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State of Connecticut Department of Energy and Environmental Protection

Radioactive Materials Program

RCP-901.4

Documentation of Inspection Results

Prepared By: _____ **Date:** _____

Reviewed By: _____ **Date:** _____

Approved By: _____ **Date:** _____

Revision	Date	Description of Changes

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1.0 PURPOSE

1.1 Applicability

1.1.1 This procedure is designed to ensure that reports of inspections clearly communicate significant inspection results to licensees, licensing staff, and the public. It is the State of Connecticut Department of Energy and Environmental Protection's (Department) goal that all Radiation Material Program (RMP) staff should be qualified in both licensing and inspections of all radioactive material in the State of Connecticut. Significant findings in the inspection reports will be reviewed during the RMP staff meetings conducted by Radiation Control Program Director (RCPD) and attended by all RMP staff.

1.1.2 This procedure will ensure that reports of inspections provide conclusions about the effectiveness of the program(s) and/or principal activities inspected. The depth and scope of documented conclusions should be commensurate with the depth and scope of the inspection.

1.1.3 The documentation described in this procedure will provide a basis for enforcement action.

1.2 Files

1.2.1 Letter with Notice of Violation Letter, Clear Inspection Report, and Department Form 591M

1.2.2 Other elements of inspection reports maintained in the licensee file.

1.2.3 Records are primarily filed electronically, and Web-based Licensing (WBL) is the primary residence of these records. An alternative /back-up means of filing must be available and may include Department network files.

2.0 SCOPE

2.1 Applicability

2.1.1 This procedure applies to the documentation of radioactive materials inspection results by qualified inspectors.

2.1.2 This procedure provides guidance on resources for documenting routine and non-routine inspections.

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3.0 REFERENCES

3.1 Sections 22a-153-1 to 22a-153-150, inclusive, of the Regulations of Connecticut State Agencies

3.2 Sections 22a-148 through 22a-165(h) of Chapter 446a – Radiation and Radioactive Materials of the Connecticut General Statutes

3.3 NRC Inspection Manual, Chapter 0610, "Nuclear Material Safety and Safeguards Inspection Reports."

3.4 NRC Inspection Manual, Chapter 0620, "Inspection Documents and Records."

3.5 NRC Inspection Manual, Chapter 1220, "Processing of NRC Form 241 and Inspection of Agreement State Licensees Operating Under 10 CFR 150.20."

3.6 NRC Inspection Manual, Chapter 2800, "Materials Inspection Program." Safety and Safeguards Inspection Reports"

3.7 NRC Management Directive 8.10, "NRC Assessment Program for a Medical Event or an Incident Occurring at a Medical Facility."

3.8 NRC Enforcement Manual

4.0 DEFINITIONS & ABBREVIATIONS

4.1 NOV-Notice of Violation

4.2 NRC – Nuclear Regulatory Commission

4.3 RCPD-Radiation Control Program Director

4.4 RSO-Radiation Safety Officer

4.5 SRCP-Supervising Radiation Control Physicist

4.6 WBL-Web-Based Licensing

5.0 GENERAL

5.1 EQUIPMENT

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5.2 RESPONSIBILITIES

5.2.1 Inspector

5.2.1.1 Maintains files, records, letters, forms, and other records related to inspections.

5.2.1.2 Prepares the inspection documentation issued within 30 days of completing the inspection.

5.2.1.3 Prepares a Department letter transmitting the inspection findings to the licensee.

5.2.1.4 Tracks the inspection documentation until completed.

5.2.1.5 Updates the inspection history record and enters next inspection due date in Web-based Licensing (WBL)

5.2.2 Supervising Radiation Control Physicist (SRCP)

5.2.2.1 Updates the data in WBL. Once the inspection is completed, record the inspection date (if not already entered), licensee name, license number, lead inspector, and accompanying inspector(s) in WBL.

5.2.2.2 Reviews a report of inspection findings and recommended enforcement action. If warranted due to severity of the inspection findings, notifies the RCPD, as soon as possible.

5.2.3 Radiation Control Program Director (RCPD)

5.2.3.1 RCPD or designee concurs with the inspector's and/or SRCP findings and recommendations or prescribes alternative actions.

5.2.3.2 RCPD or designee reviews and approves the narrative report of the inspection findings and transmittal letter, as necessary.

