IMC 0612 Exhibit 4 – Inspection Report Cover Letter Templates

ROP Inspection Report Cover Letter.

Security Inspection Report Cover Letter.

These two master templates can be accessed in the Word file version of IMC 0612 Exhibit 4 by double clicking on the icons above to create more specific templates or cover letters.

These templates illustrate acceptable approaches to implementing the guidance contained in source documents on creating inspection report cover letters for the specific scenarios they illustrate. Users who identify inconsistencies between these examples and the guidance in the applicable source documents such IMC 0612 and Enforcement Manual Appendix B, or identify possible improvements, are encouraged to contact the IMC 0612 Lead or submit an ROP feedback form. These templates should not be interpreted as the only way to comply with- nor do they supersede the source document guidance each illustrates. As such, templates do not provide new guidance or direction.

Enforcement Manual Appendix B, "Standard Formats for Enforcement Packages" provides additional enforcement related sample cover letters. In particular, there may be instances where sample guidance may need to be taken from these templates and Enforcement Manual Appendix B to generate an appropriate cover letter. The text in the Enforcement Manual should be considered the principle source of guidance if conflicting enforcement-related guidance is encountered. Consider submitting an ROP feedback form when conflicts are encountered. The template margin markings provide reference to the enforcement related documents from which the text was lifted.

Management Directive 3.57, "Correspondence Management" provides additional information on the proper development of correspondences.

ADAMS Desk Reference Guide Chapter 9 should be referenced by administrative staff placing documents into ADAMS. Scanned copies of reports should generally not be placed in ADAMS since they are not searchable.

Management Directive 12.6, "NRC Sensitive Unclassified Information Security Program" provides additional information on document marking and control. Cover letters shall be marked for the highest level of controlled information in the inspection report. Decontrolled security inspection report cover letters which are made publicly available should have their document control markings lined out (i.e., "~~**OFFICIAL USE ONLY – SECURITY-RELATED INFORMATION**~~")

In templates: *Italic Text provides amplifying guidance. This text should either be modified or deleted in the final cover letter.*
[] – Indicates need to provide information specific to your circumstance
{} – Indicates title or directions related a section of text

Attachment 1 – Revision History for IMC 0612 Exhibit 4

Commitment Tracking Number	Issue Date & Accession Number	Description of Change	Training Needed	Training Completion Date	Comment Resolution Accession Number
N/A	06/20/2003 ML031610680 CN 03-021	Initial issuance of Exhibit 4, "Sample Cover Letters."	No	N/A	N/A
N/A	09/30/2005 ML052700296 CN 05-028	Exhibit 4 was revised to provide additional guidance on how to document different types of inspections (AIT, special or supplemental); information stating the non-availability of security inspections to the public was added.	No	N/A	N/A
N/A	06/29/2006 ML061780436 CN 06-016	Exhibit 4 was revised to add an example of security inspection report cover letter. This addition incorporates new guidance from the Commission on the type and nature of information which can be conveyed to the public in a cover letter associated with security inspections. Revision history reviewed for the last 4 years.	No	N/A	ML061790193
N/A	09/20/07 ML070720198 CN 07-029	Exhibit 4 is revised to add more guidance regarding inclusion of cross-cutting issues in security inspection report cover letters.	No	N/A	ML071560246
N/A	02/02/09 ML083500066 CN 09-004	Incorporate changes for Security Related cover letter per feedback form 0612-1229 and update for recent change to IMC 0612 guidance.	No	N/A	N/A

Commitment Tracking Number	Issue Date & Accession Number	Description of Change	Training Needed	Training Completion Date	Comment Resolution Accession Number
N/A	05/15/09 ML090630780 CN 09-013	A 30-day written response period for cross-cutting aspect disagreements was added (see IMC 305, Section 13.01a). A new section for the force on force was added to the security cover letter.	No	N/A	N/A
N/A	10/28/11 ML102520221 CN 11-024	Complete rewrite no red line. Enhanced for improved usability. Added preliminary white, yellow, red, and greater than green example cover letter (FF 0612Exh4-1350), Added reference to Enforcement Manual Appendix B for traditional enforcement examples (FF 0612Exh4-1452). Revised wording for disputing cross cutting aspects. Added references to MD 3.57 and the ADAMS Desk Reference Guide. Revised Reactive, Supplemental (Added wording to cover letter related to holding open or closing a performance issue in the Action Matrix.), and Problem Identification and Resolution portions of the cover letters. Revised Security cover letters to remove reference to type of supplemental and reactive inspections performed (FF 0612Exh4-1452) and to address template problems (FF 0612Exh4-1551).	No	N/A	ML111880173

UNITED STATES
NUCLEAR REGULATORY COMMISSION
REGION [*X*]
[*STREET ADDRESS*]
[*CITY, STATE, ZIP CODE*]

