INSPECTION MANUAL CHAPTER 0609, ATTACHMENT 05

INSPECTION FINDING REVIEW BOARD

Effective Date: 01/01/2019

0609.05-01 PURPOSE

The purpose of the Inspection Finding Review Board (IFRB) is to provide a formal framework to obtain regional staff and management agreement on the proposed performance deficiency and to effectively manage the actions needed to reach a preliminary decision on the significance of inspection findings that do not initially screen to Green. This framework, through effective management oversight and project planning, aims to ensure that all involved regional managers and staff are aligned on the specific actions needed, the scope of the work to be done, and the associated schedule to reach an informed decision on licensee performance deficiencies and their preliminary significance prior to conducting a Significance and Enforcement Review Panel (SERP).

This document will be used in conjunction with Inspection Manual Chapter (IMC) 0609, "Significance Determination Process," and IMC 0609, Attachment 1, "Significance and Enforcement Review Panel (SERP) Process." These procedures are intended to ensure the Significance Determination Process (SDP) is efficient through appropriate management oversight and planning of the disposition of potentially greater-than-Green (GTG) inspection findings.

0609.05-02 APPLICABILITY

The IFRB is a regional activity that should be convened when inspection findings do not initially screen to Green using the various SDP screening tools. Specifically, if the finding does not screen to Green using IMC 0609, Appendix A or in Phases 1 and 2 of IMC 0609, Appendices F, G, H, J, and K, the regional branch chief responsible for the issue and the senior reactor analyst (SRA) shall determine if an IFRB is warranted. A straightforward issue that experience has shown will ultimately result in a Green determination without significant effort would not require convening the IFRB. It is expected that IFRB meetings will be regularly scheduled and only held when needed (analogous to weekly allegation review board and enforcement meetings).

For security issues that do not initially screen to Green, an IFRB or a Security Information Forum (SIF) can be convened. Should a SIF be convened in place of an IFRB, the SIF should accomplish all of the tasks and assignments that an IFRB would have accomplished, and the overall management of the issue should be conducted in accordance with the Inspection Finding Resolution Management (IFRM) process.

0609.05-03 OBJECTIVES

- Ensure regional management and staff align on the licensee performance deficiency, the degraded condition, and how the performance deficiency is the proximate cause of the degraded condition. The proposed violation can be discussed, but alignment is not necessary at this point.

- Ensure there is early alignment on the scope, schedule and involved resources to support an efficient and effective preliminary significance assessment.

- Develop key messages to be communicated to licensee senior management by the IFRB Chair.

0609.05-04 GUIDANCE

The IFRB Finding Form (Exhibit 1 of this procedure) is used to document the receipt, evaluation, and IFRB decisions for inspection findings for which the responsible branch chief and the SRA agree should be subject to an IFRB. For non-deterministic SDPs, the IFRB should be convened when inspection findings do not initially screen to Green. However, the IFRB is not necessary for issues that do not initially screen to Green if the issue is straightforward and experience has shown it will ultimately result in a Green determination without significant effort. For deterministic SDPs, the IFRB should be convened when inspection findings involve complexities, such that the outcome of the deterministic SDP is not clear or straightforward.

For security inspection findings that involve complexities and are not clear, the SIF can be used in place of the IFRB. The SIF provides a forum for regional and headquarters staff (Office of the General Counsel, Office of Enforcement (OE), and Office of Nuclear Reactor Regulation (NRR)) to solicit input from each other regarding a number of security inspection-related issues, including potentially greater-than-Green security findings. When using a SIF instead of an IFRB, the SIF should accomplish all of the tasks an IFRB would have accomplished, including assignment of a designated division-level manager as the single point of contact for the issue, and the overall process for dispositioning the issue should otherwise follow the IFRM process.

An IFRB (or SIF) is not necessary when the significance of the finding using deterministic SDP flowcharts appears to be clear and straightforward, regardless of proposed significance. An IFRB can be held based on management discretion regardless of whether the entry criteria are met.