5.2.3.3 RCPD or designee signs all correspondence to the licensee related to the inspection report.

5.3 PREREQUISITES

None

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5.4 ATTACHMENTS

5.4.1 Attachment 1 – Department Form 591 M

5.4.2 Attachment 2 – Inspection Report Content

5.4.3 Attachment 3 – Notice of Violation

5.4.4 Attachment 4 – Clear Inspection Report

5.4.5 Attachment 5 – Security Related 591M Part 3

5.4.6 Attachment 6 – Notice of Warning Template

6.0 PROCEDURE

6.1 Review RCP-901.3 *Performance-Based Inspections*, to determine if an inspection was performed at the required frequency. If an attempt was made, but the inspection was not performed, this needs to be documented to note the attempt in the license file. This procedure is designed to provide guidance that is applicable to all types of licensed programs. It does not specify the unique individual requirements for each type of inspection documentation. Documentation of inspections should be completed in accordance with this procedure and other applicable CT DEEP and NRC guidance.

6.1.1 Methods of Documenting Inspection Results

6.1.1.1 Results of inspections may be reported to the licensee with a Department Form 591M Safety Inspection and Compliance Inspection (Attachment 1) and may be followed up with additional documentation.

6.1.1.2 They may also be documented with a department letter as described in RCP-901.5 *Assuring the Technical Quality of Inspections.*

6.1.1.3 The content of an inspection report should include that found in Attachment 2 Inspection Report Content.

6.1.1.4 Inspection Reports should also include either an Attachment 3 Notice of Violation Letter, Attachment 4

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Clear Inspection Report or a copy of Attachment 6 Notice of Warning issued.

6.1.1.5 Notes taken during the course of the inspection shall not be official documentation of the inspection performance and cannot replace a formal narrative inspection report. The SRCP may make an exception to this if the notes are determined by the SRCP to be sufficient documentation. If so, the notes will be placed in the licensee file and WBL.

6.1.1.6 For reciprocity inspections, the inspection results must also be transmitted to the license issuing entity (NRC or Agreement State).

6.2 Inspection Reports

6.2.1 Upon completion of an inspection for a licensee, a narrative report or an inspection memo shall be generated on Department Form 591M Safety Inspection and Compliance Inspection.

6.2.2 Inspection reports should be completed within 15 working days following the completion of the on-site portion of the inspection.

6.2.3 Narrative reports shall contain:

6.2.3.1 Sufficient detail to describe the inspection that was conducted including operations observed to document the performance-based part of the inspection;

6.2.3.2 Compliance status of topics;

6.2.3.3 The status of follow-up items involving prior enforcement or reported licensee events;

6.2.3.4 Sufficient information to support cited violations, non-cited violations, and closed violations identified during a previous inspection;

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6.2.3.5 Description of completed or anticipated corrective actions to any identified minor violations cited in a Notice of Warning (Attachment 6);

6.2.3.6 Sufficient description of the scope of the licensee's program for the SRCP, license reviewers, and other inspectors to evaluate the licensee's overall safety program; and

6.2.3.7 For inspections that include a review of Part 37 requirements with no violations, the inspector should include in a non-publicly available inspection record (e.g., Form 591M Part 3) describing the licensee's implementation of security requirements. This form is Attachment 5 CT DEEP Form 591M Security-Related.

6.2.3.8 An inspection report shall contain sufficient information to provide a general overview of the current status of the licensee's radioactive material program, including but not limited to, use of licensed material, staff size and hours, any changes from information previously noted in a narrative report, and any other information deemed relevant by the inspector.

6.3 Reports to Licensees

6.3.1 Inspection findings shall be reported to the licensee upon acceptance of the inspection report by the SRCP or RCPD. Inspection findings should be sent to the licensee through a department letter or PDF via email.

6.3.2 Department Form 591M Safety Inspection and Compliance Inspection shall be used to document clear inspections.

6.3.2.1 The Form 591M, "Safety Inspection Report and Compliance Inspection," shall include the name of the responsible inspector.

6.3.2.2 The inspector shall sign the completed Form 591M Part 1 and provide to the SRCP. Supervisory review is required prior to issuance of Form 591M Part 1 to the licensee.

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If no changes are needed after supervisory review, the supervisor will sign the final signature block and the completed form will be put in WBL.