[*Date of Report – Month Day, Year*]

(*Include for any item in the report that has been issued an associated EA#:* EA-[##]-[###])

[*Senior Plant Manager – First M. Last, Title*]
[*Title*]
[*Legal Plant Name*]
[*Address*]
[*City, State*]

SUBJECT: [*LEGAL PLANT NAME*] – NRC [*INSPECTION TYPE*] INSPECTION REPORT 05000[*UNIT 1 DOCKET NUMBER*]/[*REPORT NUMBER*] and 05000[*UNIT 2 DOCKET NUMBER*]/[*REPORT NUMBER*] (*if a preliminary determination of a greater than green finding is included, add:* "PRELIMINARY [WHITE, YELLOW, RED, *or* GREATER THAN GREEN] FINDING") (*If an enforcement action accompanies the inspection report refer to enforcement guidance and add appropriate words:* "and NOTICE OF VIOLATION", "and EXERCISE OF ENFORCEMENT DISCRETION", *etc.*)

Dear [*Senior Plant Manager – Mr(s). Last*]:

---Start of Opening Paragraphs Section---
{Select one of the following four opening paragraphs as appropriate}

{Integrated or Baseline Inspection}
On [*date of final exit meeting*], the U.S. Nuclear Regulatory Commission (NRC) completed an inspection at your [*Plant Name*] Unit(s) [*unit numbers inspected*]. The enclosed inspection report documents the inspection results which were discussed on [*date of exit meeting*], with [*name of principal manager who attended final exit*] and other members of your staff.

The inspection(s) examined activities conducted under your license as they relate to safety and compliance with the Commission's rules and regulations and with the conditions of your license. The inspectors reviewed selected procedures and records, observed activities, and interviewed personnel.

{Reactive Inspection}
On [*date of final exit meeting*], the U.S. Nuclear Regulatory Commission (NRC) completed a reactive inspection pursuant to Inspection Procedure [93812, "Special Inspection" *or* 93800, "Augmented Inspection Team"] at your [*Plant Name*] Unit(s) [*unit numbers inspected*]. The enclosed inspection report documents the inspection results, which were discussed on [*date of exit meeting*], with [*name of principal manager who attended final exit*] and other members of your staff.

The [special *or* augmented] inspection was commenced on [*date inspection started*] in accordance with NRC Management Directive 8.3, "NRC Incident Investigation Program," and Inspection Manual Chapter 0309, "Reactive Inspection Decision Basis for Reactors," based on the initial risk and deterministic criteria evaluation made by the NRC on [*date decision was made*].

The [special *or* augmented] inspection reviewed the circumstances surrounding [*briefly describe the issue*] which occurred on [*date*] and examined activities conducted under your license as they relate to safety and compliance with the Commission's rules and regulations and with the conditions of your license.

{Supplemental Inspection – See IMC 0612, Appendix C for additional guidance}
On [*date of final exit meeting*], the U.S. Nuclear Regulatory Commission (NRC) completed a supplemental inspection pursuant to Inspection Procedure [95001, "Supplemental Inspection for One or Two White Inputs in a Strategic Performance Area," *or* 95002, "Supplemental Inspection for One Degraded Cornerstone or any Three White Inputs in a Strategic Performance Area,"] at your [*Plant Name*], Unit(s) [*unit numbers inspected*]. The enclosed inspection report documents the inspection results, which were discussed on [*date of exit meeting*], with [*name of principal manager who attended final exit*] and other members of your staff.

In accordance with the NRC Reactor Oversight Process Action Matrix, this supplemental inspection was performed to follow-up on a [[white *or* yellow] finding with [low to moderate *or* substantial] safety significance which occurred *or* [white *or* yellow] [*type of performance indicator*] performance indicator which crossed a threshold from [green to white *or* white to yellow]] in the [first, second, third, *or* fourth] quarter of [*year*]. This issue was previously documented and assessed in NRC Inspection Report 05000[*Docket Number*]/[*Report Number*] [*as applicable:* and NRC Inspection Report 05000[*Docket Number*]/[*Report Number*].] The NRC was informed on [*date*] of your staff's readiness for this inspection.

The objectives of this supplemental inspection were to provide assurance that: (1) the root causes and the contributing causes for the risk-significant issues were understood; (2) the extent of condition and extent of cause of the issues were identified; and (3) corrective actions were or will be sufficient to address and preclude repetition of the root and contributing causes. [*For a 95002 inspection, add the following additional sentence:* This inspection also included an independent NRC review of the extent of condition and extent of cause for the [white *or* yellow] [finding *or* performance indicator] and an assessment of whether any safety culture component caused or significantly contributed to the performance issue.]

(Briefly describe the overall inspection conclusions related to the licensee's root cause analysis, extent of condition and cause reviews, and corrective action: – This part of the template is not intended to constrain or dictate particular solution or style. The terms used below are not defined in IP 95001, IP 95002, or IMC 0305 and can be modified as deemed necessary.)