The IFRB should consist of the IFRB Chair, who will be a Senior Executive Service manager and the sponsor for the finding (this individual should also normally be the Sponsor during the SERP process), the lead inspector, the SRA, the inspection branch chief, the Division of Reactor Projects branch chief (if different from the inspection branch), the Division of Reactor Safety (DRS) branch chief for issues within a DRS technical area (if different from the inspection branch), and a regional enforcement specialist. Since the IFRB is a regional activity, attendance by headquarters staff is at the region’s discretion. Included in the IFRB should be a decision on whether a planning SERP is needed, consistent with the guidance in Section 02.01.a.2 of IMC 0609, Attachment 1.

It is beneficial to hold the IFRB promptly once it is known that the IFRB entry criteria are met to drive timely dispositioning of the issue. It is also beneficial to have as much certainty around the performance deficiency as possible at the IFRB since subsequent changes to the performance deficiency are likely to have resource implications. For this reason, regions should use judgement in determining when to schedule the IFRB, balancing the desire to delay for purposes of seeking additional information with the ability and desire to disposition the issue in a timely manner. However, it is also recognized that additional information might become available after the IFRB that changes the description of the degraded condition or warrants adjustments to the performance deficiency. A follow-up IFRB should be considered when it is expected that there may be significant departures from what was agreed upon at the initial IFRB. For example, a follow-up IFRB could be considered when:

- A change to the degraded condition or previously-aligned-upon performance deficiency is proposed that may result in a significant change to the previously-aligned-upon resources, schedule, and plan for assessing the significance, or
- A previous IFRB on the issue determined that a follow-up IFRB should be held.

Following the IFRB, the IFRB Chair will call senior site management to discuss the outcome of the IFRB and plan for dispositioning the issue. Specific topics to be discussed on this call include:

- The outcome of the IFRB
- The performance deficiency
- NRC's planned schedule for dispositioning the issue
- Any information needs to support dispositioning the issue
- The concepts of proximate cause and best available information, as necessary

Sensitivity should be given to the possible impact on the licensee of changes to resource and schedule plans, and whether an update call with licensee senior management by the IFRB Chair is appropriate.

Exhibit 1, "IFRB Worksheet," serves as the basis for the discussion of the concerns during the IFRB. The sections of the worksheet contain a summary of the issue (Section 1), the performance deficiency details and initial evaluation (Section 2), inspection staff recommended action (Section 3), and IFRB decisions (Section 4). The IFRB Worksheet shall be promptly sent to the cognizant inspection branch chief and routed with SERP documentation if a SERP will be held.

Exhibit 2, "Inspection and Significance Determination Process Metrics," is provided to illustrate the 255-day total period for greater-than-Green inspection findings to decide on the performance deficiency based on its proximate cause and to determine its final significance. The exhibit reflects the completion milestones of 120 days from the issue identification until the final exit, 45 days to issue the inspection report, and 90 days to complete the SDP evaluation. The enforcement action metric of 120 days from the exit meeting to the final determination is also provided to illustrate that when enforcement is involved the total time is 240 days.

Exhibit 3, "Estimated Timeline for SDP Completion," is an editable file provided to show the process steps from the identification of an issue to the final SDP determination with an estimate of the time necessary to complete each step. This timeline shall be used by the IFRB in

developing schedules for completing the evaluation of the finding. The milestones demonstrated on the timeline are ONLY considered estimates based on past experience with greater-than-Green inspection findings. All findings should be completed in an effective and efficient manner with a goal to complete all steps in less than 255 days. Additionally, it should be recognized that there are several steps which may be done concurrently.

04.01 IFRB Worksheet

a. Section 1, “Issue Summary”

1. General Information: Enter Facility Name, Docket/License #, EA Number and Responsible Inspection Branch.

2. Brief Overall Issue Summary: Provide a short summary of the degraded condition or issue of concern and how it was identified. Describe how the performance deficiency is the proximate cause of the degraded plant condition. Determine if the issue should be considered for an “old design issue.”

3. Enter Issue Start Date using the calendar drop-box. The other dates will auto-calculate. (Reference IMC 0307, Appendix A for guidance on determination of the event date).

