

NUCLEAR REGULATORY COMMISSION

IN THE MATTER OF:

IMPLEMENTATION OF 10 CFR 73,

APPENDICES B and C,

GUARD TRAINING AND CONTINGENCY PLANNING

Place - San Francisco, California

Date - Thursday, 5 October 1978

Pages 1-81

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UNITED STATES NUCLEAR REGULATORY COMMISSION

Implementation of 10 CFR 73,
Appendices B and C, Guard
Training and Contingency
Planning

Hilton Inn,
San Francisco International
Airport,
San Francisco, California.

Thursday, October 5, 1978.

The meeting commenced at 9 o'clock a.m., James Miller,
Assistant Director, Safeguards, NRR, Moderator.

ALSO PRESENT:

ROBERT ENGLEKEN, Director, I & E, Region V.

EDISON G. CASE, Deputy Director, NRR.

RALPH JONES, Chief, Safeguards Standards Branch, OSD.

FRANK PAGANO, Chief, Reactor Safeguards Development
Branch, OSD.

THOMAS MC KENNA, Member, Reactor Safeguards Development
Branch, OSD.

JACK ROE, Member, Reactor Safeguards Licensing Branch,
OSD.

ROBERT CLARK, Chief, Reactor Safeguards Licensing Branch,
OSD.

LEROY R. NORDERHAUG, Safeguards Branch, NRC, Region V.

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P R O C E E D I N G S

1
2 MR. MILLER: We usually start these meetings by
3 saying we welcome ladies and gentlemen but I don't see many
4 ladies or any ladies. I don't know what it is about you
5 Westerners.

6 We usually begin the session at least every time
7 by talking about some things that are not really relevant
8 like the last session the Redskins had just beat Dallas.
9 This session we might say a few things about the submarine
10 situation but it may hurt some of you a little more than
11 others and we will just let it go.

12 For those who don't know me, my name is Jim Miller.
13 I am the assistant director for Reactor Safeguards, NRR.

14 To begin the meeting I would like to introduce Mr.
15 Bob Engleken who is the director of Region V and our precious
16 hope. Bob.

STATEMENT OF ROBERT ENGLEKEN

18 MR. ENGLEKEN: Good morning.

19 It is a pleasure for me to welcome you to this meet-
20 ing sponsored by the office of Nuclear Reactor Regulation.
21 The meeting is for the purpose of discussing recent amendments
22 to the NRC safeguards regulations pertaining to security guard
23 training and contingency planning. As Jim mentioned, I am
24 director of the Region V office located in Walnut Creek and
25 Karl Seyfrit, director of the Region IV office in Arlington,

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1 Texas, has asked me to welcome those of you who represent
2 licensees from our Region IV area as well.

3 The Region V inspection and enforcement office is
4 pleased to host this meeting and although we're not on the
5 agenda, we are vitally interested in the proceedings here
6 this morning, particularly the rule changes that will be dis-
7 cussed here today because we are the ones who will be called
8 upon to enforce these changes and the regulations. It is im-
9 portant that those who enforce these rules have a common
10 understanding of their intent and the language of the rules
11 with those of you who are required to comply with them. So
12 we hope to benefit as you do from the discussions here this
13 morning.

14 We in the enforcement end of this business are very
15 much aware of the importance of the rule changes for guard
16 training in particular. Some of our recent inspection ex-
17 perience indicates that there is an urgent need for improve-
18 ment in the training of security personnel. We expect to
19 inform you about some of our recent experiences, inspection
20 experiences, by way of a circular that will be mailed to you
21 in the near future. I hope that when it arrives you will give
22 it your serious consideration.

23 Mr. Noderhaug, who supervises the Region V safeguards
24 staff, and several members of his physical securition staff
25 are present in the audience. Mr. Noderhaug will be on the

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1 panel this afternoon during the question and answer session
2 and I invite you all to present any questions to him which
3 might pertain to the inspection function. I hope you all
4 have a very productive and useful meeting here this morning
5 and I thank you very much.

6 MR. MILLER: Thank you, Bob.

7 A few remarks before we begin. I remind you this
8 is a meeting between the NRC and reactor licensees. There-
9 fore, in the interest of time, I would appreciate it if the
10 questions, discussion, what have you, are between the NRC
11 and licensees. The staff will remain after the meeting or
12 toward the latter part of the meeting to hear questions from
13 anyone else that may be in the audience.

14 I also remind you that a transcript is being taken.
15 A copy will be available in your region at headquarters and
16 at the public document room in Washington. With that trans-
17 cript when it comes time for questions, discussion, we ask
18 that you identify yourself and your affiliation. If you have
19 a name that is rather difficult to pronounce or maybe spell,
20 a little bit more than Miller, if you would spell it at least
21 the first time, it would help our transcribers.

22 There will be a slight change in the agenda but it
23 will essentially be the same meeting we have now held in At-
24 lanta and Chicago. I just thought it might be better to change
25 the order a little bit and it will make it a little more of-

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1 ficial. Also there is a sign-in sheet that is being passed
2 around. I ask you to please sign your name and affiliation.
3 That way we will know who all is here. If you would like a
4 copy of the sheet, if you will let one of us know, we will be
5 glad to see that you get one.

6 With that let me introduce to you Mr. Edison G.
7 Case. Mr. Case is deputy director of Nuclear Reactor Regula-
8 tion.

9 STATEMENT OF EDISON G. CASE

10 MR. CASE: Thanks, Jim. Good morning.

11 I'd like to express my thanks to you all for coming
12 here today and taking time from your busy schedules for this
13 meeting.

14 These types of meetings are helpful to us because
15 they give us an opportunity to discuss our proposed positions
16 and hear your reaction to them face to face. I hope they are
17 just as helpful to you.

18 Before we get into some of the specifics that will
19 come later on, I'd like to make a couple of general observa-
20 tions. As you surely know, we are here to discuss the im-
21 plementation of these proposed rules. They are already in
22 effective form so there is no need for philosophy on whether
23 we ought to have them or not. We have them and our job, mutual
24 job, is to implement them well.

25 Considering that many of you already have guard

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1 training programs, we've tried to ensure the implementation
2 of this rule will build on your existing programs and take ad-
3 vantage of them. Earlier this year on September 14 we met
4 with the Edison Electric Institute security committee in New
5 York City to discuss many of the issues that we will talk
6 about today. Several important issues were raised there and
7 I'd like to repeat to you some of the discussion we had
8 earlier.

9 Four of the most obvious questions that they raised
10 were, (1), the age 21 requirement for armed personnel. We
11 will discuss that more today. (2) The problem you have in
12 determining felony convictions. (3) Who is to be trained and
13 qualified under these new rules and, (4), are all of the
14 sites required to have the specific equipment that is listed
15 in Section 5 of Appendix B.

16 It was pointed out at the EEI meeting that our re-
17 quirement that our members of the security force be at least
18 21 is inconsistent with many state laws and that many of the
19 state laws allow licensing of armed security personnel at 18
20 years of age. The EEI committee indicated that many sites are
21 now using armed security personnel who are under 21 and they
22 are serving well. The obvious inconsistency between our re-
23 quirement and the military was also pointed out.

24 After considering this issue we believe this is a
25 valid point and following a thorough legal review, if that

1 turns out all right, we intend to recommend to the Commission
2 that the rule be amended to allow arming of personnel at 18
3 provided this is consistent with state law in the sites in-
4 volved.

5 Several members of the EEI committee also pointed
6 out how difficult it is for licensees to determine if an indi-
7 vidual has ever been convicted of a felony. We are aware of
8 these difficulties and this in large part was the basis for
9 the proposed clearance rule. We are currently studying
10 various options we would pursue if the clearance rule were
11 not to be adopted by the Commission. We welcome any input
12 you may have on this subject. Our objectives in this are the
13 same. You want to have qualified and trustworthy employees
14 at your nuclear power plant site and we want qualified and
15 trustworthy employees guarding those nuclear power plants.

16 At the EEI meeting we were also asked to clarify
17 who is covered by the training and qualifications requirement.
18 More specifically the question raised was are the sites re-
19 quired to train, qualify, and keep records for all plant per-
20 sonnel. The answer to this is no. Only those personnel who
21 perform critical tasks to site security are covered. This
22 would include the security positions identified as part of
23 the physical security organization in your physical security
24 plan, and those positions identified in the contingency plan
25 as those that are performing key security tasks.

1 Lastly, EEI wanted to know if the licensees are
2 required to have on site all of the specific equipment speci-
3 fied in Section 5 of Appendix B. They pointed out the diffi-
4 culties that this would create because of local laws, federal
5 regulations, and incompatibilities of the equipment listed in
6 Section 5 of Appendix B with specific site requirements.

7 Quoting from Appendix B it says, "Guards and armed
8 response personnel shall either be equipped with or have
9 available the following security equipment appropriate to the
10 individuals assigned to contingency or security related tasks
11 or job duties as described in the licensee's physical security
12 and contingency plans," unquote. Thus the equipment you have
13 identified in the sites approved security plan meets this
14 requirement and you are not required to have all of the equip-
15 ment listed in Section 5.

16 Equipment requirements for each site will be reviewed
17 on their own merit on a case by case basis.

18 Although we are here today primarily to discuss
19 guard training and contingency planning, if you have questions
20 on other topics you feel should be asked and answered, we will
21 be happy to address them later this afternoon.

22 I'd like to thank you again for coming and express
23 my confidence that this will be a productive meeting for both
24 the NRC and the industry alike. Thanks very much.

25 MR. MILLER: At this time let me introduce Mr.
Ralph Jones. Ralph is the chief of the Safeguards Standard
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1 Branch, Office of Standard Development, and was intimately in-
2 volved in the writing of these rules. Ralph.

3 STATEMENT OF RALPH JONES

4 MR. JONES: He changed that introduction slightly.
5 He was to say I was responsible for all of this but now I am
6 just intimately involved.

7 What I propose to do is discuss briefly the regula-
8 tion, guard training regulation, the guard training guides,
9 the contingency plan guides, to tell you sort of how we got
10 where we are and what happened to some of the comments you
11 made and the status of these various things.

12 As you know, the security personnel training and
13 qualification regulation was published for comment and, as
14 published, originally included detailed training requirements
15 and specific qualification requirements, hours of training,
16 and details such as that.

17 Comments received were primarily concerned with the
18 inappropriateness of specifying these detailed requirements
19 without recognition of the skills and abilities needed for
20 specific security duties. Comments also indicated possible
21 problems with EEOC guidelines where the requirements were not
22 job related. Further comments were concerned with the short
23 implementation time and clarification of the applicability of
24 the requirements in definition of terms.

25 In addition, the Commission asked for comments re-

1 guarding implementation with respect to central, regional, or
2 local training, or with certification or licensing considera-
3 tions.

4 The major change from the proposed rule to the
5 final rule in Appendix B was to turn it around and to specify
6 areas of skill and knowledge to be considered in the licensee
7 training plan rather than to specify all of the training that
8 needed to be carried out. There are still some qualification
9 requirements for employment suitability even though they have
10 been modified to be job related. For example, the physical
11 fitness qualification no longer calls for an eight-minute
12 mile and pushups. Rather it is required that the person be
13 physically fit to carry out his assigned task.

14 For example, the CAS operator, if all he had to do
15 was sit at the console, he might be able to sit in a wheel-
16 chair.