(*If inspection objectives are met include:* The NRC has determined that inspection objectives stated above have been met. Therefore in accordance with IMC 0305, "Operating Reactor Assessment Program," the performance issue shall not be considered in the Action Matrix after the end of the [*Enter the finding's 4th quarter in terms of quarter # and calendar year (e.g., second quarter of 20YY*): [first, second, third, *or* fourth] quarter of [*year*] (*Include additionally if previously held open:* in which the supplemental inspection [exit *or* re-exit] meeting was conducted]. (*If the assessment follow-up letter is being combined with the supplemental inspection report cover letter, insert applicable language from the IMC 0305 exhibit found on ROP Digital City under "Forms, Templates, Sample Reports & More" for an assessment follow-up letter.))*

(*If inspection objectives are not met, then include:* The NRC has determined that inspection objectives stated above have not been met. Therefore in accordance with IMC 0305, "Operating Reactor Assessment Program," the performance issue shall continue to receive

consideration in the Action Matrix until all inspection objectives have been met and verified by inspection.)

The NRC determined that the staff at [*Plant Name*] performed a [acceptable, *or* less than acceptable] evaluation of the [white *or* yellow] [performance indicator *or* finding]. (*Provide additional evidence when "less than acceptable"*) The evaluation [identified *or* failed to identify] the primary root cause of the issue [to be *or* which was] … (*describe root cause).* (*Provide additional evidence when "failed to identify"*) *(Briefly describe scope of the problem and corrective action(s) being taken to address the root cause and prevent repetition).*

(*If inspection objectives are not met briefly describe the licensee actions necessary to meet all supplemental inspections objectives (i.e., actions required to close the held open performance issue in the Action Matrix))*

{Problem Identification and Resolution (PI&R) Biennial Baseline Inspection – See IMC 0612, Appendix D for additional guidance}
On [*date of final exit meeting*], the U.S. Nuclear Regulatory Commission (NRC) completed a Problem Identification and Resolution biennial inspection at your [*Plant Name*] Unit(s) [*unit numbers inspected*]. The enclosed inspection report documents the inspection results which were discussed on [*date of exit meeting*], with [*name of principal manager who attended final exit*] and other members of your staff.

This inspection was an examination of activities conducted under your license as they relate to problem identification and resolution and compliance with the Commission's rules and regulations and the conditions of your license. Within these areas, the inspection involved examination of selected procedures and representative records, observations of activities, and interviews with personnel.

(*Describe the overall assessment of the licensee's corrective action program – This part of the template is not intended to constrain or dictate particular solution or style, however a basic template below is provided. The terms used below are not defined in IP 71152 and can be modified as deemed necessary.*)
Based on the inspection sample, the inspection team concluded that the implementation of the corrective action program and overall performance related to identifying, evaluating, and resolving problems at [*Plant Name*] was [highly effective*,* effective, adequate*, or* less than adequate]. Licensee identified problems were entered into the corrective action program at a [low *or* less than appropriate] threshold. (*Provide additional evidence when "less than appropriate"*) Problems were [effectively, generally, *or* not generally] prioritized and evaluated commensurate with the safety significance of the problems and corrective actions were [effectively, generally, *or* not generally] implemented in a timely manner. (*Provide additional evidence when "not generally" or as appropriate*) Corrective actions were [effectively, generally, *or* not generally] implemented in a timely manner commensurate with their importance to safety and addressed the identified causes of problems. (*Provide additional evidence when "not generally" or as appropriate – such as briefly describe problems with causal or operability evaluations*) Lessons learned from industry operating experience were [effectively, generally, *or* not generally] reviewed and applied when appropriate. (*Provide additional evidence when "not generally" or as appropriate*) Audits and self-assessments were [effectively, generally, *or* not generally] used to identified problems and appropriate actions. (*Provide additional evidence when "not generally" or as appropriate such as for licensee safety culture assessments. Also discuss any noted Safety Conscious Working Environment issues identified as appropriate.*)

---End of Opening Paragraphs---

---Start of Findings/Violations Paragraphs---
{From the following paragraphs select applicable portions based on the documented findings/violations in the report. Refer to Appendix B of the Enforcement Manual when traditional enforcement violations are documented.}

{Preliminary White, Yellow, Red, or Greater than Green Findings.}
The enclosed inspection report discusses a finding that has preliminarily been determined to be a [(*Indicate the color of the finding:* White finding with low to moderate safety significance that may require additional NRC inspections, Yellow finding with substantial safety significance that will result in additional NRC inspections and potentially other NRC action, Red finding of high safety significance that will result in increased NRC inspection and other NRC action, *or* Greater than Green finding of greater than very low safety significance [resulting *or* that may result] in the need for further evaluation to determine significance and therefore the need for additional NRC action.] As described in Section [*XXX.X*] of the enclosed report, [*Include a more detailed description of the finding*]. [*Clearly state whether the finding did or did not present an immediate safety concern. If it did, state either that safety concern was resolved or whether the licensee established compensatory measures which are in place while licensee long term corrective measures are being implemented. It should be clear in the report text that, with the compensatory corrective actions in place, the immediate safety hazard no longer exists.*] This finding was assessed based on the best available information, using the applicable Significance Determination Process (SDP). The basis for the NRC's preliminary significance determination is described in the enclosed report. The final resolution of this finding will be conveyed in separate correspondence.

