

SPECIAL INSPECTION

Effective Date: 11/15/2017

PROGRAM APPLICABILITY: 2201 App C, 2515 App C

93812-01 INSPECTION OBJECTIVE

01.01 The inspection objective is to assess an event and its causes with a special inspection team. A special inspection (SI) 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 power reactor events. These events may include significant unplanned degraded conditions identified by the licensee or NRC. Management Directive 8.3 also characterizes the differences between an Augmented Inspection Team (AIT), Incident Investigation Team (IIT), and SI.

93812-02 INSPECTION REQUIREMENTS

02.01 SI Leader

- a. Acts as the supervisor of the SI.
- b. Provides input to development of SI charter. The charter should include an item to review lessons learned from the SI. **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 SI 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. Discusses the quarantined equipment list, if applicable, 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 SI should continue or be upgraded to an AIT response.
 2. If a Preliminary Notification (PN) is required, prepares and transmits a PN report to the Regional Administrator for distribution. MC 1120, "Preliminary Notifications," has criteria for issuing a written PN. If a PN is not required, a morning report may be appropriate.
 - e. As applicable, 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 SI inspection effort.
 2. As appropriate, discuss preliminary findings, observations, or issues resulting from the SI.
 - g. Manages the SI effort in fact-finding and analysis to meet the objectives of the SI 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 the Regional Administrator documenting the findings of the SI. May direct the SI members to remain together, either at the inspection site or at the Regional Office, to facilitate the preparation of the SI report.

02.02 SI Members

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

4. Evaluate and document inspection findings provided the evaluation does not delay issuance of the inspection report. Due to the reactive nature of special inspections, SI members shall assure the issuance of the special inspection report is not delayed due to the IMC 0609, "Significance Determination Process."
- c. Remain together after the inspection, at the discretion of the SI leader, for the purpose of preparing the SI report.

93812-03 INSPECTION GUIDANCE

03.01 Scope of SI Response. The following guidance should not be construed as limiting SI 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 potential 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, chronology, systems response, equipment performance, precursors, human factors considerations, quality assurance considerations, radiological considerations, safeguards considerations, and *safety culture component considerations (as defined in IMC 0310, "Components Within The Cross-Cutting Areas")*. [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. Inspectors should consider visiting vendors' or contractors' facilities, if necessary, to gather additional insights and/or to verify licensee conclusions that are dependent on vendor/contractor supplied information. The inspectors should consult with the Quality and Vendor Branch in NRR for additional guidance prior to visiting a vendor and/or contractor.
- d. It is not the responsibility of an SI to:
 1. Examine the regulatory process (to determine whether that process contributed directly to the cause or course of the event).
 2. Address licensee actions related to plant restart.
 3. Address the applicability of potential generic safety concerns to other facilities.
 4. Ensure all findings are dispositioned prior to report issuance.

03.02 Documentation. SIs 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 SIs, areas where no findings are identified should be documented in greater detail than required by IMC 0612.

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 SI leader should provide any information on potential causes or contributing factors, including safety culture issues to the team leader of any related supplemental inspection. [C1]

03.03 Communications

- a. The SI leader. When the chronology and circumstances of the event are more clearly understood, the SI 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 SI response

93812-04 INSPECTION RESOURCES

The SI leader should be a senior inspector or engineer. Group expertise is based upon the nature of the event, as well as the uncertainty of influential assumptions affecting the risk significance of the event. Resources of technical experts from the responsible regional office are comparable for SIs and AITs, but SIs (unlike AITs) are not augmented by personnel from

Headquarters, other regions, or contractors with special technical qualifications to complement the regional technical expertise.

93812-05 REFERENCES

Management Directive 8.3, "NRC Incident Investigation Procedures"

NUREG 1303, "Incident Investigation Manual"

Inspection Manual Chapter 0310, "Components Within The Cross-Cutting Areas"

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 93800, "Augmented Inspection Team"

END

ATTACHMENT 1 – Revision History for IP 93812

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	04/03/00 CN 00-003	IP 93812 is modified to be performed as a supplemental procedure (Appendix B).	N/A	N/A
N/A	03/06/01 CN 01-006	IP 93812 has been revised to provide consistency with Management Directive 8.3, and to provide guidance on Preliminary Notifications.	N/A	N/A
N/A	ML023020559 10/23/02 CN 02-039	IP 93812 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.	N/A	N/A
N/A	ML031990467 07/07/03 CN 03-023	IP 93812 has been revised to reflect the revision to Management Directive 8.3, ANRC Incident Investigation Program, and to delete the prohibition for Special Inspections to review licensee actions related to plant restart.	N/A	N/A
C1	ML061560514 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. Revision history reviewed for the last four years.	Yes, no description available. Completed 07/01/06	ML061570136

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	ML071920283 07/18/07 CN 07-022	IP 93812 is revised to consider licensee implementation of Information Notices, Generic Letters, and Bulletins.	N/A	N/A
N/A	ML073390043 01/10/08 CN 08-002	Guidance on feedback form recommendations for improving the SI process based on lessons learned from SIs.	N/A	N/A
N/A	ML081230527 07/25/08 CN 08-020	Guidance for recommending improvements to reactor oversight process baseline inspection procedures based on lessons learned from the SI.	N/A	N/A
N/A	ML083370411 03/23/09 CN 09-010	Evaluate whether the event and its causes indicate gaps in ROP baseline inspection procedures.	N/A	ML090400970
N/A	ML11294A427 11/15/11 CN 11-033	Added guidance related to interviewing vendor or contractor personnel (FF 93012-1465)	N/A	N/A
N/A	ML17306B161 11/15/17 CN 17/025	Amended 02.01.b and 03.02.b text to clarify details of charter. Closed FF 93800-1839. Added clarification that the issuance of the report should not be delayed for SDP processes.	N/A	N/A 93900-1839 ML17319A912