4. Answer whether all timeliness metrics will be met and if not, explain the reason. It is understood that at this point, it isn’t definitively known whether the metrics will be met, so the question should be answered based on the most reasonable projection given the information known at the time. It is best to raise potential concerns with meeting metrics early, even if they may ultimately be met.

b. Section 2, “Issue Information”

1. Performance Deficiency and Associated Violation: Provide a concise statement of the performance deficiency and associated violation. This is the version of the performance deficiency that, after approval by the IFRB, will be used at the SERP and documented in the inspection report.

2. Affected Structures, Systems, Components (SSCs), Operator Actions, and Risk-Relevant Functions: List the SSCs, operator actions, and relevant probabilistic risk assessment (PRA) functions that have been affected by the identified performance deficiency. The functions important to the SDP are the risk-relevant functions as described in documents such as the plant risk information e-book (PRIB), the NRC’s SPAR model, the historical SDP notebooks, or the licensees PRA. The functions may be different from the “specified safety function” as described in the plant’s Updated Final Safety Analysis Report.

3. Conditions When the Performance Deficiency Would Manifest Itself: Describe the type of accident, environmental conditions, plant configuration (as applicable) during which the performance deficiency would impact plant safety.

4. Initial SDP Screening: Determine which cornerstones are affected. Provide basis for more-than-minor determination. Provide the basis for why the finding

does not screen-to-Green in IMC 0609 Appendix A or in Phases 1 and 2 of IMC 0609 Appendices F, G, H, J, K, as applicable.

5. Exposure Time: Enter the duration the degraded condition existed or is assumed to have existed, including repair time. Include both the start time and end time for the exposure period, along with the basis for the selection of these dates/times. Describe whether T (if the actual start time of PRA non-functionality is known) or T/2 (if the actual start time of PRA non-functionality is not known) should be considered for calculating the duration. When using T/2, the time period to be halved starts with the last known time the SSC was definitively shown to be PRA functional. Any repair time in which the SSC was unable to perform a PRA function is always included in the exposure time. Additional information about the determination of exposure time is included in the Risk Assessment Standardization Project Handbook. Consult with the SRA to determine the exposure time.

6. Are External Events Likely to be the Main Risk Contributor (i.e., earthquake, fire, external flooding and tornados/high winds): Answer yes/no and if yes, describe the scenarios where the affected component(s) would be called upon.

7. Is Recovery of the "Failed Function" Credible? Describe the conditions for which the licensee may be able to recover the function that was impaired or lost as a result of the performance deficiency. For example, if an operator action could be taken, is there training provided, procedures already established, and equipment necessary to take the action available. Is credit for FLEX equipment appropriate?

8. Describe How Current PRA Techniques and Tools and Tools Apply. Are the existing PRA models and techniques sufficient to adequately determine the issue significance? Which risk metric will be used for the SDP evaluation (delta core damage frequency, delta large early release frequency, condition core damage probability)? If not, describe alternate means available or needed to determine significance.

9. Additional Issue Complexities, if any.

10. Licensee's Perspective. Provide licensee's position on the performance deficiency, if known.

c. Section 3, "Branch Recommendations"

1. Select from the following options:

(a) Region completes the detailed risk evaluation (DRE). Proceed to SERP, if necessary. Select this option when the SRA has determined that the finding can be evaluated with regional resources only. If possible, estimate a planned completion date for the DRE and planned SERP date. Coordinate with regional enforcement staff for the planned completion date(s).

(b) Request additional resources. Proceed to Planning SERP. Select this option when resources outside the region are necessary for completing the DRE.

Identify the additional resources required and form an SDP project team with all the individuals needed to complete the analysis. List those individuals on the IFRB Finding Form. Schedule a Planning SERP and provide the date on the IFRB Finding Form. Conduct planning SERP in accordance with IMC 0609, Attachment 1.

2. Proposed next steps. Include proposed next steps and actions, including proposed milestones and assignments for discussion at the IFRB.

d. Section 4, "IFRB Outcome"

1. Document the IFRB date and the date of any previous IFRBs on the issue.

2. Indicate whether this is an Initial IFRB or Follow-up IFRB. If it is a Follow-up IFRB, document the reason for the Follow-up IFRB.

3. Document IFRB logistical information.

4. List the IFRB attendees.

5. Document pertinent discussion or comments resulting from the IFRB related to the issue, including actions and due dates, as applicable. Additional actions could include, for example, gathering more information, additional evaluation of the performance deficiency, or accelerated due dates.