17 The major thrust now is to provide flexibility for
18 you, the licensee, to design the training and qualification
19 program to fit your site specific security programs. This
20 turnaround to tie in the job related skills and abilities
21 should resolve the EEOC's problems except perhaps the 21-year
22 age question.

23 The implementation times also have been changed to
24 provide considerably more time to develop and implement the
25 plans.

1 We received very few comments regarding the training
2 location and certification. The final rules provide flexi-
3 bility in this area and does not require certification of
4 security personnel by the NRC, only approval of the training
5 qualification plan.

6 We have a study underway to investigate the pro's
7 and con's and cost benefits of various training options and
8 certification by the NRC of security personnel. The result
9 of this study and the success of implementing the rule under
10 the current conditions will determine whether or not we need
11 to take any further action.

12 I don't believe I need to review the rule, itself,
13 in detail. You all have the Federal Register notices and are
14 aware of those requirements. If you have any specific ques-
15 tions, we will be here to attempt to answer them.

16 With regard to the training manuals under Reg 464
17 and 465 which you all received copies sometime ago and were
18 given a very short time to comment on, we recognize this, we
19 were, however, committed to have those published in final
20 form by October 23 so we had no choice but to give you a short
21 time to comment. We have received a number of comments on the
22 manuals. Some of them, of course, were typographical errors
23 and incorrect statements. The comments, however, were pri-
24 marily concerned with the status of the manuals as requirements
25 or guidance. These manuals are intended as reference documents

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1 only to provide you with information to develop your training
2 program. The manuals are not regulatory guides. They do not
3 present a regulatory position. They are not required. The
4 lesson plans, any or all of them, can be used or not used de-
5 pending on your own program. It is an attempt to assist in
6 developing training plans. In reading the documents myself I
7 have noticed a number of statements that imply they are re-
8 quirements. These should not have been there and will not be
9 there in the final documents. There are a number of other
10 corrections and definitions that have been changed to conform
11 them to current regulations. Keep in mind it is the regulation
12 in 10 CFR, Part 73, that specifies the requirements. The new
13 Reg documents are intended to provide you with information to
14 assist you in meeting those requirements.

15 Briefly, the context of the manuals, I believe they
16 say there are five volumes in the introduction but there are
17 only four. We have made some revisions and that will have to
18 be corrected, too. Volume I covers general basic material
19 that most security people should know. Some of it may not be
20 appropriate to your facility or to every person in the security
21 organization. Select from it to develop your basic training
22 program. Perhaps you will have more than one basic training
23 program depending on how your security functions are struc-
24 tured.

25 Comments received indicate that some of the basic

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1 training plans are inappropriate and unnecessary. For example,
2 a commentator said a guard does not need to know anything about
3 such things as the objectives of the adversaries, the role of
4 private security officer in the criminal justice system, or
5 the growth of private security in the nuclear industry to
6 carry out his security duties. While this may be true in the
7 strict sense, a person who has some of this background infor-
8 mation has a better understanding of why the security job he
9 is doing is necessary. This, in turn, should result in a de-
10 sire to do a better job in the assigned tasks. Again, these
11 lesson plans are not required but are given as suggested plans.
12 You do not have to use them.

13 Volume II covers more basic material on more specific
14 topics. Again, select appropriate to your site security pro-
15 gram.

16 Volume III is set to cover advance training. This
17 may be misleading. It is advanced in that it is more specific
18 than basic and is intended to advance the training to site
19 specific topics. In any case, the intent is to provide guid-
20 ance in developing training plans tailored to specific sites.

21 Volume IV covers weapon training and qualification.
22 Again, you would select those parts appropriate to the weapons
23 your people would have available to them. Mr. Case pointed
24 out you would not necessarily use all of the weapons identified
25 in Appendix B.

1 In summary, let me repeat. This manual is not a
2 requirement, these manuals, but are intended to provide infor-
3 mation. You will note times specified in the lesson plans.
4 These are suggested times. The course work may take longer or
5 not as long depending on the class, the instructor, previous
6 training, experience, and so forth. In fact, if the security
7 personnel are already skilled and knowledgeable in their func-
8 tions as can be shown by tests and demonstrations, training is
9 not needed at all. Prior training or military training would
10 reduce or eliminate the need for additional training. This
11 document might not be needed at all or only selected areas
12 not covered by other training such as site specific procedures.

13 Reg guide 554, changing from guard training to con-
14 tingency plans now, I won't say anything about the regulation
15 on the contingency plan, itself. It is published. It is a
16 final regulation and you've all read it in the Federal Register.
17 Reg guide 554 is intended to provide a regulatory position on
18 what your contingency plans should contain and the format.
19 This is a little different than the new reg document. It does
20 contain a regulatory position. Jack Roe is going to go into
21 details of the contingency plan and explain these various
22 contents to you. I won't do that. I will simply tell you the
23 status of this guide.

24 It was published for comment in March. We have re-
25 ceived very few comments, two utilities and two individuals

1 have commented on the guides. In general, they were concerned
2 with the redundancy of the contingency plans with the physical
3 protection plans and the need for controlling access to the
4 information contained therein.

5 We do not expect, as you will be told later, that
6 the contingency plans be redundant to the physical security
7 plans and we are also looking at ways to control the informa-
8 tion. None of the comments received are considered to call
9 for revision to the guide right now. We will wait until we
10 have had some experience with this guide before we consider
11 changes.

12 In the meantime, if any of you have any comments
13 of Reg Guide 554, please send them to us.

14 One other item, which is not really a subject for
15 this meeting but which many of you are interested in, is the
16 material access authorization program commonly known as the
17 clearance program. As you know, we had hearings in July.
18 The hearing board has been considering the testimony given at
19 that hearing. Final testimony was submitted by various parties
20 on September 1. The Commission asked the hearing board to
21 make recommendations to it and to present a schedule of when
22 they would have those recommendations.

23 At prior meetings I estimated that the hearing board
24 would present their findings to the Commission a little opti-
25 mistically. I found out yesterday their schedule calls for

1 them to submit their recommendations to the Commission by
2 December 31, so it will be next year before we find out really
3 what is happening on the clearance program.

4 Thank you.

5 MR. MILLER: I think I failed to mention it is
6 probably best if we hold questions until everyone gets
7 finished and we get essentially everything we have to say and
8 then we will go into essentially your part of the meeting and
9 open up for questions.

10 At this time I'd like to change the agenda a little
11 bit and ask Mr. Jack Roe to discuss with you the contingency
12 plan. Jack.

13 STATEMENT OF JACK ROE

14 MR. ROE: During this period I am going to discuss
15 the contingency planning rule. I shall discuss the content
16 requirements of the plan, the plan's relationship with guard
17 training qualification requirements and the methods of submit-
18 ting your contingency plan.

19 I'm going to point out that the contingency plan and
20 the guard training qualification plan are closely related and
21 that an integrated approach to both of these plans result in
22 a substantial reduction and effort.

23 I also want to point out that much of the information
24 and data required for contingency planning is contained in your
25 physical security plan and other security related documents

1 that are at the site.

2 The contingency planning rule requires five cate-
3 gories of information in each safeguards contingency plan.
4 These five categories of information are background, the
5 generic planning base, the licensee planning base, the
6 responsibility matrix, and procedures. Although the procedures
7 are a culmination of the safeguards contingency planning pro-
8 cess and an important part of the plan, they should not be
9 submitted to the Commission for approval. The procedures will
10 be inspected by a member of the NRC staff on a periodic basis.
11 This periodic inspection will affirm that the procedures re-
12 flect the information contained in the responsibility matrix.

13 The first category of information is the background
14 section. This section identifies and defines the potential
15 dangers in incidents and describes the general ways the plan
16 will deal with them. The background section will have at
17 least four topics, perceived danger, purpose of the plan,
18 scope of the plan, and definitions. The perceived danger is
19 a statement of the perceived danger to the security of special
20 nuclear material, licensee personnel, and licensee property.

21 The statement contained in 7355-A will suffice in
22 this area. Statements of perceived danger that are less than
23 those contained in 7355-A will not be acceptable.

24 The purpose of the plan is the discussion of the
25 general aims and objectives of the plan. The scope of the

1 plan is discussion of the types of incidents covered in the
2 plan. A list of those contingencies covered in the plan
3 should be placed here. Definitions is a list of terms and
4 their safeguards meanings used in the plan.

5 The next category of information is the generic
6 planning base. This chapter identifies the events that signal
7 the start of a safeguard contingency and it also identifies
8 the objectives determining the safeguards contingency. In
9 addition to events and contingency objectives the chapter
10 should include decision actions to be followed when a con-
11 tingency situation develops and the chapter should contain
12 the data required to effect these decision actions.

13 The objectives should specify your goal to effective-
14 ly satisfy the contingency situation and each one of these
15 objectives should be achievable. They should be clearly identi-
16 fied and they should be measurable.

17 The next category of information is the licensee
18 planning base. This chapter contains site specific information
19 used in contingency planning. The following topics should be
20 included, organization structure, physical layout, safeguard
21 system hardware, law enforcement assistance, policy constraints
22 and assumptions, and administrative and logistical considera-
23 tions.

24 Your physical security plan may contain much of this
25 information already. Let me discuss briefly each one of these

1 topics. The organization structure should delineate the
2 organization, the chain of command, and the delegation of
3 authority. Also it should contain minimum strength size.

4 Physical layout should describe the site and the
5 nearby features. Particular emphasis should be placed on law
6 enforcement routes, location of control points, and location
7 of safeguards hardware. Safeguards system hardware should
8 describe all equipment available for safeguard contingencies.
9 This topic should address, at least, communication, intrusion
10 detection, surveillance, locks, weapons, and vehicles.

11 Law enforcement assistance. This section should
12 list each separate law enforcement agency that may provide
13 assistance. This section should provide a description of
14 their response, capabilities, and a discussion of your working
15 agreement with each agency.

16 Policy constraints and assumptions should discuss
17 state laws, local ordinances, company policies and practices
18 that may govern your response to safeguard contingencies.
19 This section may discuss such constraints as the use of dead-
20 ly force in jurisdictional boundaries.

21 Next, administrative and logistical considerations.
22 This section should describe your practices that may influence
23 response to security contingencies. This section should high-
24 light the procedures to keep all safeguard systems operable
25 and a method employed by you to assure that all security per-

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1 sonnel are current with the present plan, recent changes,
2 present procedures in the general security situation at the
3 site.

4 The next category of information is the responsi-
5 bility matrix. This section should be an array of information
6 for each safeguards event. Each array should identify the
7 responsible individual and their decision actions. This array
8 should display on a single chart or a group of charts depending
9 on the size for each event all decision actions and the
10 responsible person.

11 The responsibility matrix should provide an overall
12 picture of response actions and their interrelationships.

13 The last category is procedures. The procedures
14 should provide clear concise direction for the execution of
15 the responsibility matrix. The responsibility matrix may meet
16 the requirement for some procedures and this should be stated
17 in the procedure section. Again, procedures are not submitted
18 with the plan.

19 I'll explain the basic relationship between the con-
20 tingency plan and the training and qualification plan. As
21 will be discussed in this session on training and qualification,
22 security personnel must be trained and qualified to perform
23 critical security tasks. Contingency plan identifies potential
24 events that must be planned for. These events require the
25 execution of certain decision actions to meet the objective

1 of the security contingency. The events for safeguards con-
2 tingencies are the same as the events to be considered in con-
3 tingency related guard training. The decision actions are the
4 tasks. The objectives of the contingency plan relate directly
5 to qualification objectives in training plans.

