working knowledge of the NRC safety culture initiative and how it is addressed in the Reactor Oversight Process (ROP).

COMPETENCY AREA: INSPECTION

LEVEL OF EFFORT: 20 hours

REFERENCES: For power reactor inspectors:

1. ROP computer-based training modules (found on ROP Digital City) on the Columbia space shuttle accident at <http://grape/readygo/nrr/readandsign/columbia/index.htm> and on *s a f e t y c u l t u r e a t* <http://grape/readygo/nrr/readandsign/scwe/index.htm>
2. Safety culture regional counterpart presentation videos, [Safety Culture Background](#), [ROP Assessment Process](#), [Inspection Procedure Changes](#), and [Case Studies](#). These videos are found on the safety culture Web page or are available on a DVD from the regional safety culture point-of-contact.
3. Inspection Manual Chapters 0305, "Operating Reactor Assessment Program," and 0612, "Power Reactor Inspection Reports"
4. IPs 71152, "Identification and Resolution of Problems"; 95001, "Supplemental Inspection for One or Two White Inputs in a Strategic Performance Area"; 95002, "Supplemental Inspection Procedure for One Degraded Cornerstone or Any Three White Inputs in a Strategic Performance Area"; 95003, "Supplemental Inspection Procedure Repetitive Degraded Cornerstone or Multiple Degraded Cornerstones, Multiple Yellow Inputs, or One Red Input"; 71153, "Event Follow-up"; 93800, "Augmented Inspection Team"; and 93812, "Special Inspection"
5. SECY-06-122, "Safety Culture Initiative Activities to Enhance the Reactor Oversight Process and Outcomes of the Initiatives" at <http://www.nrc.gov/reading-rm/doc-collections/commission/secys/2006/secy2006-0122/2006-0122scy.html> (ADAMS Accession No. ML061320282)

For research and test reactor inspectors:

1. Safety Culture computer based training, modules entitled Training Overview and Safety Culture Background (first 40% of the course), found on the NRC intranet at <http://grape/readygo/nrr/readandsign/scwe/index.htm>
2. Columbia Space Shuttle Accident Report, a case study in safety culture, found on ROP Digital City at <http://grape/readygo/nrr/readandsign/columbia/index.htm>.

**EVALUATION
CRITERIA:**

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

1. Discuss general safety culture aspects and the graded ROP approach to recognizing potential weaknesses in licensee safety culture and taking appropriate agency actions.
2. Discuss the difference between inspecting to develop the cross-cutting aspect and allegation follow-up.

TASKS:

1. Define safety culture and safety conscious work environment (SCWE) and discuss why they are important.
2. Explain the relationship of the cross-cutting areas with the safety culture components. (For power reactor inspectors only.)
3. Discuss how the causes and cross-cutting aspects would be identified and documented for several current or hypothetical inspection findings. (For power reactor inspectors only.)
4. Discuss the agency's graded approach to dealing with potential safety culture issues as licensee performance declines.
5. Meet with your supervisor or a qualified operations resident inspector to discuss any questions that you may have as a result of this activity and demonstrate that you can meet the evaluation criteria listed above. [C-2]

DOCUMENTATION:

General Proficiency Qualification Signature Card
Item ISA-General-4

General Proficiency On-the-Job Activity

General Proficiency On-the-Job Activity

TOPIC: (OJT-General-1) Emergency Drill/Exercise Observation (for power reactor inspectors only as observations of drills for research and test reactors are addressed in IMC 1245, Appendix C5, OJT-RT-1)

PURPOSE: The conduct of an emergency drill/exercise allows the licensee to assess emergency response performance and the effective correction of previously identified weaknesses. It permits the evaluation of the level of quality of emergency response training, emergency plan implementing procedures, facility and equipment readiness, personnel performance, organizational and management changes, and communications equipment readiness. This activity will permit you, the observer, to realize the scope of involvement of your particular discipline during a declared emergency at a nuclear power facility.

COMPETENCY AREAS: REGULATORY FRAMEWORK
INSPECTION

LEVEL OF EFFORT: 24 hours

REFERENCES:

1. IP 71114.01, "Exercise Evaluation"
2. IP 71114.06, "Drill Evaluation"
3. Section IV.F of Appendix E, "Emergency Planning and Preparedness for Production and Utilization Facilities," to 10 CFR Part 50
4. 10 CFR 50.47(b)

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

1. Discuss the Federal guidance for drill/exercise observations as described in IP 71114.01 and IP 71114.06.
2. Identify activities that will occur with regard to your discipline during the performance of an emergency drill/exercise.
3. Discuss the NRC and licensee processes for documenting and handling weaknesses and deficiencies identified during a drill/exercise.

4. Discuss the NRC's method of evaluating licensee performance during an emergency drill/exercise to determine whether it has met the planning standards of 10 CFR 50.47(b).
5. Discuss the NRC's method for evaluating licensee performance during a drill/exercise to determine whether it has demonstrated the capability of providing reasonable assurance that adequate protective measures can be taken in the event of a declared emergency.

NOTE: Whenever possible, observe a drill or exercise at a site and focus on activities related to your technical discipline.