6. If the performance deficiency discussed at the IFRB is not approved, determine what is required for approval, next steps, and document who is to complete the action. Determine if communication with the licensee is required, at the appropriate level, to complete any of the actions developed.

7. If the performance deficiency discussed at the IFRB is approved, the IFRB Chair shall contact the respective licensee's senior management to inform them of the region's decision to move forward with conducting a DRE and/or a Planning SERP. The IFRB Chair shall advise licensee management that all subsequent management level communications on the finding should be coordinated through the IFRB Chair.

04.02 IFRB Documentation Retention.

Once the IFRB is completed, the IFRB worksheet should be treated as a record of the IFRB, entered into the Agencywide Documents Access and Management System (ADAMS), and not further edited. If a follow-up IFRB is held it should have its own IFRB worksheet. IFRB worksheets should be included in the information provided to SERP members ahead of a SERP or PRCR.

IFRB packages containing supporting information for a SERP shall be saved to the SERP package repository in ADAMS, which can be accessed as follows:

1. Open ADAMS Navigator.
2. Click on the search icon on the left side ribbon.
3. Click on New Search.

4. Add the following filters:
   “Document Type” includes “Enforcement Action Worksheet”
   “Docket Number” starts with “05000”
5. Click search.

IFRB packages associated with issues that will not move forward to a SERP should still be added to ADAMS, ensuring that the title includes the text “IFRB” for retrievability.

END

EXHIBIT 1 – IFRB FINDING FORM

INSPECTION FINDING REVIEW BOARD WORKSHEET If issue will go to SERP, attach to the SERP Worksheet and route together.			
Section 1 - ISSUE SUMMARY Lead branch to complete prior to IFRB			
Facility: Click here to enter text.		Licensee: Click here to enter text.	
IFRB Chair: Click here to enter text.		Lead Branch: Click here to enter text.	
Issue Summary: *Provide a short summary of the degraded condition or issue of concern and how it was identified. Describe how the performance deficiency is the proximate cause of the degraded plant condition*.			
Issue Start Date	120 Days	165 Days	255 Days
Click to add date	Click to add date	Click to add date	Click to add date
Will all timeliness metrics be met? ☐ Yes ☐ No *If no, please explain*:			

Section 2 - ISSUE INFORMATION Lead Branch to complete prior to IFRB with support from SRA
Proposed Performance Deficiency: Provide a concise statement clearly stating deficient licensee performance and degraded plant condition based on proximate cause. Ref IMC 0612 Section 03.02
Associated Violation (if known and applicable): Click here to enter text.
Affected Structures, Systems, Components (SSCs), Operator Actions, and Risk-Relevant Functions: Click here to enter text.
Conditions when the performance deficiency would manifest Itself (e.g., type of event, plant configuration): Click here to enter text.
Initial SDP Screening: Click here to enter text.
Exposure Time: Click here to enter text.
Are External Events Likely to be the Main Risk Contributor (i.e., earthquake, fire, external flooding, and tornados/high winds)? ☐Yes ☐No If yes, briefly describe the scenario where the component(s) would be called upon.
Is Recovery of the “Failed Function” Credible? ☐Yes ☐No If yes, describe under what conditions.

Do Current PRA Techniques and Tools Apply? ☐Yes ☐No If not, describe alternate means to determine significance.
Additional Issue Complexities, if any: Click here to enter text.
Licensee's Perspective of the Issue: Include description of licensee's position on the performance deficiency if known.

Section 3 – BRANCH RECOMMENDATIONS Lead Branch to complete prior to IFRB with support from SRA. If no IFRB, document the basis.		
☐	Region completes the DRE. Proceed to SERP, if necessary.	*Document the basis*
☐	Request Additional Resources. Proceed to a Planning SERP.	Reason(s) a Planning SERP is recommended: *Click here to enter text.*
		Additional comments for Planning SERP consideration: *Provide any additional comments e.g., known conservatisms, significant uncertainties, influential assumptions.*
		Proposed Planning SERP Date: Click here to enter a date.