6 The responsibility matrix is directly related to
7 the duty summary section.

8 The contingency plans require identification of
9 events, decision actions, and objectives, and the training
10 qualification plan prepares the guards to resolve these inci-
11 dents. Therefore, one set of events, tasks, objectives,
12 can be developed to meet both of the requirements in each of
13 the rules.

14 The contingency rule requires that the plan identify
15 those events that will be used for signaling the beginning of
16 aggravation of the safeguards contingency. These events are
17 the same as the cues to be mentioned in guard training quali-
18 fication. The event is what an individual sees, hears, reads,
19 or perceives, that signals him that there is a threat to the
20 site. In cases where the response is the same for several
21 events, the event should be grouped under a single event or
22 event description. Care must be taken to select an event
23 description that indicates what events are covered. Every
24 attempt should be made to reduce to a minimum the number of
25 event categories covered by different responses.

1 As pointed out in new Reg 219, recognition of
2 the proper reaction to certain events can be critical. For
3 example, recognition of an actual covert intrusion can be
4 very important to your site security. Therefore, recognition
5 and reaction to these critical cues identified in the contin-
6 gency plan should be tested as part of the qualification re-
7 quirements for security personnel.

8 The rule requires that decision actions and support-
9 ing information needed to bring about a successful response
10 be identified. These decision actions are the critical tasks
11 that are performed when dealing with the contingency. There-
12 fore, the decision actions and the contingency related tasks
13 in the training qualification plan should be the same, al-
14 though some minor differences in format may be required since
15 the task statement does not indicate what will be done.

16 The staff feels that the decision actions or tasks
17 should be straight forward. It is unlikely the guards will
18 have available or will have time to follow detailed written
19 procedures during a fast break in emergency. There are two
20 types of decision actions or tasks. Some can be performed
21 successfully even if the individual takes time to look up
22 and follow written procedures while other cannot. They require
23 immediate action based on training qualification. Therefore,
24 time delay tolerance should be taken into consideration when
25 developing contingency procedures in performance objectives

1 used for personnel qualification.

2 Contingency plan rule requires definition of specific
3 objectives to be accomplished relative to each event. These
4 objectives are indicators of the site's ability to respond
5 successfully to an event. For example, it would be impossible
6 for a site to test its ability to respond to an actual attack.
7 However, demonstratable objectives could be set that indicate
8 that a site can repel an attack such as response time to any
9 point on the site or the time required to request off site
10 law enforcement assistance. The objectives, therefore, should
11 be demonstratable. They should be achievable. They should be
12 measurable, and an indicator of the site's ability to react
13 to an event.

14 This rule also requires that as a part of the audit
15 procedures that the tests of safeguards systems be performed
16 yearly.

17 The contingency objectives will set the acceptable
18 level for performance of these tests and drills. They will be
19 defined what must be demonstrated to pass the drill.

20 A few more words about audit and test of the con-
21 tingency plan. It should be noted that it is 7340 that re-
22 quires the audit and test of the contingency plan and not 7355.
23 Part 7340 states, and I quote, "The licensee shall provide
24 for the development, revision, implementation, and maintenance
25 of a safeguards contingency plan. Licensees shall provide for

1 a review at least every 12 months of the safeguards contingency
2 plan by individuals independent of both security program,
3 management, personnel who have direct responsibility for im-
4 plementation of the security program. The review shall include
5 a review and audit of safeguards contingency procedures and
6 practices and audit of the security system, testing in main-
7 tenance program, and a test of the safeguard system along
8 with commitments established for response by local law en-
9 forcement authorities.

10 "The results of the review and audit along with
11 recommendations for approval shall be documented and reported
12 to the licensee's corporate and plant management and kept
13 available at the plant for inspection for a period of two
14 years," unquote.

15 As will be discussed, the qualification plan re-
16 quires that for each critical security task performed, that
17 a performance objective be established to test the ability
18 of the individual to perform that task. As we have seen, the
19 contingency plan requires that objectives be established to
20 test the ability of a site to respond to events. Sites re-
21 sponse is no more than the correct performance of decision
22 actions or tasks by each responsible individual. It is ob-
23 vious, therefore, that the qualification plan performance ob-
24 jectives and the contingency plan objectives must be compati-
25 ble and in many, many cases the same. If the objectives are

1 the same to meet the requirements for a qualification per-
2 formance objective, correct performance can be demonstrated
3 at the same time during the yearly drill or test required by
4 the contingency plan.

5 The rule requires that for each event a tabulation
6 shall be made for each response entity or duty assignment de-
7 picting the assignment responsibility for all decision actions
8 which are tasks to be taken in response to an initiating
9 event. This is the chart that shows for each event what duty
10 assignment performs the critical contingency task. The
11 responsible matrix is a counterpart in the training and
12 qualification plan to the duty summary section that will be
13 discussed.

14 The duty summary and responsibility matrix will be
15 checked during our review for compatibility.

16 The responsibility matrix should contain the same
17 decision actions identified in the generic planning base.
18 Every attempt should be made to keep the different responses
19 and tasks to a minimal.

20 Next I'm going to describe the different approaches
21 to submittal of contingency plans. There are basically three
22 approaches to submittal of contingency plans. First of all,
23 a self-contained plan. Second, reference to physical security
24 plan and, third, to revise the physical security plan.

25 The first approach is to submit a contingency plan

1 that is self contained and does not reference any other
2 documents such as the physical security plan. This plan
3 shall include the five categories of information required by
4 the rule with the procedure section kept of the site.

5 A second method of meeting the contingency plan
6 requirement is suggested by the rule. The rule states, quote,
7 "The extent that the topics are treated in adequate detail
8 and the licensees approve physical security plan, they may be
9 incorporated by cross reference to that plan," unquote. This
10 method will require the contingency plan to be prepared as
11 outlined in Regulatory Guide 554 that allows referencing of
12 the physical security plan in the licensee planning base
13 section. If this approach is followed, an extensive revision
14 to Chapter 8 of the physical security plan will still be re-
15 quired to make it compatible with the contingency plan that
16 you submit.

17 The third approach is to revise the physical security
18 plan. This will require rewriting Chapter 8 of the physical
19 security plan to follow the format shown in Regulatory Guide
20 554 and to include the background, the generic planning base,
21 the responsibility matrix that is required by the rule. The
22 information required in the licensee planning base will be
23 incorporated into the plan by revision and additions to the
24 appropriate sections of your previously submitted physical
25 security plan.

1 This is the conclusion of my discussion on con-
2 tingency planning. The summary shows the topics that we have
3 covered.

4 (The document referred to follows:)

5 COMMITTEE INSERT
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1 MR. MILLER: With that we would like to get into
2 guard training, which will take the better part of the meeting,
3 to introduce you to guard training rule and make some general
4 statements. I introduce Mr. Frank Pagano. Frank is the chief
5 of the Reactor Safeguards Development Branch. Frank.

6 STATEMENT OF FRANK PAGANO

7 MR. PAGANO: Good morning.

8 Gentlemen, during the next few minutes I am going
9 to discuss how NRR came to select the approach outlined in
10 NUREG 219 for implementing the training and qualification
11 requirements in Appendix B. But the basic reasons as to why
12 we adopted this approach is as shown on this view. First,
13 it assures that the site security staff can successfully im-
14 plement their physical security and contingency plan and,
15 secondly, it is compatible with federal and state regulations.

16 Now, over a year ago NRR started its search for an
17 approach for determining the adequacy of training. We reviewed
18 the existing literature on training program development, dis-
19 cussed the issues with organizations with similar problems,
20 talked with other federal agencies who have experienced regu-
21 latory responsibility in the areas of training, personnel
22 selection, such as the Department of Labor, Civil Service Com-
23 mission, Equal Opportunity Commission. Then we reviewed the
24 comments received in address of Appendix B in NUREG 219 and
25 discussed these issues at length with the NRR staff.

1 Traditionally the NRC and the security industry
2 have discussed training and qualification in terms of complet-
3 ing course work on various subjects. However, our experience
4 to date uncovered the fact that the course outline approach
5 provides no guarantee that an individual can, in fact, do his
6 or her job. It identifies the content to be learned or trained
7 but it does not establish what the trainee is able to do upon
8 completion of the course.

9 The course outline may suggest that guards and
10 watchmen complete 50 hours of course work but what has to be
11 known is what can this security person do after completion of
12 this training. For example, can he or she respond to an alarm
13 in accordance with the site contingency procedures? Do they
14 know how to support a suspicious event or how to detain a sus-
15 pect? The basic questions are what standards must the trainee
16 meet and are these standards compatible with the site plans.
17 Is the individual being adequately trained and evaluated of
18 the truly critical parts of his job? We feel that the course
19 outline approach does not answer these questions. The question
20 that all of you are asking is why did the NRC publish its up-
21 graded training and qualification requirements. The answer
22 is simply that the NRC determined that it needed assurance from
23 the people who perform the critical security tasks at the site,
24 can perform them adequately. Therefore, our regulatory ap-
25 proach was designed to answer the question, can this individual

1 do his job. Such questions as how much training has this
2 person received or what courses has he attended do not really
3 tell us anything about the successful performance.

4 We are interested in the ability of the person to do
5 the job to which he or she has been assigned and not neces-
6 sarily how this ability was developed.

7 Now, what is the solution. How can it be determined
8 that an individual can satisfactorily perform his or her
9 security duties. We found the solution that is well developed
10 and widely used and it's currently being used by all of the
11 Armed Forces, by many police organizations, and in every
12 imaginable occupation for p security to carpentry.

13 Briefly stated, you must analyze the individual's
14 job to determine what that individual must be able to do to
15 successfully perform the job. That is, you conduct an analysis
16 to determine what tasks are required to implement the site
17 physical security and contingency plans.

18 Next you outline in the form of a performance ob-
19 jective how the ability to perform these tasks is demonstrated.
20 This objective outlines the test to be given to each individual.

21 Finally, personnel are then qualified to perform
22 their tasks by successfully achieving these objectives. For
23 example, your site contingency plans may require the use of
24 night vision equipment during a contingency. Therefore, the
25 site training and qualification plan should identify who would

1 use the equipment, what tasks he would have to perform, and
2 how he must demonstrate this proficiency. NUREG 219 formalizes
3 this approach.

4 On July 5 of last year the Commission published
5 draft requirements for upgraded guard training for comment.
6 This was the first draft of Appendix B and consisted of train-
7 ing courses requiring over 150 hours of instruction. In ad-
8 dition it required that all individuals taking these courses
9 pass the test on the material, making at least a 70 per cent
10 score. Many NRC licensees who commented on that document
11 pointed out that these requirements do not comply with EEOC
12 guidelines on testing and selection which require that any
13 discriminatory requirements must be shown to be valid indi-
14 cators of an individual's ability to do his or her job. In
15 other words, it must be shown in a particular test score that
16 will indicate that the examinee can or cannot do the job.
17 This can be accomplished by requiring that the test represents
18 samples of knowledge, skill, or ability necessary to do the
19 job and for the most part this can be accomplished by develop-
20 ing tests that are miniature samples of the job. For example,
21 implementation of a site contingency plan may require the
22 guard to respond to any point on site within three minutes of
23 notification. A valid obvious test of this ability is simply
24 to simulate the sounding of an alarm and see if that individual
25 can respond within three minutes and so on.