6.3.2.3 The Form 591M Part 1 will be issued to the licensee via department letter or PDF email attachment.

6.3.3 Form 591M Part 1 may not be used to transmit security-related violations.

6.3.4 The inspector must document findings with enough detail to make it clear what requirement was violated, how it was violated, who violated the requirement (use titles only, names should be avoided, if possible), and when it was violated (including dates, or period of time of non-compliance, if known). If the licensee provides immediate or long-term corrective action for the violation, this information should also be included as part of the inspection record.

6.3.5 For non-escalated violations, the inspector must ensure that for each violation, the letter to the licensee includes:

6.3.5.1 A brief statement of the circumstances, including the date(s) of the violation or the period of time of the non-compliance;

6.3.5.2 The facts necessary to demonstrate that a requirement was not met; and

6.3.5.3 The reference to the regulation, license condition or legally binding requirement that was violated.

6.3.6 Pursuant to CGS Sec. 22a-6s, the Notice of Warning for minor violations must include the following:

6.3.6.1 A description of the violation including the date such violation occurred,

6.3.6.2 Specify alternatives the violator may consider to correct the violation (care must be taken to avoid consulting)

6.3.6.3 A projected time frame for correcting the violation, and

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6.3.6.4 Advice of responsibilities under specific section of the violations.

6.3.6.5 Attachment 6 – Notice of Warning template is utilized to issue a Notice of Warning at the inspection closeout, if required.

6.3.7 For a notice of violation correspondence letter, a template is available in ICM/IBM Case Manager.

6.3.8 For escalated enforcement guidance, see *RCP 902.1 Enforcement, Escalated Enforcement and Administrative Actions*.

6.3.9 Department Letters. A letter, signed by the inspector and/or the SRCP, shall be used if a Department Form 591M was not issued to document a clear inspection. A Department letter shall be sent within 30 days of completion of the inspection if a Department Form 591M has not been issued. Department letters shall be sent along with a Notice of Violation(s) or Notice of Warning(s) if any of the following situations are found:

- Repetitive violations;
- Violations involving willfulness;
- Where an apparent Severity Level III or higher violation or problem is detected;
- When an enforcement conference or a management meeting is to be held;
- Where the licensee needs to take extensive corrective action(s) or make programmatic changes to address the violation(s);
- Where the licensee needs to perform further evaluations before taking corrective action;
- Where the corrective action includes a request for an amendment to the license;
- When a specific message should be provided to the licensee;

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- If the inspector questions the effectiveness of the licensee's planned action or the ability of the licensee to carry out the corrective action;

- Where it is appropriate to request a written response to the violation;

- Minor violations that were not issued a Notice of Warning during the inspection closeout.

6.4 Marking of Inspection Documentation

6.4.1 Information relative to the licensee's physical protection measures (security-related information) is confidential information and needs to be protected.

6.4.2 The inspector should ensure that the NOV, documentation of findings (i.e., Form 591M Part 3 or narrative inspection report), and any other separate enclosure are appropriately protected, handled and marked in accordance with the following security-related information guidance:

6.4.2.1 Paper copies must be filed in a secure area or location and electronic files saved in the secure access only server folder.

6.4.2.2 Files must be Marked: "THIS DOCUMENT MUST BE KEPT IN SECURED ELECTRONIC AND/OR PAPER FILES ONCE FILLED OUT."

6.4.2.3 Files must be maintained under the visual and physical possession of the user when outside of the electronic or padlocked file storage area.

6.4.3 All cover letters to licensees will be publicly available and should not contain confidential information. Security-related information should not be made available to the public.

6.5 Reports for Special Inspections

6.5.1 A narrative report should be completed documenting all special inspections. Reports should be completed and issued within 30 working days of the completion of the on-site portion of the inspection.

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6.5.1.1 Escalated Cases: For escalated cases, the report should address all areas covered in the inspection.

6.5.1.2 Medical Events: For medical events the report should follow the guidance in NRC Management Directive 8.10," NRC Assessment Program for a Medical Event or an Incident Occurring at a Medical Facility".

6.5.1.3 Allegations: For allegations the report should follow the guidance in RCP-904.1 *Management of Allegations*.

6.5.1.4 Reactive and Reduced Inspections: A reactive and reduced inspection will not substitute for a routine inspection unless the scope of the inspection is comprehensive.