Proposed next steps and needs:
Discuss proposed evaluation methodology, level of effort, and resource needs.

Additional Information required	Owner	Due date
		Click here to enter a date.
		Click here to enter a date.
		Click here to enter a date.

Section 4 - IFRB OUTCOME Lead branch to complete at IFRB	
IFRB Date: Click to add date	Previous IFRBs: Click here to enter text.
IFRB Type: ☐ Initial ☐ Follow-up *Provide reason for Follow-up IFRB if applicable (e.g., revised PD)*	
IFRB Participants: IFRB Chair: Click here to enter text. Lead Inspector: Click here to enter text. Projects Branch: Click here to enter text.	Inspection Branch Chief: Click here to enter text. SRA: Click here to enter text. Enforcement Specialist: Click here to enter text.

Other(s): Click here to enter text.

Summary of IFRB Discussion:
Provide a short summary of the IFRB discussion topics and key decisions

Performance Deficiency Approved: ☐ Yes ☐ No
State the exact approved performance deficiency

Next Steps and Actions:
☐ Green issue, no SERP ☐ Planning SERP ☐ Complete DRE and SERP

Assigned Date	Action	Owner	Due date
Click here to enter a date.			Click here to enter a date.
Click here to enter a date.			Click here to enter a date.
Click here to enter a date.			Click here to enter a date.

IFRB Chair Signature:	Date: Click to add date
IFRB Chair to discuss IFRB outcome with senior licensee management	Licensee individual: Click here to enter text. Date contacted: Click to add date