TASKS:

1. Review IP 71114.01 and IP 71114.06 to identify the inspection attributes provided for drill/exercise performance evaluations. Discuss any questions with a senior emergency preparedness inspector.
2. Review the regulatory requirements with regard to emergency preparedness contained in 10 CFR 50.47(b) and Section IV.F of Appendix E to 10 CFR Part 50.
3. Obtain an emergency drill/exercise schedule for the applicable region. Coordinate your observation of an upcoming emergency drill/exercise with your supervisor, applicable regional senior emergency preparedness inspector, and site senior resident inspector. If possible, observe the drill at the site.
4. Become familiar with the applicable licensee emergency plan and implementing procedures. In particular, review those instructions for your discipline's activities and involvement during a declared emergency and develop an understanding of their successful implementation.
5. Obtain and review a copy of the applicable licensee's emergency drill/exercise scenario. Identify activities that will occur with regard to your discipline during the performance of the emergency drill/exercise and note the licensee expectations for success versus failure.
6. Perform an independent observation of an emergency drill/exercise. Observe activities at several of the licensee emergency response facility locations, if possible (e.g., control room, operations support center, technical support center, emergency operations facility, joint information

center, field activities). Take care not to interfere with licensee performance or evaluation of the drill/exercise. Do not prompt licensee participants or evaluators or provide your observations or conclusions regarding weaknesses or deficiencies during drill/exercise performance. Findings must be held confidential until after the formal licensee critique.

7. During performance of the drill/exercise, note any possible weaknesses and/or deficiencies you observe. To aid in future discussions, obtain documentation of licensee activities during questionable performance.
8. Based on your observations, form an opinion as to whether the licensee has still met the planning standards of 10 CFR 50.47(b) in spite of any deficiency or weakness.
9. Based on your observations, form an opinion as to whether the licensee has demonstrated the capability of providing reasonable assurance that adequate protective measures can be taken in the event of a declared emergency.
10. Discuss your emergency drill/exercise observations and opinions with the lead NRC inspector and provide your recommendation on whether licensee demonstrated the capability of providing reasonable assurance that adequate protective measures can be taken in the event of a declared emergency and if it has met the planning standards of 10 CFR 50.47(b).
11. Meet with your supervisor and/or a qualified senior emergency preparedness inspector to discuss any questions that you may have as a result of this activity and demonstrate that you can meet the evaluation criteria listed above.

DOCUMENTATION: General Proficiency Qualification Signature Card
Item OJT-General-1

General Proficiency-Level Signature Card and Certification

<i>Inspector Name:</i> _____	<i>Employee Initials/Date</i>	<i>Supervisor's Signature/Date</i>
A. Training Courses		
G-105, Conducting Inspections		
G-205, Root Cause/Incident Investigation Workshop		
G-103, Field Techniques and Regulatory Processes		
Effective Communication for NRC Inspectors		
Gathering Information for Inspectors through Interviews		
Media Training Workshop		
B. Individual Study Activities		
ISA-General-1 Quality Assurance Program (for power reactor inspectors only)		
ISA-General-2 Corrective Action Program (for power reactor inspectors only)		
ISA-General-3 Technical and Regulatory Issues (for power reactor inspectors only)		
ISA-General-4 Safety Culture		
C. On-the-Job Activity		
OJT-GENERAL-1 Emergency Drill/Exercise Observation (for power reactor inspectors only)		

Supervisor's signature indicates successful completion of all required courses and activities listed in this journal.

Supervisor's Signature: _____ Date: _____

Form 1, "General Proficiency-Level Equivalency Justification," must accompany this signature card, if applicable.

Copies to: Inspector
 Human Resources Office
 Supervisor

Form 1: General Proficiency-Level Equivalency Justification

<i>Inspector Name:</i> _____	<i>Identify equivalent training and experience for which the inspector is to be given credit</i>
A. Training Courses	
G-105, Conducting Inspections	
G-205, Root Cause/Incident Investigation Workshop	
G-103, Field Techniques and Regulatory Processes	
Media Training Workshop	
Effective Communication for NRC Inspectors	
Gathering Information for Inspectors through Interviews	
B. Individual Study Activities	
ISA-General-1 Quality Assurance Program (for power reactor inspectors only)	
ISA-General-2 Corrective Action Program (for power reactor inspectors only)	
ISA-General-3 Technical and Regulatory Issues (for power reactor inspectors only)	
ISA-General-4 Safety Culture	
C. On-the-Job Activity	
OJT-GENERAL-1 Emergency Drill/Exercise Observation (for power reactor inspectors only)	

Supervisor's Recommendation Signature/Date _____

Division Director's Approval Signature/Date _____

Copies to: Inspector
 Human Resources Office
 Supervisor

This form must accompany the signature card and certification, if applicable.

Revision History Sheet

Commitment Tracking Number	Issue Date	Description of Change	Training Needed	Training Completion Date	Comment Resolution Accession Number
N/A	10/31/06 CN 06-032	To add training on safety culture, to update references, and to incorporate minor editorial changes. Completed 4 year historical CN search Added training on safety culture. The reference SECY requires that "In the longer term, the staff will work with the Technical Training Center (TTC) to incorporate aspects of the safety culture initiative into initial training for new inspectors and continuing training for existing inspectors." Reference: SECY-06-0122 (page 2) and OIG-05-A-06, Recommendation 2 (page 2)	None	N/A	ML062890456
C-2					
C-1	06/29/04	Added training (ISA-General-3) to reinforce expectations to managers and staff to maintain a questioning attitude. Reference: Davis Besse Lessons Learned Task Force (Recommendation 3.3.1) and associated Effectiveness Review (ML042110287) Recommendation-17	None	N/A	N/A