1 Now, the EEOC guidelines point out that in order
2 to develop tests that are valid, you must first conduct a job
3 analysis to determine what makes up the job and based upon
4 this information develop tests that test the knowledge, skill,
5 and abilities identified during the job analysis. This is
6 exactly what will be accomplished when training and qualifica-
7 tion programs are developed as we have outlined in NUREG 219.
8 You must first conduct the job analysis and based on this
9 analysis develop performance objective that outlines valid
10 tests of the knowledge, skills, and abilities that have been
11 identified.

12 We can now see that the approach we have outlined
13 in NUREG 219 does two things for us. First, it demonstrates
14 that the individual can perform his or her security duties
15 and, secondly, it allows the development of a training and
16 qualification plan that is compatible with the EEOC guidelines.

17 Your next speaker will be Tom McKenna from my of-
18 fice who will present this job analysis technique in much more
19 detail.

20 Thank you.

21 MR. MILLER: Before we talk about specifics, why
22 don't we take 15 minutes and get a cup of coffee or whatever
23 else you want to do. Coffee is in the coffee shop and the
24 other things are right on the other side of this wall. 15
25 minutes. Let's be back at 10:15.

1 Off the record.

2 (A short recess was taken.)

3 MR. MILLER: On the record.

4 We would now like to get a little more specific.

5 We have talked enough in generalities. When Mr. McKenna gets
6 through, I hope you are a lot more educated than I still am
7 and I've heard it four or five different times. I'm sure
8 with your background you will understand some of the words
9 and I think Tom explained a lot of them. With that let me
10 introduce to you Mr. Tom McKenna. Tom is in the Reactor
11 Safeguards Development Branch and the individual that has been
12 working on 219. Tom.

13 STATEMENT OF THOMAS MC KENNA

14 MR. MC KENNA: Hi. Good morning.

15 As Jim just said, I work in the Reactor Safeguards
16 Development Branch, and I work for Frank Pagano, who is my
17 boss. I'm going to try to briefly explain how you can use job
18 analysis and performance objectives to meet the qualification
19 and training requirements contained in Appendix B. When I
20 talk about job analysis and performance objectives I essential-
21 ly mean the brand of job analysis and performance objectives
22 outlined in 219. We will talk about that.

23 I am not going to try to discuss all of the require-
24 ments in Appendix B. I'm not going to talk about the selection.
25 I'm not going to talk about the physical requirements, the

1 mental requirements, the equipment requirements. I am going
2 to concentrate on qualification and training.

3 Now, everybody keeps talking about 219. Some of you
4 may not know what 219 is. This is it (indicating). What it
5 is is an attempt by the staff to define terms, explain the
6 approach, and give an example to help you in developing of
7 your plans. Here again, these are suggested approaches. It
8 has been mailed out, once copy to each licensee and applicant.
9 The rule also states that you can get another copy by writing
10 us and copies can be bought from NTIS. If anybody needs the
11 address or anything, I've got that.

12 Next slide, please. Let's start with qualification
13 requirements in Appendix B and those are contained in two
14 paragraphs. Next slide, please. The first paragraph is
15 paragraph 2-B of Appendix B which is qualification requirements.
16 I hate to do this but I'm going to read and quote from the
17 rule. I quote, "Each person who performs security related job
18 tasks or job duties required to implement the licensee's physi-
19 cal security or contingency plan shall prior to being assigned
20 to such tasks or duties be requalified in accordance with the
21 licensee NRC approved training and qualification plan."

22 The second paragraph I'm going to quote from is
23 paragraph 2-D and this is found in security knowledge, skills,
24 and abilities. Again I quote, "Each individual assigned to
25 perform security related tasks identified in the licensee's

1 physical security or contingency plan shall demonstrate the
2 required knowledge, skill, and abilities in accordance with
3 the specified standards for each task as stated in the NRC
4 approved licensee training and qualification plan." Now, one
5 of the key ideas in these two paragraphs, first, personnel
6 must be qualified to perform their assigned tasks and duties.
7 Now, this is--I'm sorry. Let me have the next slide.

8 These are the site's specific tasks and duties as-
9 sociated with the implementation of your site's plans. The
10 second idea is that this qualification is done by demonstrat-
11 ing, by having them demonstrate, the knowledge, skill, and
12 ability required to perform these tasks and abilities and,
13 thirdly, this demonstration must be done to standards speci-
14 fied in your plans.

15 Now, 219 formalizes this process and it does it
16 based on job analysis of performance objectives. Basically
17 we use these approaches because they are well understood and
18 there is much work that has been done in these areas with a
19 lot of references available. In recent years it has become
20 even more popular although it has been around for years and
21 this recent popularity has been driven by EEOC, I believe,
22 probably even more than any other group since their guides
23 actually requires such type of analysis.

24 It's a good point I think to note that the level of
25 detail required or demonstrated and recommended in 219 is not

1 consistent with the level of detail normally required by
2 EEOC or found in most of the literature. You can develop pro-
3 grams and plans that meet EEOC guidelines while meeting our
4 requirements by adding more detail and taking a more rigid
5 approach. I guess the thing to note is that our approach is
6 compatible with theirs. You can meet ours while meeting
7 theirs.

8 But we've decided on a specific level of detail that
9 meets specific needs and I'll define those needs in a few
10 seconds. Next slide, please.

11 To develop a plan that meets these requirements re-
12 quires three specific steps. First, you have to define what
13 is required, what duties and tasks are required to successful-
14 ly implement your physical security and contingency plans.
15 We don't want qualification programs done in a vacuum. We
16 want them to reflect the job at the site and the job at the
17 site is defined in your physical security and contingency plans.

18 Secondly, you have to outline the tests you will use
19 to show that the individuals can successfully perform these
20 tasks that have been identified during the first step. This
21 outline of the tests will be done in the form of a performance
22 objective and it should have two qualities. One, it should be
23 a valid test. By valid we mean it should be a true indicator
24 of the person's ability to perform the task being tested.
25 Secondly, it should be a reliable test and by reliable essen-

1 tially we mean that everyone should be tested the same way
2 to the same standards.

3 Finally, you qualify your personnel. The personnel
4 are going to be qualified to perform duties and here again I
5 will discuss this in a few seconds why we chose duties. This
6 qualification is done by having them successfully demonstrate
7 these performance objectives that are associated with their
8 assigned duties. You don't have them do anything outside of
9 what they are assigned to do in your physical security con-
10 tingency plans at your site. You decide what tasks they will
11 perform, lump them together into duties, and then qualify them
12 to perform the duties.

13 219 contains an example, Part 3. I have to stress
14 that that is all that is. It is a sample plan. It is pri-
15 marily or its main purpose was to define the level of detail
16 that we envision. We have gotten a lot of criticism in the
17 past. You know, you guys write regulations, you put out
18 guides, but you never show us what you want so we have to go
19 through three iterations just to find out what level of detail
20 we're talking about. That is what its primary purpose is, to
21 demonstrate that. A lot of work was put into it and we hope
22 that it can help you in developing of your plans, but you have
23 to conduct an analysis of your site to determine what is re-
24 quired. You can't base it totally on what is in that Part 3.
25 Next slide, please.

Let's look at the first step of that three-step process and, as we showed, it is job analysis. Job analysis is the process of analyzing the jobs at your site to determine what tasks, knowledge, and skills, and abilities are required to implement the plans, your site specific plans. The next couple of slides I show will show the relationship between duties, tasks, knowledge, skills, and abilities. Next slide, please.

I stress once again that it is the site's duty, the site's responsibility, to decide on this breakdown. These suggest demonstrations. These are examples. Let's take a look. In this case here (indicating) we have the job as a search watchman. Now, what is the job? Well, the job is everything the individual does at the site for you. It may include non-security functions. It may include any grouping of duties and tasks but that is what he is hired to do. So it's really not an appropriate level for you to develop qualification requirements and for us to review them because there is not really a direct relationship between the job and what an individual may be doing at any one particular time at the site.

The second level are duties so in this case we have a search watchman as the job and yet we have him performing two duties. We have him searching vehicles and we have him searching personnel. Now, what is a duty? The way we define a duty is whatever an individual is assigned to do during a

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1 specific shift on your duty roster, on the shift assignment
2 roster, and this is the level at which we suggest that quali-
3 fication requirements be established and demonstrated. The
4 reason we do it at this level is because there is a direct
5 relationship of what the individual is doing during a shift
6 at any one particular time with the duties. In other words,
7 he is assigned a duty for a specific length of time on the duty
8 roster and we can check to see if he is qualified to perform
9 all of the tasks associated with that duty, so there is a
10 relationship. For instance, I & E can go out and determine if
11 a person is qualified to perform a particular duty that he is
12 performing at a particular time on the site. The relationship
13 is clear.

14 Below duties we have tasks. Now, a task is what a
15 single individual does for a specific length of time. It is
16 measurable. It is achievable. It is observable. In this
17 case we have while he is performing the duty of searching per-
18 sonnel, he may have to perform the task of calibrating the
19 metal detector, communicating with the radio, or that is
20 probably all personnel at the site, all security personnel at
21 the site might have to, and recognizing unauthorized material.
22 If he is searching personnel, his purpose is to be able to
23 detect unauthorized material, he obviously has to be able to
24 recognize it. Finally, we have taking notes. The tasks, up
25 through tasks the identification is probably not going to be

1 too difficult. The next level is words which is really going
2 to get more difficult when we talk about knowledge, skills,
3 and abilities. But in 219 we talk about criticality. We say
4 that your plan should only identify those critical tasks that
5 cannot be considered universally performable. We put these
6 two bounds so that the plan wouldn't be massive and that we
7 wouldn't get a lot of paper that wasn't really important to
8 our analysis and our determination of whether your personnel
9 and your analysis of whether your personnel can adequately per-
10 form their jobs. So we said that you should only identify
11 the critical tasks and those that aren't considered universal-
12 ly performable.

13 Now, let me define criticality and I'm going to give
14 you the same definition that is in 219. "A task is considered
15 critical if its performance is essential to successful im-
16 plementation of the site's physical security and contingency
17 plan when needed even though it may not be performed frequent-
18 ly or is performed only during a contingency." Now, this is
19 the key part of the definition. "Inadequate performance of a
20 critical task impacts on the ability of the site to detect,
21 assess, respond to and neutralize an unauthorized activity."

22 Now, in this example here I included as one of the
23 tasks that this individual performs during his duty of search-
24 ing personnel as taking notes. Well, this is probably not a
25 critical task because if the person does not adequately take

notes, for instance, after something has happened, it probably does not directly impact on the ability of the site to respond, detect, assess, and neutralize. There are probably a lot of other tasks that belong in this area. Now, this determination is to a large extent going to be subjective and it will be an operation that will be performed by you in close coordination with the NRR reviewer who has intimate knowledge of your particular site.

Other examples are maintenance records. Now, we're not saying the personnel don't have to perform these tasks correctly or that I & E isn't going to go out to see that you keep the records correctly. What we're saying is don't include in your qualification plan that is submitted to us because we're trying to zero in on the truly critical tasks performed at the site and not every task performed at the site. Next slide, please.

This shows the total breakdown that must be identified during your job analysis. You have your job at the top and then you have your duties, in this case, searching personnel and searching vehicles. Next you have the tasks that are performed during performance of a specific duty, in this case we've broken down a few of the tasks that a personnel search officer may perform, for instance, calibration of the metal detector, communications with the radio, recognizing unauthorized material and conducting an unarmed defense.

