

NRC INSPECTION MANUAL

IIPB

INSPECTION PROCEDURE 93800

AUGMENTED INSPECTION TEAM

PROGRAM APPLICABILITY: 2515

93800-01 INSPECTION OBJECTIVE

01.01 ~~To provide implementing procedures for Augmented Inspection Team (AIT) responses to operational events at reactor and non-reactor licensee facilities.~~

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

~~An augmented inspection team (AIT) is the event assessment response assigned by the NRC in accordance with Inspection Manual Chapter (IMC) 0309, "Reactive Inspection Decision Basis for Reactors." The inspection is conducted based on a charter issued to the team. Through the charter, the AIT is assigned to conduct an inspection of the event.~~

93800-02 INSPECTION REQUIREMENTS

02.01 AIT Leader

- a. Acts as the supervisor of the AIT.
- b. Provides input to development of AIT charter.
- c. Conducts an entrance meeting with the licensee to discuss the purpose and scope of the AIT response, and to:
 1. Obtain the licensee's understanding of the event (including operator actions and the performance of safety systems).
 2. Request licensee assistance in scheduling interviews, obtaining information related to the event, and, if needed, assisting in inspection activities related to the event.
 3. Discuss the quarantined equipment list (QEL), as appropriate, and the procedure for changing it.
- d. Before the end of the first day on site:

1. Provides a recommendation to the Regional Administrator as to whether the AIT inspection should continue, be upgraded to an IIT response or be downgraded to a Special Inspection.
 2. Prepares and transmits a Preliminary Notification (PN) report to the Regional Administrator for distribution.
- e. Prepares supplemental PN reports and/or regional Morning Report inputs when there is significant new information to report. The objective is to keep management informed of significant facts, findings, and progress of the inspection.
 - f. Conducts an exit meeting with the licensee to:
 1. Summarize the AIT inspection effort.
 2. As appropriate, discuss preliminary findings, observations, or issues resulting from the AIT.
 - g. Manages the AIT effort in fact-finding and analysis to meet the objectives of the AIT charter.
 - h. Establishes guidelines for team members to document their inspection activities for the final report.
 - i. Prepares a report for the Regional Administrator documenting the findings of the AIT. May direct the AIT members to remain together, either at the inspection site or at the Regional Office, to facilitate the preparation of the AIT report.
 - j. Meets with regional management to discuss the AIT recommendation(s) for staff followup based on the findings of the AIT report, and assists in coordinating the transfer of responsibility for followup actions.

02.02 AIT Members

- a. Report directly to the AIT leader. Team members are assigned to the AIT until released by the team leader.
- b. Conduct a timely, thorough and systematic inspection of significant operational events at facilities licensed by the NRC, under the supervision of the AIT leader. In so doing, team members shall:
 1. Assess the safety significance of the event under the guidance of the AIT leader.
 2. Collect, analyze and document factual information and evidence as directed by the AIT leader.
 3. Evaluate the adequacy of licensee response to an event under the guidance of the AIT leader.
 4. Utilize IMC 0609, "Significance Determination Process", to evaluate the risk significance of inspection findings.
- c. Remain together after the inspection, at the discretion of the AIT leader, for the purpose of preparing the AIT report.

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

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

03.02 Documentation. AITs should be documented in accordance with IMC 0612 (formerly 0610*), except as follows. The forwarding letter should briefly describe the event or degraded condition. The body of the report should have the following outline:

- a. Description and chronology of event or degraded condition.
- b. Probable contributing causes of the event or degraded condition, where applicable:
 1. Equipment failures.
 2. Human factor and procedural issues.
 3. Quality assurance issues.
 4. Radiological issues.
 5. Safeguards issues.

Item a. should be documented narratively, not in the IMC 0612 format regarding inspection scope and findings. Items b.1 through 5 potentially include findings, and should be in the IMC 0612 format regarding inspection scope and findings. Due to the sensitive nature of AITs, areas where no findings are identified should be documented in greater detail than required by IMC 0612. The results of this inspection may be used to inform a subsequent supplemental inspection (95001,95002, or 95003) based on the final determination of the risk significance of the event.

03.03 Communications

- a. The AIT leader. The AIT leader is encouraged to maintain communications with cognizant personnel from the Regional Office, NRR or NMSS, and IRO, when the chronology and circumstances of the event are more clearly understood, to provide a first-hand update of the event and respond to any questions, and to discuss the appropriateness of the AIT response.

93800-04 INSPECTION RESOURCES

The AIT Leader is either a non-SES manager or a qualified team leader. Team expertise is based upon the nature of the event, as well as the uncertainty of influential assumptions affecting risk significance of the event. AITs are augmented by personnel from Headquarters, other regions, or contractors with technical qualifications to complement the regional expertise.

93800-05 REFERENCES

Management Directive 8.3, "NRC Incident Investigation Procedures"

NUREG 1303, "Incident Investigation Manual"

Inspection ~~Procedure 93812~~ Manual Chapter 0309, "Special Inspection" "Reactive Inspection Decision Basis for Reactors"

Inspection Manual Chapter 0609, "Significance Determination Process"

Inspection Manual Chapter 0612, "Power Reactor Inspection Reports"

Inspection Procedure 93812, "Special Inspection"

END