[*Include this paragraph only if the finding is a violation:* The finding is also an apparent violation of NRC requirements and is being considered for escalated enforcement action in accordance with the Enforcement Policy, which can be found on the NRC's Web site at http://www.nrc.gov/about-nrc/regulatory/enforcement/enforce-pol.html.]

In accordance with NRC Inspection Manual Chapter (IMC) 0609, we intend to complete our evaluation, using the best available information, and issue our final determination of safety significance within 90 days of the date of this letter. The significance determination process encourages an open dialogue between the NRC staff and the licensee; however, the dialogue should not impact the timeliness of the staff's final determination. Before we make a final decision on this matter, we are providing you with an opportunity to: (1) attend a Regulatory Conference where you can present to the NRC your perspective on the facts and assumptions the NRC used to arrive at the finding and assess its significance, or (2) submit your position on the finding to the NRC in writing. If you request a Regulatory Conference, it should be held within 30 days of the receipt of this letter and we encourage you to submit supporting documentation at least one week prior to the conference in an effort to make the conference more efficient and effective. If a Regulatory Conference is held, it will be open for public observation and to announce the conference a public meeting notice and press release will be issued. If you decide to submit only a written response, such submittal should be sent to the NRC within 30 days of your receipt of this letter. If you decline to request a Regulatory Conference or submit a written response, you relinquish your right to appeal the final SDP determination; in that, by not doing either you fail to meet the appeal requirements stated in the Prerequisite and Limitation Sections of Attachment 2 of IMC 0609.

Please contact [*branch chief*] at [(###) ###-####], and in writing, within 10 days from the issue date of this letter to notify the NRC of your intentions. If we have not heard from you within

10 days, we will continue with our significance determination and enforcement decision. The final resolution of this matter will be conveyed in a separate correspondence.

OE – Form 3-II

[*Include the following when a finding is a violation:* Since the NRC has not made a final determination in this matter, no Notice of Violation is being issued for (this/these) inspection finding(s) at this time. In addition, please be advised that the number and characterization of the apparent violation(s) may change as a result of further NRC review.]

{Green NRC-identified or Self-revealing Findings which are Violations of regulatory requirements and Severity Level IV Non Cited Traditional Enforcement Violations with associated findings}

[[[*number*] NRC identified] and [[*number*] self-revealing]] finding(s) of very low safety significance (Green) (was/were) identified during this inspection.

OE – Form 2

([*Number*] of these/This) finding(s) (was/were) determined to involve (a) violation(s) of NRC requirements. [*Include for traditional enforcement SL-IV NCVs*: Additionally, the NRC has determined that ([*number*]/a) traditional enforcement Severity Level IV violation(s) occurred. ([*Number*] of these/This) traditional enforcement violation(s) (was/were) identified with (an) associated finding(s).] [*Only Include the following additional sentence when there are green licensee-identified violations:* Further, (a) licensee-identified violation(s) which (was/were) determined to be of very low safety significance (is/are) listed in this report.] The NRC is treating (this/these) violation(s) as non-cited violation(s) (NCV(s)) consistent with Section 2.3.2 of the Enforcement Policy.

If you contest (this/these) non-cited violation(s), you should provide a response within 30 days of the date of this inspection report, with the basis for your denial, to the Nuclear Regulatory Commission, ATTN: Document Control Desk, Washington DC 20555-0001; with copies to the Regional Administrator, Region [I, II, II, *or* IV]; the Director, Office of Enforcement, United States Nuclear Regulatory Commission, Washington, DC 20555-0001; and the NRC Resident Inspector at [Plant Name].

[*Include the following when cross-cutting aspects are assigned to findings:* If you disagree with a cross-cutting aspect assignment in this report, you should provide a response within 30 days of the date of this inspection report, with the basis for your disagreement, to the Regional Administrator, Region [I, II, II, *or* IV]; and the NRC Resident Inspector at [*Plant Name*].]

{<u>Only</u> Green NRC-identified or Self-revealing Findings which are <u>Not</u> Violations of regulatory requirements}

[[[*number*] NRC identified] and [[*number*] self-revealing]] finding(s) of very low safety significance (Green) (was/were) identified during this inspection. The(se) finding(s) did not involve a violation of NRC requirements.