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Attachment 1
Department Form 591 M Safety Inspection and Compliance Inspection

Connecticut
Department of Energy &
Environmental Protection

FORM 591M Part 3
File Information

SAFETY INSPECTION AND COMPLIANCE INSPECTION

1. LICENSEE/LOCATIONS INSPECTED	2. LICENSE NUMBER(S)
3. DATES OF INSPECTION	4. TYPE OF INSPECTION
5. INSPECTION PROCEDURES USED	6. INSPECTION FOCUS AREAS

SUPPLEMENTAL INSPECTION INFORMATION

1. PROGRAM CODES	2. PRIORITY
3. LICENSEE CONTACT	4. TELEPHONE NUMBER

Inspector Information

Name	Signature
Phone No.	Email address

☐ Main Office inspection Next Inspection Date_____

☐ Field Office Inspection_____

☐ Temporary Job Site Inspection _____

Approved:_____

Radiation Control Program Director or Designee (Signature / Date)

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Attachment 1

Department Form 591 M Safety Inspection and Compliance Inspection

Connecticut
Department of Energy &
Environmental Protection

FORM 591M Part 3
File Information

SAFETY INSPECTION AND COMPLIANCE INSPECTION

Program Scope

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Attachment 1

Department Form 591 M Safety Inspection and Compliance Inspection

Connecticut
Department of Energy &
Environmental Protection

FORM 591M Part 3
File Information

SAFETY INSPECTION AND COMPLIANCE INSPECTION

Conclusions

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Attachment 2
Inspection Report Content
Department of Energy and Environmental Protection
Radioactive Materials Program

The content for Radiation Materials Program Inspection Reports should consist of the applicable elements on this list. Details about these elements are in RCP 901.4 *Documentation of Inspection Results*.

- Cover Letter on Department letterhead
  - Address, Date, Salutation
  - Subject
  - Introductory Paragraphs
  - Body
  - Closing
- DEEP RCP Form 591M, Notice of Violation Letter, Copy of Issued Notice of Warning or Clear Inspection Report (Attachments 1, 3, 5, or 6)
- Report
  - Scope
  - Observations and Findings
    - Generic Issues, if any
    - Violations, if any
  - Conclusions
  - Exit Meeting Summary
    - Absence of Proprietary Information
    - Characterization of Licensee Response
    - Oral statements and Regulatory Commitments
  - Report Attachments
  - Key Points of Contact
  - List of Items Opened, Closed and Discussed (optional)
  - List of Documents Reviewed
  - List of Acronyms

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Attachment 3
Sample Notice of Violation

NOV # 143-0360/231-0229 Notice of Violation: Page 1 of 2

Connecticut Department of
ENERGY &
ENVIRONMENTAL
PROTECTION

79 Elm Street • Hartford, CT 06106-5127 www.ct.gov/deep Affirmative Action/Equal Opportunity Employer

NOTICE OF VIOLATION

[redacted] Notice of Violation No. [redacted]

The purpose of this Notice is to inform you that personnel of the Department of Energy and Environmental Protection (DEEP) have made observations or otherwise obtained information indicating that a violation of law has occurred at the property located at:
[redacted]

Based upon that information, it appears that you have failed to:

Sec. 19-24-5 Maximum Doses states:

(a) (1) Except as provided in subdivision (2) no person shall receive, transfer, possess, manufacture, use, operate, store, handle, transport or dispose of radioactive materials, or manufacture, use or operate other sources of ionizing radiation, in such a manner as to cause any employee to receive in any period of one calendar quarter, from radioactive material and other sources of ionizing radiation, an occupational dose in excess of the limits specified in the following table.

1. Whole body, head and trunk; active blood forming organs; lens of eyes, or gonads
1 Rem per calendar quarter

(2) An employee can be permitted to receive an occupational dose the whole body greater than that permitted under the subdivision (1) above, provided:
(A) During any calendar quarter the dose to the whole body from radioactive material and other sources of radiation shall not exceed three rem; and
(B) The dose to the whole body when added to the accumulated occupational dose to the whole body shall not exceed five(N-18) rem where N equals the individuals age in years at his last birthday; and
(C) The individual s accumulated occupational dose to the whole body has been determined on a clear and legible record

Contrary to that, in the 4th quarter of 2023 the individual received:

DDE of 4.72 Rem

79 Elm Street • Hartford, CT 06106-5127
www.ct.gov/deep
Affirmative Action/Equal Opportunity Employer

Attachment 4
Clear Inspection Report

Connecticut
Department of Energy &
Environmental Protection

Date:

Name of Licensee
Attn: Licensee Contact
Address
Street Address
City, State Zip Code

Dear [Insert salutation]

This letter refers to the inspection conducted on [**INSERT DATE**] at your facility.