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1 Next we have broken it down into elements. Now,
2 the term element as we use it, we mean the knowledge, skills,
3 and abilities required to perform the specific task. There
4 are other definitions but it's shorthand for knowledge, skill,
5 and ability in our case. In this case we say there are three
6 basic knowledges or abilities required to be able to recognize
7 unauthorized material and these are recognition of explosives,
8 explosive accessories are not what we have here, accessories,
9 and recognition of incendiary devices. This is probably the
10 most difficult step in the analysis as we see it. It should
11 be based on something. You should try to base your analysis
12 on either the expert and prior experience of your plant per-
13 sonnel in security or on various records that are available,
14 for instance, in the area of bomb threat, response. There are
15 tons of stuff available so I would hope that in taking this
16 final step that that sort of information is where the elements
17 are identified. Next slide, please.

18 Now, I've said that you conduct an analysis to
19 identify tasks, duties, knowledge, skills, and abilities re-
20 quired to implement your site's physical security and contin-
21 gency plans. Well, how do you do this? What do we mean by
22 analysis? This slide briefly shows what we think is required
23 to be our requirement. First, you conduct an analysis of your
24 site's physical security and contingency plans to identify the
25 tasks and knowledge, skills, and abilities required to imple-

1 ment them. You look at your plans. Now, to do that, two
2 steps, three steps. First, take a look at each paragraph of
3 your physical security plan and determine which tasks are
4 critical to implementation of that paragraph.

5 Secondly, take a look at the decision actions in the
6 responsibility matrix of your contingency plan. As Jack noted,
7 the decision actions in the contingency plans, first of all,
8 should be critical to response of that contingency. Other-
9 wise, they shouldn't be in the responsibility matrix and,
10 secondly, they may either be or be very closely related to the
11 tasks required to implement that response. So take a look at
12 each one of the decision actions in the responsibility matrix.
13 In many cases they may be the tasks.

14 Finally, I have security literature up here. This
15 is that final step of taking the tasks and identifying the
16 knowledge, skills, and abilities. Like I said, I think this
17 should be an abasement, you know, the expert opinion of people
18 at your site or various literature that is available.

19 Now, when--I've listed a few things that you should
20 look for when you're going through the paragraphs and when
21 you're taking a look at your decision actions in your
22 responsibility matrix. There may be others but here are some.
23 You should identify all of the critical tasks associated with
24 the use of security equipment, job aids, manuals. Now, a
25 piece of equipment that obviously has a critical task associ-

1 ated with it is weapons, but there are others, metal detectors,
2 et cetera, any of the physical security equipment that is re-
3 quired to implement your plans. You must identify which tasks
4 are critical to its successful use and the need should be
5 identified in your plant.

6 I have job aids up here. What is a job aid? An
7 example is some sites might prepare SOP cards, small cards
8 that personnel carry around and have at their particular site
9 that outline what they do on a specific incident. This is a
10 job aid. It requires that if its use is critical, here again,
11 to implementation of your plans, then that task should be
12 identified. As Jack noted, there are two basic types of tasks.
13 Some will allow time to look up, you know, go to a reference and
14 determine what you have to perform in the next step. Some
15 don't and this should be reflected in your plans. For instance,
16 if an individual has time to look up the procedure, his ability
17 to look up and respond to that procedure should be tested. We
18 can't assume that he understands just because it is written
19 down actually how to perform that. There are other tasks that
20 he does not have time to look up a procedure and, if that is
21 the case, then he has to have the knowledge and be able to
22 respond, here again, without using, for instance, a job aid
23 or a manual and manuals might be anything. In calibration of
24 the metal detector, if you're going to say that he is going to
25 use the manual, then your task would allow him to look it up

1 in the manual and use it but it should be demonstrated that
2 he knows how to follow the manual.

3 Next, critical tasks associated with implementation
4 of security procedures. For the most part most of the proce-
5 dures critical to the site are those found in your contingency
6 plan and as outlined in your responsibility matrix so that
7 personnel has to demonstrate their ability to perform these
8 procedures. There may be some other critical procedures, how-
9 ever, for instance, search procedures or the access control
10 points, sign-in procedures, bagging procedures, that could be
11 considered critical that are found in physical security plans
12 so don't forget those.

13 Next we have the physical abilities required to
14 perform critical security tasks. As Ralph mentioned earlier,
15 we have in the rule the requirement that personnel demonstrate
16 their physical ability to perform--the armed personnel have
17 the physical ability to perform their duties and that the
18 CAS operator demonstrate this ability to a practical examina-
19 tion. Your job analysis should identify what will form the
20 basis of this practical demonstration. You take a look at
21 their job and you identify what tasks they perform, what
22 maximum task, for instance, in the case of responding, running,
23 et cetera, and then that will form the basis of your practical
24 demonstration. The example that Jack gave was a classic CAS
25 operator who may not be required to walk so, therefore, that

1 would not be one of the physical abilities that he would have
2 to demonstrate. Another one is a response to an alarm. Armed
3 personnel may have to respond to any one point in the plant in
4 X number of minutes with all of his equipment. Your tasks
5 should identify that and when you test him, you have to test
6 him with his ability to respond with his equipment because
7 that is a condition under which he is going to do it in the
8 real world.

9 Finally, I have the knowledge required to perform
10 critical tasks. It's obvious if he has to have a particular
11 hunk of knowledge at the time the thing is required and he has
12 to know something to be able to correctly respond, then your
13 particular task should identify this. Next slide, please.

14 Now, how do we summarize? You conduct this job
15 analysis at your site to determine your site requirements.
16 How do you summarize the results? What piece of paper do you
17 produce and submit as part of your plan that, here again, sum-
18 marizes the results of this analysis? Well, we suggest three
19 summaries. We suggest the task identification summary, a task
20 duty summary, and a duty description. Next slide, please.
21 I'll talk about each one.

22 This is the task identification summary. Remember we
23 stated that you conduct an analysis of your physical security
24 and contingency plans to identify the critical tasks. Well,
25 this shows that relationship and ensures that the critical task

1 has been identified for each paragraph. What it shows is how
2 the particular task relates to the paragraph in your physical
3 security plan for the event in your contingency plan. The
4 first example is communicate with a radio. Most plans--these
5 numbers, by the way, came from NUREG 20. Most plans in para-
6 graph 1.4.5.C states that all personnel have to have avail-
7 able to them--all security personnel have available to them
8 a means of communications. In most cases this would be a radio
9 so, obviously, one of the tasks performed associated with that
10 paragraph is to be able to communicate with a radio.

11 The second task here is receive and react to a bomb
12 threat. While that is associated with event 12 and it's
13 probably obvious that event 12 is receipt of a bomb threat
14 so the personnel has to know how to perform that task which
15 is how to properly receive and react to a bomb threat. Next
16 slide, please.

17 So the first one shows the relationship of the tasks
18 with the plans. Now, we said earlier that we want people to
19 be qualified to perform duties, so now we have to show the
20 relationship of tasks with duties and that is what this chart
21 does. I'm going to walk over there. I think I have to point
22 this out. It is a little hard to see so I'll talk up.

23 I can say here we have CAS operators. That is a duty
24 assignment and we have patrol which is also a duty assignment.
25 This matrix shows the relationship of the task with the as-

1 signments. Now, we have the task, investigate a suspicious
2 person or event. Well, the CAS operator won't have to do
3 that during the performance of his duties so it's not indi-
4 cated. While the patrol guard will have to do that routinely,
5 it is indicated. What we're saying again is that this demon-
6 strates which task the person has to be qualified to perform.
7 Next slide, please.

8 And, finally, we have a duty description. This is
9 where you summarize in one place the results of the job anal-
10 ysis. It shows the title, a summary of what the individual
11 has to do, the equipment he is going to use in performance of
12 this duty. This is probably the only place where actually
13 all of the equipment an individual has to use in the performance
14 of a duty is summarized. What references he has to be able to
15 use and we mean here if you show a reference that means the
16 person has to be able to go to that reference, read the refer-
17 ence, and be able to, you know, follow the instructions found
18 in that reference.

19 What supervision he receives and gives. The next
20 slide, please. Now, we completed the first step. We have com-
21 pleted the analysis. We have identified the task, knowledge,
22 skills, and abilities required and we've documented them with
23 the use of the three summaries. The next step is to develop
24 a test to test the person's ability to perform these tasks and
25 duties and we use performance objectives to do this. The

1 next slide, please.

2 Now, remember earlier I stated our performance ob-
3 jective is designed to supply certain information to the NRC
4 and to you and these are the basic items of information we
5 hope it supplies. (1) It naturally should indicate that you
6 are going to have a valid test of the knowledge, skill, and
7 ability required to perform the task. Secondly, it tells the
8 examinee the standards he has to maintain. Some people think
9 this is a little foreign. It's like giving the test to the
10 guy who has to take the test. Well, our performance objective
11 is not exactly the test. If you're going to give a written
12 test, your performance objective would not be that written
13 test. It would just be an indicator that you're going to give
14 a written test. But the examinee ought to be able to go to
15 the performance objective and see basically what is going to
16 be required of him in an outline fashion. We will talk about
17 it in a minute. It tells management, shift supervisors, what
18 standards he has to maintain. It defines how the site is going
19 to be tested by I & E. The rule says that at the request of
20 an authorized representative of the Nuclear Regulatory Com-
21 mission, the site has to be able to demonstrate the ability
22 of their personnel to perform their security duties. Well,
23 this demonstration will be done in accordance with the per-
24 formance objectives associated with those tasks and duties
25 being demonstrated as outlined in your approved physical

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1 security plan. Finally, it supplies enough information to
2 assure the NRC reviewers that these are adequate tests of
3 tasks being performed. The next slide, please.

4 This just shows the total relationship. Next slide,
5 please.

6 Now, performance objectives should have two quali-
7 ties. It should be a valid test and it should be a reliable
8 test. Now, we think the most practical way to develop a valid
9 test is to have the test a mini sample of whatever you are
10 testing. If the individual, for instance, is being tested
11 on their ability to respond to an alarm, then you have them
12 demonstrate their ability to respond to an alarm. The example
13 is given that if you're testing a person's ability to type,
14 then you give them a typing test.

15 Secondly, it has to be a reliable test. That is,
16 everybody should be tested the same way, the same standards.
17 Now, to ensure that the test is reliable and valid we ask
18 that the performance objective supply information that states
19 two things. (1) States the conditions under which the test
20 is given and states the standards to which the individual is
21 being tested. The next slide, please.

22 Let's look at the condition part of the performance
23 objective. You have to state the conditions. Otherwise, how
24 can you have a reliable test because each person could be
25 tested under different conditions. Secondly, the condition

1 statement ensures that this will be a mini sample or valid⁵² test.
2 In other words, you state the conditions. We take a look at
3 it and say, yes, if he can perform that task under those con-
4 ditions, it is a realistic test of his ability to perform
5 that task under site specific conditions that might be en-
6 countered. The next slide, please.

7 So now let's take a look at a sample performance
8 objective. It is the first time you've seen one. We have the
9 task up at the top and then identified three elements. In
10 this case the task is use and calibrate a hand held metal
11 detector and the elements are know the procedures for cali-
12 brating a hand held metal detector, use it, and, finally,
13 know the procedures to be followed if you find some unau-
14 thorized material while using it.