OE – Form 2

[*Only Include the following additional sentences when there are green licensee-identified violations:* Additionally, (a) licensee-identified violation(s) which (was/were) determined to be of very low safety significance (is/are) listed in this report. The NRC is treating (this/these) violation(s) as non-cited violation(s) (NCV(s)) consistent with Section 2.3.2 of the Enforcement Policy.

If you contest (this/these) non-cited violation(s), you should provide a response within 30 days of the date of this inspection report, with the basis for your denial, to the Nuclear Regulatory Commission, ATTN: Document Control Desk, Washington DC 20555-0001; with copies to the Regional Administrator, Region [I, II, II, *or* IV]; the Director, Office of Enforcement, United States

Nuclear Regulatory Commission, Washington, DC 20555-0001; and the NRC Resident Inspector at [Plant Name].]

[*Include the following when cross-cutting aspects are assigned to findings:* If you disagree with a cross-cutting aspect assignment in this report, you should provide a response within 30 days of the date of this inspection report, with the basis for your disagreement, to the Regional Administrator, Region [I, II, II, *or* IV]; and the NRC Resident Inspector at [*Plant Name*].]

{Only Licensee Identified Green Violations}
No NRC-identified or self-revealing findings were identified during this inspection.

However, (a) licensee-identified violation(s) which (was/were) determined to be of very low safety significance (is/are) listed in this report. The NRC is treating (this/these) violation(s) as non-cited violation(s) (NCV(s)) consistent with Section 2.3.2 of the Enforcement Policy.

If you contest (this/these) non-cited violation(s), you should provide a response within 30 days of the date of this inspection report, with the basis for your denial, to the Nuclear Regulatory Commission, ATTN: Document Control Desk, Washington DC 20555-0001; with copies to the Regional Administrator, Region [I, II, II, *or* IV]; the Director, Office of Enforcement, United States Nuclear Regulatory Commission, Washington, DC 20555-0001; and the NRC Resident Inspector at the [*Plant Name*].

{No NRC-identified, Self-revealing Findings, or Licensee Identified Green Violations}
No findings were identified during this inspection.

---End of Findings/Violations Paragraphs---

In accordance with 10 CFR 2.390 of the NRC's "Rules of Practice," a copy of this letter, its enclosure, and your response (if any) will be available electronically for public inspection in the NRC Public Document Room or from the Publicly Available Records (PARS) component of NRC's Agencywide Document Access and Management System (ADAMS). ADAMS is accessible from the NRC Web site at http://www.nrc.gov/reading-rm/adams.html (the Public Electronic Reading Room).

Sincerely,

[*Name: First, Initial, Last*], [*As applicable:* Branch Chief *or* Director]
[*As applicable: Name of Branch*]
[Division of [Reactor Projects *or* Reactor Safety] *or* Regional Administrator]

Docket Nos.: 05000[*UNIT 1 DOCKET NUMBER*], 05000[*UNIT 2 DOCKET NUMBER*]
License Nos: [*Unit 1 License Number*], [*Unit 2 License Number*]

Enclosure: Inspection Report 05000[*UNIT 1 DOCKET NUMBER*]/[*REPORT NUMBER*] and 05000[*UNIT 1 DOCKET NUMBER*]/[*REPORT NUMBER*]
w/ Attachment: Supplemental Information

cc w/ encl: (*Note: Use normal distribution list.*)

DISTRIBUTION: (*Note: Use normal distribution list.*)

DOCUMENT NAME: [*Path*]
ADAMS ACCESSION NUMBER: [*Accession Number*]

☐ SUNSI Review	☐ Non-Sensitive ☐ Sensitive	☐ Publicly Available ☐ Non-Publicly Available
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[*Name - FLast*]	[*Name - FLast*]	[*Name - FLast*]
[*Date*]	[*Date*]	[*Date*]

OFFICIAL RECORD COPY

UNITED STATES
NUCLEAR REGULATORY COMMISSION
[*REGION X*]
[*STREET ADDRESS*]
[*CITY, STATE, ZIP CODE*]

[*Date of Report – Month Day, Year*]

(*Include only if associated with any item in the report:* EA-[##]-[###])

[*Senior Plant Manager – First M. Last, Title*]
[*Title*]
[*Legal Plant Name*]
[*Address*]
[*City, State*]

SUBJECT: [*LEGAL PLANT NAME*] – NRC [*INSPECTION TYPE (note: for supplemental or reactive inspections only specify "*SUPPLEMENTAL*" or "*REACTIVE*" as appropriate*] INSPECTION REPORT 05000[*UNIT 1 DOCKET NUMBER*]/[*REPORT NUMBER*] and 05000[*UNIT 2 DOCKET NUMBER*]/[*REPORT NUMBER*] (*if a preliminary determination of a greater than green finding is included, add:* "PRELIMINARY GREATER THAN GREEN FINDING") (*If an enforcement action accompanies the inspection report refer to enforcement guidance and add appropriate words:* "and NOTICE OF VIOLATION", "and EXERCISE OF ENFORCEMENT DISCRETION", *etc.*)

