

# NRC INSPECTION MANUAL

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INSPECTION PROCEDURE 93800

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## AUGMENTED INSPECTION TEAM

Effective Date: 11/15/2017

PROGRAM APPLICABILITY: 2201 App C, 2515 App C

### 93800-01 INSPECTION OBJECTIVE

01.01 The inspection objective is to assess an event and its causes with an Augmented Inspection Team (AIT). An AIT is the event assessment response assigned by the NRC in accordance with Inspection Manual Chapter (IMC) 0309, "Reactive Inspection Decision Basis for Reactors." The inspection is conducted based on this procedure and an inspection charter.

Note: Management Directive 8.3, "NRC Incident Investigation Program," defines the authorities, responsibilities, and basic requirements for personnel investigating significant operational events. Management Directive 8.3 also characterizes the differences between an AIT, Incident Investigation Team (IIT), and a Special Inspection.

### 93800-02 INSPECTION REQUIREMENTS

#### 02.01 AIT Leader

- a. Acts as the supervisor of the AIT.
- b. Provides input to development of AIT charter. The charter should include an item to review lessons learned from the AIT. **The charter must be established and implemented in a manner that is appropriately specific to the triggering event while satisfying the stated Objectives and Requirements of this procedure, as implemented by the requirements and guidance herein.** When appropriate, prepare a feedback form on recommendations for revising reactor oversight process (ROP) baseline inspection procedures in order to proactively identify the issues and causes involved with the event.
- c. Conducts an entrance meeting with the licensee to discuss the purpose and scope of the AIT response, and to:
  1. Obtain the licensee's understanding of the event (including operator actions and the performance of safety systems).
  2. Request licensee assistance in scheduling interviews, obtaining information related to the event, and, if needed, assisting in inspection activities related to the event.

3. Discuss the quarantined equipment list, as appropriate, and the procedure for changing it.
- d. Before the end of the first day on site:
    1. Provides a recommendation to the Regional Administrator as to whether the AIT inspection should continue, be upgraded to an IIT response or be downgraded to a Special Inspection. If appropriate, this recommendation may be made later in the inspection.
    2. Prepares and transmits a Preliminary Notification (PN) report to the Regional Administrator for distribution.
  - e. Prepares supplemental PN reports and/or regional morning report inputs when there is significant new information to report to keep management informed of significant facts, findings, and progress of the inspection.
  - f. Conducts an exit meeting with the licensee to:
    1. Summarize the AIT inspection effort.
    2. As appropriate, discuss preliminary findings, observations, or issues resulting from the AIT.
  - g. Manages the AIT effort in fact-finding and analysis to meet the objectives of the AIT charter. Important information will include the details of what occurred during the event and the causes and contributing factors to the event.
  - h. Establishes guidelines for team members to document their inspection activities for the final report.
  - i. Prepares a report for signature by the Regional Administrator documenting the findings of the AIT. May direct the AIT members to remain together, either at the inspection site or at the Regional Office, to facilitate the preparation of the AIT report.
  - j. Meets with regional management to discuss the AIT recommendation(s) for staff followup based on the findings of the AIT report, and assists in coordinating the transfer of responsibility for followup actions. See Section 93800-04 for resource allocation for followup inspections.

#### 02.02 AIT Members

- a. Report directly to the AIT leader. Team members are assigned to the AIT until released by the team leader.
- b. Conduct a timely, thorough and systematic inspection of significant operational events at facilities licensed by the NRC, under the supervision of the AIT leader. In so doing, team members shall:
  1. Assess the significance of the event under the guidance of the AIT leader.
  2. Collect, analyze and document factual information and evidence as directed by the AIT leader.

3. Evaluate the adequacy of licensee response to an event under the guidance of the AIT leader.
- c. Remain together after the inspection, at the discretion of the AIT leader, for the purpose of preparing the AIT report.

## 93800-03 INSPECTION GUIDANCE

03.01 Scope of AIT Response. The following guidance should not be construed as limiting AIT authority to pursue all pertinent aspects of an event. However, safety (or regulatory) concerns raised that may or may not be directly related to the event under consideration should be reported to Headquarters and/or Regional Office management for appropriate action.

- a. Identify generic safety concerns in a timely manner to the regional management who will initiate follow-up actions. Recommendations for immediate follow-up actions, such as issuance of Information Notices, Generic Letters, or Bulletins, shall also be made through the normal organizational structure and procedures.
- b. Emphasize fact finding, i.e., fully understanding the circumstances surrounding an event and probable cause(s), including conditions preceding the event, event chronology, systems response, equipment performance, event precursors, human factors considerations, quality assurance considerations, radiological considerations, safeguards considerations, *and safety culture component considerations (as defined in IMC 0305, paragraphs 06.07c. and d.)*. [C1] Determine whether the licensee had failed to adequately implement generic communications, such as Information Notices, Generic Letters, and Bulletins.
- c. Base the fact-finding effort on the most timely, reliable evidential material, including interviews and other documented material related to the event previously obtained by internal audit or investigative groups.
- d. It is not the responsibility of an AIT to:
  1. Examine the regulatory process (to determine whether that process contributed directly to the cause or course of the event).
  2. Determine whether NRC rules or requirements were violated, or recommend enforcement actions. Inspectors may evaluate and document inspection findings in accordance with IMC 0612, "Power Reactor Inspection Reports," provided that this does not interfere with fulfillment of the team's charter.
  3. Evaluate risk significance of findings, using Significance Determination Process.
  4. Address licensee actions related to plant restart.
  5. Address the applicability of generic safety concerns to other facilities.