This inspection was an examination of the activities conducted under your Radiation Control Program [**License number**], as they relate to public health and safety, and to confirm compliance with the rules and regulations and the conditions of your license with the Department of Environmental Protection. Within these areas, the inspection consisted of selected examination of procedures and representative records, observations of activities, and interviews with personnel.

Based on the findings, no violations of Department rules or regulations were identified.

You are not required to respond to this letter, however you should retain a copy for your records.

If you have any questions or wish to discuss the inspection findings, please contact the undersigned at your earlier convince.

Sincerely,

Radiation Control Program Director

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Attachment 5
Security Related 591M Part 3
Department of Energy and Environmental Protection
Radioactive Materials Program

Connecticut Department of Energy & Environmental Protection

Official Use Only - Security-Related Information

	Initial		Announced		Unannounced		Routine		Special		Security

DEEP RCP FORM 591M PART 3

10 CFR 2.201

File Information

SAFETY INSPECTION REPORT AND COMPLIANCE INSPECTION

1. LICENSEE/LOCATION INSPECTED:	2. INSPECTED BY:
REPORT NUMBER(S):	CT DEEP/Radiation Division 79 Elm Street Hartford, CT 06105

3. DOCKET NUMBER(S)	4. LICENSE NUMBER(S)	5. DATE(S) OF INSPECTION

6. INSPECTION PROCEDURES	7. INSPECTION FOCUS AREAS

SUPPLEMENTAL INSPECTION INFORMATION

1. PROGRAM CODE(S)	2. PRIORITY	3. LICENSEE CONTACT	4. TELEPHONE NUMBER

☐ Main Office

☐ Field Office

☐ Temporary Job Site

Next Inspection Date: _____

Address: _____

PROGRAM SCOPE

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DEEP RCP FORM 591M PART 3 (Security-Related)

Official Use Only - Security-Related Information

THIS DOCUMENT MUST BE KEPT IN SECURED ELECTRONIC OR PAPER FILES ONCE FILLED OUT

[X] Non-Public

Supervisory Review By Radiation Control Program Director (RCPD)		X	Confidential-Security-Related, Non-Public

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Attachment 6 – Notice of Warning Template

Connecticut
Department of Energy &
Environmental Protection

Notice of Warning

Licensee Name & Number:		
Inspection Site Address:		
Instructions: Complete Evaluation of Notice of Warning Criteria Below. If all answers are "No" the licensee is eligible to receive a "Notice of Warning" per 22a-6s. Complete and provide page 2 of this Attachment to the licensee/registrant. If any questions require the answer "Yes" a formal Notice of Violation or other Escalated Enforcement must be issued.		
Notice of Warning Criteria (22a-6s)	**Evaluation**	**Comments**
Was the violation committed intentionally?	☐ Yes ☐ No	
Did this violation enable the violator to avoid costs either by a reduction in cost or by gaining a competitive advantage?	☐ Yes ☐ No	
Is this violation a repeat violation or is committed by a violator with an environmental compliance history determined to require more serious enforcement action?	☐ Yes ☐ No	
Is this violation unable to be corrected within 30 calendar days or can a plan for compliance not be developed within 30 calendar days?	☐ Yes ☐ No	
Are there several potentially minor violations detected in the course of an inspection or review the totality of which is more serious?	☐ Yes ☐ No	
Other Comments / Evaluation:		

Connecticut
Department of Energy &
Environmental Protection

Notice of Warning

Licensee Name & Number: **Inspection Site Address(es):**	
Notice of Warning Regulation Citation and Description of Minor Violation:	
Inspector Notes: The inspector must certify the following have been completed during the closeout meeting: ☐ describe the violation to the licensee including the date(s) of occurrence; ☐ specify alternatives the violator may consider to correct the violation; ☐ provide a projected time frame for correcting the violation; and ☐ advise the violator of its responsibilities under Section 22a-6s.	
Inspector Name:	**Signature:** **Date:**
Within thirty calendar days of receipt of this notice, such violator shall certify to the commissioner in writing that (1) the minor violation has been corrected, (2) measures to assure that such violation will not recur have been implemented to the extent action cannot be taken to correct the specific violation identified in the notice, (3) action to correct the violation will be taken according to a specified schedule to the extent action has not been taken to correct the violation, or (4) no such violation occurred or that the notice is inaccurate.	
Licensee Representative Name / Title:	**Signature:** **Date:**