Dear [*Senior Plant Manager – Mr(s). Last*]:

---Start of Opening Paragraphs Section---
{Select one of the three following opening paragraphs as appropriate}

{Baseline Inspection}
On [*date of final exit meeting*], the U.S. Nuclear Regulatory Commission (NRC) completed an inspection at your [*Plant Name*] Unit(s) [*unit numbers inspected*]. The inspection covered one or more of the key attributes of the security cornerstone of the NRC's Reactor Oversight Process. The enclosed inspection report documents the inspection results which were discussed on [*date of exit meeting*], with [*name of principal manager who attended final exit*] and other members of your staff.

The inspection(s) examined activities conducted under your license as they relate to safety and compliance with the Commission's rules and regulations and with the conditions of your license. The inspector(s) reviewed selected procedures and records, observed activities, and interviewed personnel.

{Reactive Inspection}
On [*date of final exit meeting*], the U.S. Nuclear Regulatory Commission (NRC) completed a

Enclosure(s) transmitted herewith contain(s) SUNSI. When separated from enclosure(s), this transmittal document is decontrolled.

reactive inspection at your [*Plant Name*] Unit(s) [*unit numbers inspected*]. The enclosed inspection report documents the inspection results, which were discussed on [*date of exit meeting*], with [*name of principal manager who attended final exit*] and other members of your staff.
The inspection was commenced on [*date inspection started*] in accordance with NRC Management Directive 8.3, "NRC Incident Investigation Program," and Inspection Manual Chapter 0309, "Reactive Inspection Decision Basis for Reactors," based on the initial deterministic criteria evaluation made by the NRC on [*date decision was made*].

The inspection reviewed the circumstances surrounding an issue which occurred on [*date*] and examined activities conducted under your license as they relate to security and compliance with the Commission's rules and regulations and with the conditions of your license.

{Supplemental Inspection}
On [*date of final exit meeting*], the U.S. Nuclear Regulatory Commission (NRC) completed a supplemental inspection at your [*Plant Name*], Unit(s) [*unit numbers inspected*]. The enclosed inspection report documents the inspection results, which were discussed on [*date of exit meeting*], with [*name of principal manager who attended final exit*] and other members of your staff.

In accordance with the NRC Reactor Oversight Process Action Matrix, this supplemental inspection was performed to follow-up on a performance issue which occurred in the [first, second, third, *or* fourth] quarter of [*year*]. This issue was previously documented and assessed in NRC Inspection Report 05000[*Docket Number*]/[*Report Number*] [*as applicable:* and NRC Inspection Report 05000[*Docket Number*]/[*Report Number*].] The NRC was informed on [*date*] of your staff's readiness for this inspection.

The objectives of this supplemental inspection were to provide assurance that: (1) the root causes and the contributing causes for the significant issues were understood; (2) the extent of condition and extent of cause of the issues were identified; and (3) corrective actions were or will be sufficient to address and preclude repetition of the root and contributing causes.

---End of Opening Paragraphs---

---Start of Findings/Violations Paragraphs---
{Select the following paragraphs based on the documented findings/violations in the report. Refer to Appendix B of the Enforcement Manual when traditional enforcement violations are documented.}

{Preliminary White, Yellow, Red, or Greater than Green Findings.}
The attached report documents one or more findings that have preliminarily been determined to be Greater than Green (i.e., a finding of greater than very low security significance) that may result in the need for further evaluation to determine significance, and therefore the need for additional NRC action. Each finding was assessed based on the best available information, using the Physical Protection Significance Determination Process. The deficiencies were promptly corrected or compensated for, and the plant was in compliance with applicable physical protection and security requirements within the scope of this inspection before [the team arrived onsite *or* inspector(s) left the area].

[*If an apparent violation(s) is/are associated with the finding(s), include:* One or more findings are also an apparent violations of NRC requirements and are being considered for escalated enforcement action in accordance with the Enforcement Policy, which can be found on the NRC's Web site at http://www.nrc.gov/reading-rm/doc-collections/enforcement.]

In accordance with NRC Inspection Manual Chapter (IMC) 0609, we intend to complete our evaluation using the best available information and issue our final determination of safety significance within 90 days of the date of this letter. The significance determination process encourages an open dialogue between the NRC staff and the licensee, however, the dialogue should not impact the timeliness of the staff's final determination.