03.02 Documentation. AITs should be documented in accordance with IMC 0612, except as follows. The forwarding letter should briefly describe the event or degraded condition. The body of the report should have the following outline:

- a. Description and chronology of event or degraded condition.

- b. For each charter-specified area of inspection, in the order listed in the charter, address probable contributing causes of the event or degraded condition, where applicable:
  1. Equipment failures
  2. Human factor and procedural issues
  3. Quality assurance issues
  4. Radiological issues
  5. Security or safeguards issues
  6. Safety culture component issues [C1]

Item a. should be documented in a narrative form and not in the IMC 0612 format regarding inspection scope and findings. Items b.1 through 6 potentially include findings, and should be in the IMC 0612 format regarding inspection scope and findings. Due to the sensitive nature of AITs, areas where no findings are identified should be documented in greater detail than required by IMC 0612.

*The results of this inspection should be used to later identify any ROP findings and document their significance using SDP. The results of this inspection may be used to inform a subsequent supplemental inspection (95001, 95002, or 95003) based on the final significance determination of any findings associated with the event. The AIT leader should provide any information on potential contributing factors, including safety culture component issues to the team leader of any related supplemental inspection. [C1]*

### 03.03 Communications

- a. The AIT leader. When the chronology and circumstances of the event are more clearly understood, the AIT leader is encouraged to maintain communications with cognizant personnel from the Regional Office, NRR or NMSS, and NSIR (Division of Preparedness and Response) to:
  1. provide a first-hand update of the event
  2. respond to any questions
  3. discuss the appropriateness of the AIT response

### 93800-04 INSPECTION RESOURCES

The AIT Leader is either a non-SES manager or a qualified team leader. Team expertise is based upon the nature of the event, as well as the uncertainty of influential assumptions affecting risk significance of the event. AITs are augmented by personnel from Headquarters, other regions, or contractors with technical qualifications to complement the regional expertise. Follow up actions for the AIT should be charged to baseline inspections, as appropriate. If no baseline inspections are appropriate, follow up inspections should be charged to another inspection report under IP 93800.

93800-05 REFERENCES

Management Directive 8.3, "NRC Incident Investigation Procedures"

NUREG 1303, "Incident Investigation Manual"

Inspection Manual Chapter 0305, "Operating Reactor Assessment Program"

Inspection Manual Chapter 0309, "Reactive Inspection Decision Basis for Reactors"

Inspection Manual Chapter 0609, "Significance Determination Process"

Inspection Manual Chapter 0612, "Power Reactor Inspection Reports"

Inspection Procedure 93812, "Special Inspection"

END

ATTACHMENT 1  
Revision History for IP 93800

Commitment Tracking Number	Accession Number Issue Date Change Notice	Description of Change	Description of Training Required and Completion Date	Comment Resolution and Closed Feedback Form Accession Number (Pre-Decisional, Non-Public Information)
N/A	01/14/88 CN 88-001	Initial issuance. Revision history reviewed for the last four years.	N/A	N/A
N/A	07/05/89 CN 89-012	Revision	N/A	N/A
N/A	12/11/98 CN 98-019	IP 93800 has been revised to include lessons learned from an inspection at WNP-2 regarding the assignment of team members to the AIT, in addition to minor editorial changes.	None	N/A
N/A	08/02/99 CN 99-012	IP 93800 is revised to include the requirement to provide an executive summary in plain English in the inspection report generated by this procedure. This revision was made in response to SECY-99-070, "Implementation Plan for the Public Communications Initiative (DSI-14)."	None	N/A
N/A	04/03/00 CN 00-003	IP 93800 is modified to be performed as a supplemental procedure (Appendix B).	None	N/A
N/A	ML023020552 10/23/02 CN 02-039	IP 93800 has been revised to provide guidance on documenting information relating to events that is in addition to that currently required by IMC 0612, "Power Reactor Inspection Reports," such as description/chronology, risk-significance, and probable contributing causes.	None	N/A

Commitment Tracking Number	Accession Number Issue Date Change Notice	Description of Change	Description of Training Required and Completion Date	Comment Resolution and Closed Feedback Form Accession Number (Pre-Decisional, Non-Public Information)
C1	ML061560511 06/22/06 CN-06-015	Incorporate safety culture into inspection procedures. "Staff Requirements - SECY-04-0111 - Recommended Staff Actions Regarding Agency Guidance in the Areas of Safety Conscious Work Environment and Safety Culture" August 30, 2004	Inspector training on use of safety culture in the ROP.	ML061570132
N/A	ML071920281 07/18/07 CN 07-022	IP 93800 is revised to consider licensee implementation of Information Notices, Generic Letters, and Bulletins.	None	N/A
N/A	ML073390041 02/12/08 CN 08-007	Guidance on resources for follow up to AITs	None	ML080250272
N/A	ML081230523 07/25/08 CN 08-020	Guidance for recommending improvements to reactor oversight process baseline inspection procedures based on lessons learned from the AIT.	None	N/A
N/A	ML083370396 03/23/09 CN 09-010	Evaluate whether event and its causes indicate gaps in ROP baseline inspection procedures.	None	ML090400970
N/A	ML17269A044 11/15/17 CN 17-025	Amended 02.01.b and 03.02.b. text to clarify details regarding charter. Closed FF 93800-1839	None	N/A 93800-1839 ML17319A912