EXHIBIT 2 – INSPECTION AND SIGNIFICANCE DETERMINATION PROCESS METRICS

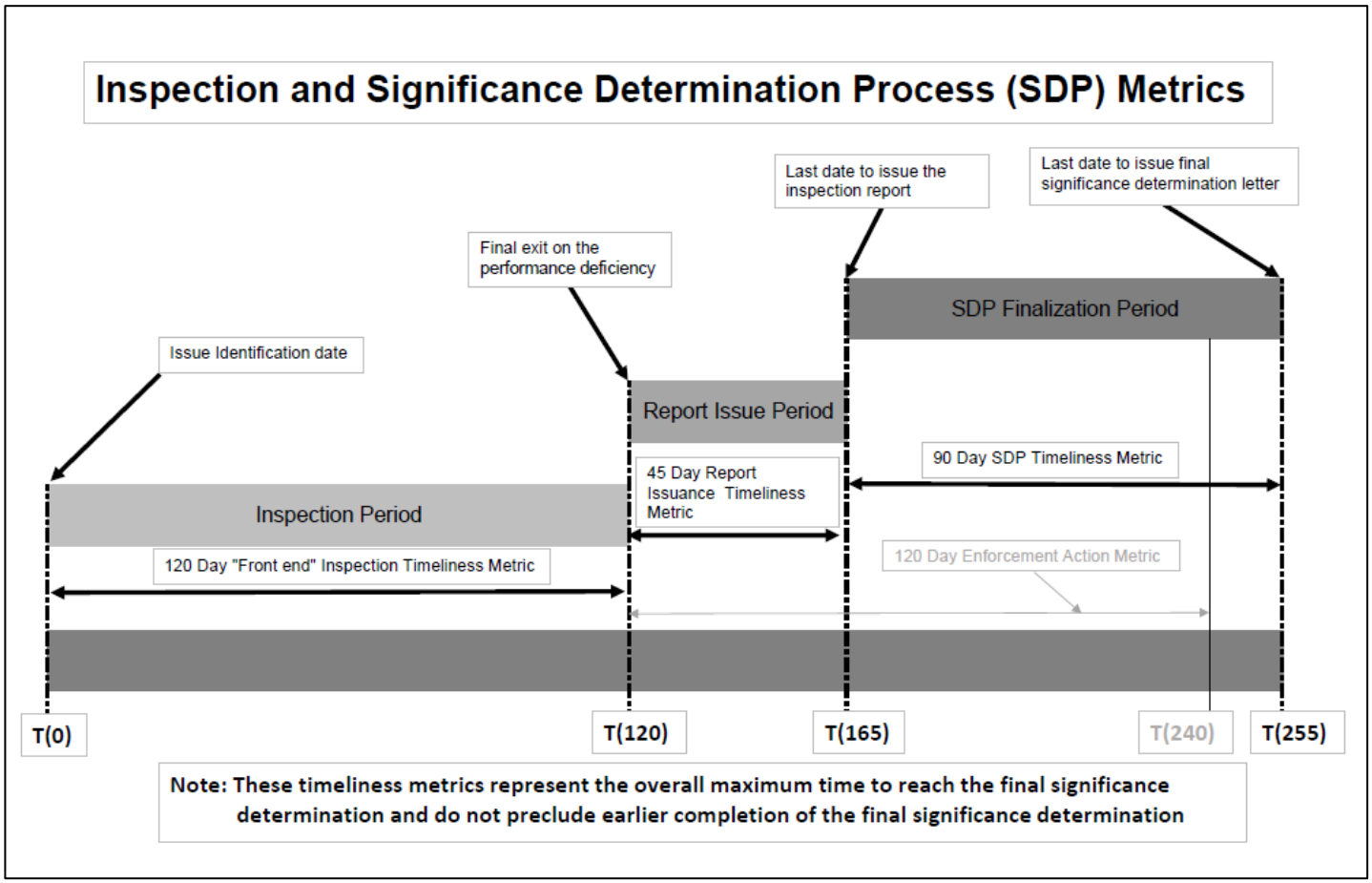

EXHIBIT 3 – ESTIMATED TIMELINE FOR SDP COMPLETION

ESTIMATED TIMELINE FOR SDP COMPLETION					
Est. time to complete activity	Activity	Metric	Metric Date	Actual Date	Comments
	Event/Condition Occurs	PD Metric:T=0		01/00/1900	
60 days	Licensee Evaluation complete, if needed				
6 weeks	Inspection Finding identified. SDP screening complete.				
	IFRB Conducted				
	Exit	PD Metric: T=120 IR Metric: T=0			
6 weeks	Detailed Risk Evaluation Complete				
7 days	NRR/DRA peer review complete. Submit package to Regional enforcement staff.				
7 days	IFRB (SERP) package submitted to Headquarters				
	SERP conducted.				
	Inspection report issued TBD	IR Metric: T=45 SDP Metric: T=0			
7 days	Preliminary Determination Letter Issued				
10 days	Licensee Response to Preliminary Determination Letter				
5 days	Meeting Notice Issued				
	Licensee Submits information prior to regulatory conference				
	Regulatory Conference				
7 days	Receive additional information requested at the regulatory conference				
14 days	Post-conference review and final determination				
	Approximate Enforcement Metric	T=240 (after IR issued)			
7 days	Final determination letter in concurrence				
10 days	Final determination letter ready for OE, NRR, Reg concurrence. EN issued.				
3 days	Final determination letter issued.	SDP Metric: T=90			

Note: These times are ONLY estimates based on past experience with more challenging and complex GTG inspection findings. Also, this is not a serial representation as some steps may be done concurrently.

Attachment 1 – Revision History Table for IMC 0609 Attachment 05

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)
	ML16103A405 10/28/16 CN 16-028	This is a new inspection manual chapter developed as part of an NRC initiative to improve the efficiency and effectiveness for making decisions on greater than Green inspection findings. This document will be used throughout a test phase which is expected to be completed by December 31, 2017, if not sooner.	Presentations were made in three regional offices prior to procedure issuance. In addition, question and answer sessions will be conducted shortly after the procedure is issued.	ML16110A211
No	ML18187A183 10/23/18 CN 18-036	Revised to incorporate applicable recommendations from the IFRM Effectiveness Review Report (ML18123A319). Changes primarily reflect expansion of the IFRM process to all ROP cornerstones, revised criteria for holding an IFRB, and clarifications to the purpose of an IFRB. The IFRB-SERP worksheet was revised with the SERP worksheet being relocated to IMC 0609 Attachment 1 and the IFRM survey that supported the pilot period was removed.	No	ML18191A004
No	ML18341A101 12/07/18 CN 18-041	Minor revision to provide additional clarity on when a follow-up IFRB is needed.	No	N/A