15 Now, this performance objective is going to test
16 the ability to perform the last two elements. You can lump as
17 many elements as you like or tasks under one performance ob-
18 jective but the criteria is you have to be able to observe and,
19 here again, certify that the person successfully performs the
20 objective or successfully performed all of the elements. So
21 if you lump too many of them together in one point, they're
22 going to start getting hidden in the crowd. So that is the
23 criteria there. In this case the performance objective says
24 given an exercise with the plant hand held metal detector and
25 individual two hidden metal objects of the size described in

1 the NRC review guidelines. They could have said as described
2 in your site procedures if you wanted. It doesn't make any
3 difference.

4 So the individual being tested is going to be given
5 the use of his metal detector and he is going to be given this
6 guy, girl, who has two hidden metal objects of that size as in
7 that review guideline. Next slide, please. So now we saw
8 what the condition statement looks like. Next we have the con-
9 dition, the criterion statement. This tells how well the guy
10 has to be able to do to successfully perform that objective.
11 It sets minimum standards. That is critical. Set minimum
12 standards. Do not try to set standards that, for instance,
13 eighty-five per cent of seventy-five per cent of your people
14 should pass or a class. Set minimum standards. Set the
15 standards that if they perform below these standards, then it
16 will impact on the ability of your site. I realize this is
17 another subjective judgment. Next slide, please.

18 Let's take a look at this. The -- performance
19 objective. We've given the individual an exercise and here I
20 mean a practical exercise. He is given the use of a hand held
21 metal detector which is used at the site and individual two
22 metal objects. What is the criteria? Well, using that he has
23 to locate the two metal objects within a certain span of time
24 and has to alert the patrol guard, you may call him something
25 else, but alert the guard at that post in accordance with the

1 site's procedures. It tells us exactly what this person has
2 to be able to do to implement, to successfully pass this
3 performance objective. This criteria should--you can state,
4 for instance, like in accordance with site procedures, but
5 you have to show some care so that when the reviewer here re-
6 views your objective, he has sufficient information so that he
7 knows what this individual is going to have to do. In this
8 case it is very clear what has to be done but if you just say
9 that he is going to respond in accordance with site procedures,
10 that may be meaningless. You have to provide enough informa-
11 tion in your objectives so it indicates to the reviewer what
12 is required.

13 One point I think should be noted is that a lot of
14 this testing or objectives, performance objectives, can be
15 done during the routine performance of duties. You could not
16 have a better test than having the person successfully per-
17 form a duty routinely at the site. So if, for instance, an
18 individual has to routinely contact the site's local law en-
19 forcement in accordance with specific procedures, then that
20 could meet a performance objective associated with the ability
21 of the individual to do that duty and it can be demonstrated
22 during routine performance. You don't have to cut it out and
23 have specific testing periods. Next slide.

24 The final step is qualify the individual. As I just
25 said, this could be done during routine performance. It can

1 be also done during an annual audit of your contingency plans.
2 It says you have to demonstrate the ability to implement your
3 contingency plans. This requires the individuals to demon-
4 strate the ability to perform those decision actions in the
5 contingency plans. These decision actions in many cases will
6 be the tasks. So, therefore, if properly structured, you can
7 conduct your annual requalification during this annual audit.
8 Next slide.

9 How do we document qualification? Well, we came up
10 with a suggested method. We suggest for each task that an
11 individual has to perform that you note the date in which the
12 performance objectives associated with that task were com-
13 pleted. Notice that we've changed this from the performance
14 objective level up to the task level. Next you have the indi-
15 vidual sign that, yes, he successfully performed that and you
16 have the examiner sign, yes, he successfully demonstrated.
17 Next slide.

18 One thing about qualification I forgot to mention
19 was that you do not have to keep the detailed materials used
20 during demonstration at your site to acutally complete it.
21 For instance, if a performance objective states that he is
22 going to complete successfully that demonstrates a certain
23 knowledge by stating the following X number of things on a
24 written test, for instance, that specific written test used
25 does not--his completed test, does not have to be maintained

1 at the site. You just sign off on the record that he com-
2 pleted that performance objective, but a sample test, in other
3 words, if you have 30 people take the same test, pull out one
4 and keep it or a blank one but the fact that all the other
5 people successfully completed the test, all that has to be
6 done is certify it on the record. The actual completed test,
7 the graded test, for each individual does not have to be main-
8 tained at your site.

9 Now, this just shows that there are other parts of
10 the requirements in Appendix B that can be met by a well
11 developed qualification plan. In other words, if you do a
12 good job analysis and develop good performance objectives,
13 you'll meet other parts of Appendix B. 219 indicates this
14 also. But just quickly, the education development. We state
15 that a person should have a high school diploma or demonstrate
16 the reasoning, mathematical, and language skills required to
17 do his job. Well, naturally that requires two points. One,
18 you have to decide what those are and then you have to set
19 some sort of test which is a performance objective. So a good
20 qualification program takes care of that.

21 Physical fitness, we mentioned this already. We have
22 to have a practical test to demonstrate physical fitness for
23 armed and CAS operators. This is done by a good job analysis
24 and performance objectives. Next slide.

25 Next, qualification requirements. That is obvious,

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1 knowledge, skills, and abilities. Maybe not so obvious.

2 Knowledge, skills, and abilities, that paragraph in the rule
3 has 100 items that says something to the effect you should
4 consider these or whatever. I don't know what it is. Don't
5 worry about it. You conduct your job analysis and that will
6 meet that requirement. Don't try to relate what you're doing
7 in your job analysis to those 100 items. You look at your
8 site and you decide what is critical.

9 Next, requalification. Weapons training and weapons
10 requalification, when you think about it, weapons qualification
11 is no more than a performance objective here again and a task
12 except in this case we've taken out one task that people think
13 is more critical than others and specifically identified it
14 and that is the useful weapon. Next slide, please.

15 Let's talk about training and we are just going to
16 do this briefly. Our whole approach concentrates on qualifi-
17 cation and not training. In training we may have a little
18 broader meaning than is generally thought of. Training here
19 we mean it as how you bring this individual up to performing
20 where he can successfully perform his tasks. We don't care
21 how you do it. You can use formal training as outlined in the
22 lesson plans in the NUREG's. You can use some sort of a buddy
23 system. I think someone called it cubbing where you put one
24 individual who is not qualified along with an individual who
25 is qualified. They follow each other around at the site and

1 eventually the second individual becomes qualified. You can
2 hire people who already possess the necessary skills. You
3 probably have a lot of them already on the site so we're not
4 saying you have to send them back to training courses again.
5 If they can already successfully perform their duty assign-
6 ments and they do so and they demonstrate this ability by
7 successfully demonstrating these performance objectives which
8 can be done during routine performance of their duties, then
9 that is all that is required. So, therefore, your training
10 plan or the submittal that you submit in response to your
11 Appendix B requirements does not have to include lesson plans,
12 hours of instruction, or instructor qualification.

13 People have asked is a program text, is the use of
14 a program text all right? Yes. Is the use of a computer
15 system? Yes. Is the use of the buddy system, OJT, to a
16 certain extent as long as you don't have somebody performing
17 your job for which he is not qualified, yes. Hiring somebody
18 who is already trained? Yes, it is all right.

19 To talk about the training manual just briefly,
20 here again, they contain information that may be helpful in
21 developing of a formalized training program but that type of
22 information is not required. You don't have to submit it.

23 I'd like to note one thing. 465 states in its
24 title that is concerned with transportation, don't ignore it.
25 Of the two manuals it was the only one that was developed based

1 on a job analysis performance objective approach and since
2 many of the tasks and objectives associated with protection
3 of transportation would be the same for a reactor site, it
4 probably has a lot of very useful information in it, so don't
5 ignore it. Don't just order one. Get that one. If I were
6 you, I would take a harder look at it then I would the first
7 one. Next slide.

8 So, in summary, the approach is site specific. For
9 that matter it demands site analysis. You determine what the
10 duty descriptions and tasks are. You determine what the
11 qualification standards are and how you're going to test it.
12 We review them for adequacy and, if we don't like it, you go
13 back and try again, but you determine. We're not setting
14 strict standards from this end.

15 You test your individuals to see if they can suc-
16 cessfully perform these particular tasks by successfully per-
17 forming the performance objective.

18 219 says that we're going to go out to the site and
19 test a few people according to your plan before we approve
20 a plan. We are not going to do it so that is a change in 219.
21 I think it is site visits. We may conduct some site visits
22 and someone else will talk about that, but they won't be to
23 test individuals.

24 Finally, you determine the most cost effective
25 method of bringing your personnel up to standards identified

1 in your plan. Thank you.

2 MR. MILLER: At this time I think we should continue.
3 You now have heard how to do this and you all are experts
4 which we will talk about in a minute but before we do that,
5 let me introduce Mr. Bob Clark who all of you know. Bob will
6 talk a little bit about schedules and how he intends to per-
7 form the reviews. Bob.

8 STATEMENT OF ROBERT CLARK

9 MR. CLARK: It's good to have this opportunity of
10 talking to you again. As Jim indicated, it has been my privi-
11 lege to meet with most of you at your sites or in Washington
12 in the past year and a half or so, 20 months perhaps, and I
13 think we have made a great deal of progress. So for the few
14 minutes I will speak to you today, I would like it if we
15 could have the first slide, please. I would like to discuss
16 the review schedule and some of the review procedures that we
17 foresee at this time for both the contingency planning require-
18 ment in Appendix C and for the training and qualification plans
19 in Appendix G. In addition to these two plans I'll also men-
20 tion some of the related features of amendments and fees.

21 Some of the milestones which we will talk about today
22 come directly from the regulations and you'll be familiar with
23 those and, as we look at the schedule for the contingency
24 plans, we are speaking now of specifically those for operating
25 power reactors. These are due on March 23, 1979. The con-

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1 tingency plans become effective 30 days after NRC approval.
2 Prior to the plan becoming effective, the licensee will have
3 all safeguard capabilities specified in the safeguard con-
4 tingency plan available and functionable. You will have the
5 detailed procedures developed according to Appendix C. They
6 should be complete and in place and, finally, all appropriate
7 personnel trained to respond to safeguard incidents as out-
8 lined in the plan and specified in your procedures should be
9 accomplished.

10 Now, neglected in the regulation, itself, is the
11 matter of guidance related to construction permits and operat-
12 ing licenses. I know some of you are interested in those
13 particular aspects and so let me take just a moment to outline
14 to you some guidelines which we feel appropriate for submittal
15 of contingency plans if you are now applying, first of all,
16 for a construction permit. We believe that it is appropriate
17 if you're applying for a construction permit that you submit
18 with your PSAR an outline in commitment to Appendix C with
19 this application. I guess we have not made this statement in
20 this particular meeting but we generally want it to be known
21 that we believe and will treat as such information in your
22 contingency plans and your training plans as 2790, Part B or
23 Section B, of our regulations indicate that details of your
24 security plan should be withheld from public disclosure and
25 are identified as being limited in their availability under

1 the Freedom of Information Act. So we will continue to treat
2 this information under this type of protection.

3 You are planning to submit your FSAR, and when I
4 speak of your final safety analysis report, I'm also including
5 your security plan which should accompany that report, if you
6 are going to submit this prior to the effective date and that
7 effective date for the contingency plan was June 6 of this
8 year, you should submit by March 23, 1979. If you're going
9 to submit your FSAR security plan after the effective date,
10 that of June 6, but before March 23, 1979, your contingency
11 plan would be due on March 23, 1979, or 180 days prior to
12 fuel loading, whichever date is later.