Before we make our final significance determination, we are providing you with an opportunity (1) to attend a Regulatory Conference where you can present to the NRC your perspective on the facts and assumptions the NRC used to arrive at the finding and assess its significance, or (2) submit your position on the finding to the NRC in writing. If you request a Regulatory Conference, it should be held within 30 days of the receipt of this letter and we encourage you to submit supporting documentation at least one week prior to the conference in an effort to make the conference more efficient and effective. In the interest of protecting sensitive, security-related information, if a Regulatory Conference is held, it will not be open for public observation. If you decide to submit only a written response, such submittal should be sent to the NRC within 30 days of your receipt of this letter. If you decline to request a Regulatory Conference or submit a written response, you relinquish your right to appeal the final SDP determination, in that by not doing either, you fail to meet the appeal requirements stated in the Prerequisite and Limitation sections of Attachment 2 of IMC 0609.

Please contact [*branch chief*] at [(###) ###-####], and in writing, within 10 days from the issue date of this letter to notify the NRC of your intentions. If we have not heard from you within 10 days, we will continue with our significance determination and enforcement decision. The final resolution of this matter will be conveyed in a separate correspondence.

Because the NRC has not made a final determination in this matter, no Notice of Violation is being issued for (this/these) inspection finding(s) at this time. [*If an apparent violation is associated with the finding, include:* In addition, please be advised that the number and characterization of the apparent violation(s) described in the enclosed inspection report may change as a result of further NRC review.]

{Green NRC-identified or Self-revealing Findings which are Violations of regulatory requirements and Severity Level IV Non Cited Traditional Enforcement Violations with associated findings}

[[[*number*] NRC identified] and [[*number*] self-revealing]] finding(s) of very low security significance (i.e., Green as determined by the Physical Protection Significance Determination Process) (was/were) identified during this inspection. The (deficiency was/deficiencies were) promptly corrected or compensated for, and the plant was in compliance with applicable physical protection and security requirements within the scope of this inspection before [the team arrived onsite *or* inspector(s) left the area].

([*Number*] of these/This) finding(s) (was/were) determined to involve (a) violation(s) of NRC requirements. [*Include for traditional enforcement SL-IV NCVs*: Additionally, the NRC has determined that ([*number*]/a) traditional enforcement Severity Level IV violation(s) occurred.

([*Number*] of these/This) traditional enforcement violation(s) (was/were) identified with (an) associated finding(s).]
[*Only Include the following additional sentence when there are green licensee-identified violations:* Further, (a) licensee-identified violation(s) which (was/were) determined to be of very low security significance (is/are) listed in this report.] The NRC is treating (the/these) violation(s) as (a) non-cited violation(s) (NCV(s)) consistent with Section 2.3.2 of the Enforcement Policy.

OE– FORM 2

If you contest any NCV in the enclosed report, you should provide a response within 30 days of the date of this inspection report, with the basis for your denial, to the Nuclear Regulatory Commission, ATTN: Document Control Desk, Washington DC 20555-0001; with copies to the Regional Administrator, Region [I, II, II, *or* IV]; the Director, Office of Enforcement, United States Nuclear Regulatory Commission, Washington, DC 20555-0001; and the NRC Resident Inspector at [*Plant Name*].

{Only Green NRC-identified or Self-revealing Findings which are Not Violations of regulatory requirements}
[[[*number*] NRC identified] and [[*number*] self-revealing]] finding(s) of very low security significance (i.e., Green as determined by the Physical Protection Significance Determination Process) (was/were) identified during this inspection. The(se) finding(s) did not involve a violation of NRC requirements and the (deficiency was/deficiencies were) promptly corrected or compensated for, and the plant was in compliance with applicable physical protection and security requirements within the scope of this inspection before [the team arrived onsite *or* inspector(s) left the area].

[*Only Include the following additional sentence when there are green licensee-identified violations:* Additionally, (a) licensee-identified violation(s) which (was/were) determined to be of very low security significance (is/are) listed in this report.] The NRC is treating (the/these) violation(s) as (a) non-cited violation(s) (NCV(s)) consistent with Section 2.3.2 of the Enforcement Policy.

OE – FORM 2

If you contest any NCV in the enclosed report, you should provide a response within 30 days of the date of this inspection report, with the basis for your denial, to the Nuclear Regulatory Commission, ATTN: Document Control Desk, Washington DC 20555-0001; with copies to the Regional Administrator, Region [I, II, II, *or* IV]; the Director, Office of Enforcement, United States Nuclear Regulatory Commission, Washington, DC 20555-0001; and the NRC Resident Inspector at [*Plant Name*].]

{Only Licensee Identified Green Violations}
No NRC-identified or self-revealing findings were identified during this inspection.

However, (a) licensee-identified violation(s) which (was/were) determined to be of very low security significance (is/are) listed in this report.] The NRC is treating (the/these) violation(s) as (a) non-cited violation(s) (NCV(s)) consistent with Section 2.3.2 of the Enforcement Policy.

OE – FORM 2

OE– FORM 2

If you contest any NCV in the enclosed report, you should provide a response within 30 days of the date of this inspection report, with the basis for your denial, to the Nuclear Regulatory Commission, ATTN: Document Control Desk, Washington DC 20555-0001; with copies to the Regional Administrator, Region [I, II, II, *or* IV]; the Director, Office of Enforcement, United States

Nuclear Regulatory Commission, Washington, DC 20555-0001; and the NRC Resident Inspector at [*Plant Name*].

{No NRC-identified, Self-revealing Findings, or Licensee Identified Green Violations}
No findings were identified during this inspection.

{Assigned Cross Cutting Aspects – Include the following when Cross Cutting Aspects are assigned to findings}
[*Number*] Cross-cutting aspect(s) (was/were) assigned to (a) finding(s) in the area(s) of [[Problem Identification and Resolution, Human Performance, and/or Safety Conscious Work Environment] because [*Use the words and phrases from the cross-cutting aspect text in IMC 0310 followed by the alpha numeric designator(s) (e.g., [H.2.(b)]) for each cross cutting aspect assigned. The reader should be able to tally the number of cross cutting aspects assigned to all findings.*]]. If you disagree with a cross-cutting aspect assignment in this report, you should provide a response within 30 days of the date of this inspection report, with the basis for your disagreement, to the [*Select as applicable:* [Regional Administrator, Region [I, II, II, *or* IV]; and the NRC Resident Inspector at [*Plant Name*].] *or* [Director, Nuclear Security Incident Response; and to the Branch Chief, Security Performance Evaluation Branch.]]

---End of Findings/Violations Paragraphs---

In accordance with 10 CFR 2.390 of the NRC's "Rules of Practice," a copy of this letter will be available electronically for public inspection in the NRC Public Document Room or from the Publicly Available Records (PARS) component of NRC's Agencywide Document Access and Management System (ADAMS). ADAMS is accessible from the NRC Web site at http://www.nrc.gov/reading-rm/adams.html (the Public Electronic Reading Room).

{Include when enclosures contain Safeguards Information. Note: Cover letter headers and footers must be revised to reflect Safeguard Information}
However, the material enclosed herewith contains Safeguards Information as defined by 10 CFR 73.21 and its disclosure to unauthorized individuals is prohibited by Section 147 of the Atomic Energy Act of 1954, as amended. Therefore, the material in the enclosure will not be made available electronically for public inspection in the NRC Public Document Room or from the NRC's document system (ADAMS), accessible from the NRC Web site at http://www.nrc.gov/reading-rm/adams.html. If Safeguards Information is necessary to provide an acceptable response, please provide the level of protection described in 10 CFR 73.21. Otherwise, if Security-Related Information is necessary to provide an acceptable response, please mark your entire response Security-Related Information in accordance with 10 CFR 2.390(d)(1) and follow the instructions for withholding in 10 CFR 2.390(b)(1). In accordance with 10 CFR 2.390(b)(1)(ii), the NRC is waiving the affidavit requirements for your response.

{Include when enclosures contain Security-Related Information}
However, the material enclosed herewith contains Security-Related Information in accordance with 10 CFR 2.390(d)(1) and its disclosure to unauthorized individuals could present a security vulnerability. Therefore, the material in the enclosure will not be made available electronically for public inspection in the NRC Public Document Room or from the NRC's document system (ADAMS), accessible from the NRC Web site at http://www.nrc.gov/reading-rm/adams.html. If Security-Related Information is necessary to provide an acceptable response, please mark your entire response Security-Related Information in accordance with 10 CFR 2.390(d)(1) and follow

the instructions for withholding in 10 CFR 2.390(b)(1). In accordance with 10 CFR 2.390(b)(1)(ii), the NRC is waiving the affidavit requirements for your response.

Sincerely,

[*Name: First, Initial, Last*], [Branch Chief *or* Director]
[*As applicable: Name of Branch*]
[Division of [*Name of Division*] *or* Office of Nuclear Safety and Incident Response]

Docket Nos.: 05000[*UNIT 1 DOCKET NUMBER*], 05000[*UNIT 2 DOCKET NUMBER*]
License Nos: [*Unit 1 License Number*], [*Unit 2 License Number*]

Nonpublic Enclosure: Inspection Report 05000[*UNIT 1 DOCKET NUMBER*]/[*REPORT NUMBER*] and 05000[*UNIT 1 DOCKET NUMBER*]/[*REPORT NUMBER*]
w/ Attachment: Supplemental Information

cc w/ enclosure: (*Use non-public distribution list including distribution to the State Liaison Officer and other key persons identified in the R. Zimmerman memo to Regional Administrators dated April 19, 2005; Chairman Diaz letter to State Governors dated May 28, 2004; or other NRC/State agreements.*)

cc w/o enclosure: (*Use modified distribution list appropriate for security-related information.*)

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