13 Finally, if your application for an operating license
14 or the submittal of your FSAR is after March 23, 1979, then
15 we believe that your contingency plan should be submitted with
16 the FSAR. The schedule for the submittal of your training
17 and qualification plans, as indicated on the slide, are to be
18 provided by August 18, 1979. The training and qualification
19 plan shall be followed by the licensee no later than 60 days
20 after NRC approval. The training and qualification plan shall
21 include a schedule to show how the security personnel will be
22 qualified within two years after the plan is approved.

23 You will note that in approaching these particular
24 additions to our regulations, two significant things have been
25 incorporated which I think result from our experience together

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1 over the past two years. One is that NRC approval is one of
2 the triggering events since we're talking about events today
3 that sets things in motion for your beginning to put into
4 effect and implement many of your procedures and training
5 plans and contingency plans. You will also note that con-
6 siderable time has been allowed for you to complete the train-
7 ing of all of your personnel. We hope that we have provided
8 a reasonable arena for you to accomplish this work in--pardon
9 me, timeframe, not arena.

10 One thing that is important for you to note is that
11 those physical security plans we've been reviewing, as required
12 by 7355, currently contain contingency planning information
13 and also commitments to a training program. Certainly these
14 are not to be abandoned because we are going to be working
15 toward these new parts of our regulations. We feel that this
16 is a continuation of the process of working together to build
17 a security program which will be effective in meeting the goals
18 we have and principally those are the performance objectives
19 of 7355.

20 Let me speak to you just briefly about submittal of
21 guard training programs if you currently aren't an operating
22 plant or if you have plans for applying for a construction
23 permit or a well in the near future. If you are going to ap-
24 ply for a construction permit, we again would suggest that your
25 training program outline and the commitment to the objective

1 of Appendix B be submitted with your application or with your
2 preliminary safety analysis report, PSAR. If you are going to
3 submit your application for an operating license, or your
4 FSAR, prior to the effective date of the rule which is October
5 23, 1978, your plans would be due August 18, 1979 and, of
6 course, the 60 days after NRC approval and the two years for
7 your fully training all personnel to the requirements of this
8 plan of the program that you establish would also apply.

9 If you are going to submit your FSAR after October
10 23, 1978, but prior to August 18, 1979, your training plan
11 should be submitted by August 18, 1979, or 300 days prior to
12 fuel loading, whichever date is later. And here we feel it
13 would be appropriate for you to have all of your personnel
14 trained in accordance with your plan 18 months after NRC
15 approval and, finally, those of you who may submit an applica-
16 tion for an operating license after August 18, 1979, the
17 training plan should be submitted with the FSAR and your per-
18 sonnel should be trained prior to fuel loading.

19 Now, these are not a part of the regulation. They
20 are suggestions to you as being perhaps a workable way for us
21 to have the time we need to review and approve your plans
22 prior to your reaching critical milestones in your schedule,
23 namely, the time you may want to load fuel.

24 Let's speak a little bit about the review procedure.
25 If we could have the next slide, please. I think fairly ob-

1 vious to you are the areas we are going to be looking in our
2 review because they've been mentioned both by Mr. Roe and Mr.
3 McKenna, but just to refresh your memory we will indicate to
4 you as shown on this slide that we will be focusing on the
5 following areas, the events, the objectives, the decision
6 actions, the licensing planning base, and your responsibility
7 matrix.

8 In addition to our review of these areas the Office
9 of Inspection and Enforcement in your particular region will
10 be visiting your site to review the procedures that you have
11 developed that are appropriate and are associated with this
12 plan.

13 We intend in reviewing your contingency plans to
14 make full use of the reviewers that have been working with
15 you reviewing your security plans. So they will have the ad-
16 vantag of familiarity with the site layout, with your particu-
17 lar security plan, that we might take advantage of this under-
18 standing they have come to in reviewing your contingency plans.
19 They may or elect to visit your site again in the course of
20 their review but it will not be required of them to do so
21 if they feel that they have adequate detailed knowledge of
22 your particular site and plan.

23 In reviewing the training and qualification plans
24 we'll be looking at the task and elements that you have defined
25 in your program, the duty descriptions, your performance ob-

1 jectives, and I don't think we can emphasize enough how im-
2 portant these are going to be in our review. We'll also deter-
3 mine the equipment you've listed as consistent with that ap-
4 propriate for your security plan, contingency plans, and here
5 again, the Office of Inspection and Enforcement will be visit-
6 ing your sites to look at the test materials, the ways that
7 you're going to establish these qualification--pardon me,
8 qualify your individuals to show that they do have the know-
9 ledge, skills, and abilities appropriate for their duty as-
10 signments.

11 Here again, the reviewers we intend to assign to per-
12 form the reviews of your training programs will be familiar
13 with your site, with your security plan, with your contingency
14 plan. They may elect to visit your site again as a part of
15 their review. That will be a judgment that will be made by
16 them in accordance with their familiarity with the programs
17 from their previous reviews and visits to your sites. You
18 will note I haven't said a great deal about what is the
19 schedule for completing the NRC review. Certainly for the
20 guard training program we have not developed a schedule, some-
21 what too far in the future for us at this point in time to
22 make commitments. However, it is our plan and program to
23 move forward in the review of your contingency plans in a very
24 vigorous fashion and we intend if we receive the information of
25 the quality we feel you are capable of providing us that we

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1 would plan to complete those reviews in about six months.
2 You have to recognize that this may be optimistic since I'm
3 relying heavily upon the knowledge and the experience of the
4 reviewer in facilitating this task in reviewing your con-
5 tingency plans.

6 Sometimes our ability to maintain those people in
7 their current assignments is not always absolute and we will
8 have to adjust as required in these areas.

9 Let's move now into another area related to the
10 amendment procedures. I'm not going to speak at length on
11 this topic since we discussed it with you in Albuquerque as
12 it related to your security plans and it's quite similar for
13 your contingency plan and guard training programs. Certainly
14 it is our intent to work closely with the licensees and the
15 applicants to resolve all issues so that when we write our
16 security plan evaluation report these things will all be re-
17 solved and we can indicate in our report that we have reached
18 a conclusion or judgment of the plan that it does meet the
19 requirements of our regulations and will provide the protection
20 for the health and safety of the public.

21 However, from our previous experience we know that
22 there can be difficult issues that resist our resolution and
23 if we find in the course of our review that it is necessary to
24 identify to you an area which we feel must be added to your
25 plan, information must be added to your plan, we will identify

1 in a letter to you that it is our intention to make this a
2 requirement. You then would have the opportunity to avail
3 yourself to the appeal process to our management that most of
4 you are familiar with and this, of course, provides you an
5 opportunity to present the reasons you have for not adding
6 that to your plan and also the management will be aware of
7 the staff position on this subject. If at the conclusion of
8 this appeal process it has been resolved and the staff has
9 accepted your plan or you have agreed to make additions to
10 your plan, then, of course, we will issue our security plan
11 evaluation report and the matter will be taken care of.

12 If, however, differences persist, we then are pre-
13 pared to go through the procedures of conditioning your license,
14 making changes to your license by an order which will add that
15 requirement to your security plan--pardon me, to your con-
16 tingency plan or your guard training program, and I think
17 you're all familiar with the various procedures that must go
18 along with this process of allowing an opportunity for a
19 hearing and this type of activity.

20 Now, all those things that you have been reviewing
21 under 7355 to date predated the publication of a new fee
22 schedule which appeared in the Federal Register February 21,
23 1978, and there has been no fee associated with our review of
24 your security plan and as far as 7355 is concerned, there will
25 be no fee associated with it until it becomes a part of your

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1 license or condition on your license. It represents our con-
2 cluding, culminating activity, I guess you might say. How-
3 ever, in our judgment we look at the submittal of the con-
4 tingency plans and the guard training programs as another
5 activity associated with Part 73, Part 7355, of course, but
6 for these particular submittals it will be necessary for you
7 to provide a determination of the amendment class, information
8 class, perhaps, is a better phrase to use, and state the basis
9 that you used in arriving at that determination and then sub-
10 mit with your contingency plan and guard training program,
11 these are two separate submittals, of course, the appropriate
12 fee associated with that class of amendment or class of in-
13 formation.

14 Now, we will review that, the NRC will review that
15 and, if we agree with you, we will accept your application and
16 your fee and proceed with the review. However, if we disagree,
17 we will notify you we find your determination is faulty for
18 the following reasons and we will suggest that you send us
19 more money, usually that is the way it goes anyway, before
20 we begin the review of your plan. Now, the staff's judgment,
21 and we have discussed this with our branch which is responsible
22 for developing the fee schedule, and with our legal advisers,
23 and we believe that this information you will be submitting
24 falls in the category of Class 3. I might just read to you
25 from this categorization this type of information and the type

1 of information that is included.

2 It reads, "Amendments, exemptions, or required ap-
3 provals that involve a single environmental safety or other
4 task have acceptability for the issue clearly identified by
5 an NRC position or are deemed not to involve the significant
6 hazard consideration." Since we judged that these submittals
7 will have to have our approval, we, therefore, have categorized
8 them as Class 3. Let me add at this time we do not have a
9 written, legal opinion on this. At one of our previous meet-
10 ings or with the licensees, it was suggested they would like
11 to see such a thing in writing. I guess that you may obtain
12 that by submitting your own determination of classification
13 and you will have our legal opinion when we respond with our
14 determination of what we feel is the appropriate classifica-
15 tion.

16 Let me say in conclusion that we appreciate the
17 working relationship we have established over the past two
18 years. It is certainly our intent to continue working with
19 the licensees and with the fellow workers we have in the
20 regions working toward our common goal of establishing the
21 acceptable level of protection for all of your facilities.

22 Thank you very much.

23 MR. MILLER: Gentlemen, we appear to be quite a bit
24 ahead of schedule.. I think it may be best if we take, say,
25 maybe 10 minutes until we can get everybody up here unless

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1 somebody has a violent objection. We will then just continue
2 on with the questions. Let's take 10.

3 (A short recess was taken.)

4 MR. MILLER: On the record.

5 I don't know if we got more efficient this morning
6 or got started earlier or what happened but here we are.
7 This in our other meetings has been the time when we've opened
8 everything up for questioning. I suggest we continue on and
9 we will see what happens. There was a remark made to me if
10 we would talk a little bit about the workshops. This is some-
11 thing we just discussed briefly at the other meetings. We do
12 have planned, if I can get enough indication from you that you
13 think it's worthwhile, to hold small group workshops on the
14 development of the guard training plans, if you will, specif-
15 ically aimed at defining and working a little bit with job
16 analysis. As I mentioned to you before, I'm sure that you all
17 are now experts in job analysis. I'm not. I still don't
18 understand the terms and I don't know any other way to do it
19 but to either ask you for comment or ask for a show of hands.
20 We think we can get together with the people you will have
21 actually writing the guard training plans, sit down and go
22 through a workshop kind of thing, a small group, two or three
23 from your facility and two or three from your neighbor's
24 facility and essentially get a lot of the generic work out of
25 the way. I don't know. Can I get a feel from you? If some-

1 body wants to make a comment, I will entertain that or if I
2 can get a show of hands. Why don't we try it with a show of
3 hands first? Can I see those that think a workshop is a good
4 idea and want to go ahead? O.K. Thank you.

5 With that let me open it up. I think everybody is
6 up here that will be able to answer questions. Can we start
7 the questions? Again be sure to identify yourself and your
8 affiliation for the benefit of our transcribers. Yes, sir.

9 MR. JOHNSON: Leonard Johnson, Public Service Company
10 of Colorado. Addressing ourselves to the subject of background
11 checks, we have attempted to secure this information through
12 out local law enforcement agencies and they have denied us
13 this including the safe depository of records. I made an in-
14 quiry into the local FBI office. They made an inquiry into
15 Washington and they came back with the information that the
16 Nuclear Regulatory Commission had already made agreements with
17 the FBI whereby they could submit or the FBI would provide for
18 the NRC fingerprint cards. The fingerprint cards would then
19 be sent to the local agencies or the licensees where they would
20 be filled out, returned to the NRC, and that the NRC would then
21 submit them to the FBI. The records would be returned to the
22 NRC and the NRC would then make the determination as to whether
23 or not any records would either fit the individual for service
24 with the company or would deny that type of information. My
25 question is do we have any information on this from you people?

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1 MR. MILLER: Not really. I guess there was some
2 liaison between us and the FBI. To my knowledge, but I will
3 check and get back to you if there is anything additional,
4 to my knowledge it was in the area of doing an NAC type check
5 in conjunction with the, quote, "clearance rule," unquote.
6 It was not done to the best of my knowledge separate from that
7 action. As Mr. Jones stated this morning, we still don't know
8 the final outcome of that.

9 All right.

10 MR. DETTMAN: Bryan Dettman, PG & E. I have a couple
11 of questions. The first one is on contingency plans. We all
12 know that the best laid plan often goes astray and that some-
13 times we're not going to have the time to follow a specific
14 contingency plan. Will I be cited for it?

15 MR. NORDERHAUG: Bryan, we just have to see what
16 happens at the time. We will have to judge that at the time.
17 Obviously we will review how you handled a particular contin-
18 gency. If you deviated from the plan, we will determine if
19 that deviation was warranted and, if not, then we would argue
20 with you. Otherwise we would say nothing.

21 MR. DETTMAN: O.K. The second question regards
22 training. We have ordered our CAS and SAS equipment and it
23 appears it is going to take some extended training to make
24 people be able to operate this properly. It also appears
25 that it might be very difficult to make the entire force

1 capable of operating that equipment, particularly in terms
2 of the training guides or outlines that you have told us
3 about. By the same token you made us commit to random duty
4 assignments to mitigate the problem of the insider. You men-
5 tioned this morning that you could put a person in a wheelchair
6 at CAS. Obviously that is the only post they could work.
7 All right. How do you equate that with random duty assign-
8 ments? Obviously that man knows he is going to work CAS or
9 SAS.

10 MR. CLARK: Well, I think the answer to your ques-
11 tion is rather straight forward. There are several things
12 that you have to meet in providing the protection that is
13 required. Of course we expect you to continue to meet the
14 performance objective of protecting against the insider. It
15 has been suggested in some reviews that random selection and
16 assignment of personnel to the duty posts does provide a
17 measure of protection against the insider. That is not the
18 only way this may be protected against. If you choose to make
19 a determination that you will limit the number of people to
20 be assigned to that particular post when you no longer are able
21 to do it on a random basis, then we would expect you to provide
22 something that would augment the protection against the insider
23 in another way.

24 MR. DETTMAN: How about a suggestion on what that
25 might be?

1 MR. CLARK: We will be glad to review any suggestions
2 that you make.

3 MR. DETTMAN: What training program might I be in-
4 spected on in the next two years?

5 MR. MILLER: What you will be expected against--
6 of course we expect you to implement your training program
7 as soon as we have approved your plan. However, if that does
8 not occur in the next two years you will be inspected against
9 that that you have committed in your physical security plan
10 to date, 520, whatever you are now using.

11 MR. DETTMAN: One other question. What does the
12 term immediately available mean in terms of weapons?

13 MR. MILLER: Let me give you an example. I think
14 that would be the best way. If your armed responder must and
15 is located, let's say, in the west side of your plan in his
16 normal duty, and he is required to respond to the far west
17 side in X minutes, when he gets to the far west side or to
18 the position where he is supposed to be for that particular
19 contingency or for that particular scenario, he must have his
20 weapon.

21 MR. DETTMAN: Thank you.

22 MR. HILLYARD: H. W. Hillyard, Public Service
23 Company. I have several questions. The first one I would
24 like to ask you to respond to is that a number of places in
25 Appendix B and C you refer to members of the security organiza-

1 tion being required to do various things or to meet various
2 criteria. We're having trouble identifying how high up in our
3 organization you intend that to go. Would you care to give us
4 an interpretation?

5 MR. MILLER: I think it was briefly discussed but
6 let me try another shot. If you identify, for example, the
7 shift supervisor as the individual on your particular site
8 who must use a piece of complicated radio equipment to notify
9 the LLEA, I think that was an example that was used, then that
10 individual must be trained in using that piece of equipment.
11 By the same token if you say to us that the plant superintend-
12 ent will not be immediately responsible for taking control of
13 the action necessary to stop the event, then he does not have
14 to be trained.

15 MR. HILLYARD: O.K. In Section 1 of Appendix B
16 there are it appears to me in B-2, B, and C and Section G two
17 requirements that conflict. B-2, B, and C has to do with the
18 determination of emotional stability and a statement in G has
19 to do with prohibiting the investigation into certain feelings
20 in the person's political beliefs, religion, and so on and so
21 forth. Would you tell me, please, how we implement both of
22 those without violating either one?

23 MR. MILLER: The feeling of the Commission was that
24 for an armed individual you need to do everything possible to
25 determine his trustworthiness and stability. Therefore, the

1 words were put in for an armed individual who should have some
2 type of psychological test, if you will. I guess I'm not--
3 that is not too good an answer for the second part. However,
4 we will come back to you on specifically what the inferences
5 are.

6 MR. HILLYARD: The third question I have refers to
7 your requirement for familiarization with night firing and in
8 our plant and I think most plants, we are required to maintain
9 a light level of two tenths of a foot to handle the horizontal
10 at night. Is it your thought that we should qualify the night
11 firing under those lighting conditions and, if not, what did
12 you have in mind when you required familiarization with night
13 firing?

14 MR. MILLER: If you'll notice, there is no word
15 in there that you have to qualify at night. You have to be
16 familiar with it. The intent is, and I'm sure if you have
17 ever fired a weapon at night, you know there is a flash or a
18 glow, the intent is to familiarize the individual and I would
19 prefer to see it lessened to point two-foot candles but to
20 familiarize the individual so that he knows what that weapon
21 is going to look like when he fires it at night. That is all.

22 MR. HILLYARD: Thank you.

23 MR. YOUNG: J. Young, Portland General Electric.

24 Can you give us any more guidance on the contingency
25 procedures as to how they will differ from the responsibility

1 matrix of the contingency plan?

2 MR. ROE: The responsibility matrix will basically
3 highlight the tasks or decision actions that each individual
4 must have and its by event and it indicates by a responsible
5 person. You might call this the broad overview in the inter-
6 relationship between those particular tasks and the responsi-
7 bility for conducting those tasks. The procedures will be
8 basically detailed concise directions for each one of those
9 particular types of events. So you are basically talking
10 about a different format and a level, different level of detail.

11 The responsibility matrix, I would think, would be
12 fairly concrete and not changing in its form too much but you
13 may have procedures that you want to change the way you ap-
14 proach specific directions and this would be the difference be-
15 tween the level of detail that you would have in the responsi-
16 bility matrix which would tell you basically the decision
17 actions to reach the objectives and then the concise and run
18 of detailed instructions that you do have in procedures.

19 MR. YOUNG: O.K.

20 MR. ROE: There is one point we should make that I
21 made in my presentation and that is in some instances the
22 responsibility matrix provides sufficient detail to become a
23 procedure so there needs to be no follow on information given
24 in that particular case. Where you have found that the
25 responsibility matrix meets that requirement, you should state

1 it in the procedure section so it doesn't appear there has
2 been a gap in information.

3 MR. YOUNG: Regarding the stated difference in for-
4 mat that they may take, for example, let's say that CAS'
5 actions are the same on many of the events, so that when you
6 went to writing the procedures you may write specific procedures
7 for CAS and it would cover a number of events but it would be
8 the same procedure, so I guess I could kind of see you having
9 a manual on site that may have the responsibility matrix in
10 there and then you may have subsections in there that would
11 identify each guard's station. Then it would give his indi-
12 vidual responses for these events. Do you see something like
13 that for a possibility?

14 MR. ROE: That is one approach and there are other
15 approaches and we do not want to take basically the latitude
16 away from you and tell you which approach to take.

17 MR. HILTZ: John Hiltz of SMUD.

18 You spoke of fees in predeterminations in regard to
19 contingency plans. Could you relate this to contingency plans
20 that have already been submitted with the security plans?

21 MR. CLARK: I'll try to. As a part of the security
22 plan that you submitted, as I mentioned in my brief presenta-
23 tion, you currently are required to have sections which ad-
24 dress contingency planning and to address training. We expect
25 those sections to be in and to be approved by the NRC. There

1 are no fees associated with those particular documents. If
2 it turned out to be and we know of, I guess I can say, no case
3 where the section from the security plan are as complete as
4 those requirements now stated in Appendix B and Appendix C,
5 this constitutes a change and additional approval by NRC and
6 those are the areas we are speaking of that require a fee.
7 Those things which are currently in your security filing will
8 be approved but you should understand that as we stated in the
9 regional meetings in early spring of '77 that these were
10 interim pending the development of the guidance and the ef-
11 fective rules relating to contingency planning and to the
12 guard training. You don't look satisfied, John.

13 MR. HILTZ: We have had no comments to date on that
14 section in the plan and it's presumed you were putting off
15 looking at those until you reviewed--until you got into actual
16 contingency plan review. It is my feeling that is what is
17 in there does meet the guidance put out and the treatments
18 taken from that guide.

19 MR. CLARK: There may be some plans which have at-
20 tempted to do that and certainly if it is complete and requires
21 no further review, there should be no charge, but I would say
22 that is the exception rather than the rule. I have some
23 familiarity with SMUD and other than going to site specifics
24 I will say that we will review it again when we get back home
25 and I'll have to correspond with you.

1 MR. HILTZ: I guess what I'm really asking is we
2 see no action on our part to meet the contingency plans sub-
3 mittal since we feel we have submitted it. Until we hear
4 back from you we would not submit anything.

5 MR. CLARK: We agree to the approach that we will
6 return our response to you. However, I don't believe we can
7 indicate that you have no responsibility. I think that that
8 is not the case but we are quite willing to work with you
9 and I will investigate it when I return.

10 MR. MILLER: Anything else?

11 If there is nothing else, I would like to thank all
12 of you for coming. We are getting through awfully early. We
13 certainly do appreciate it and we will be in touch and we en-
14 courage you to be in touch. Thank you.

15 Off the record.

16 (Whereupon, at 12:10 p.m., the hearing was closed.)
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CERTIFICATE OF REPORTER

This is to certify that the attached proceedings
before: U. S. Nuclear Regulatory Commission

In the matter of:

Name of Proceeding:

Implementation of 10 CFR 73, Appendices
B and C, Guard Training and Contingency
Planning

Docket No.:

Place: San Francisco, California

Date: October 5, 1978

were held as herein appears, and that this is the
ORIGINAL transcript thereof for the files of the
Department.

Joe Gibson
Reporter