

NEI 06-06 [Revision 6]

**Fitness for Duty Program
Guidance for New
Nuclear Power Plant
Construction Sites**

May 2012

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Nuclear Energy Institute

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EXECUTIVE SUMMARY

This document, NEI 06-06, *Fitness for Duty Guidance for New Nuclear Power Plant Construction Sites*, has been designed to establish program level consistency in Fitness for Duty Programs for new plant construction sites throughout the nuclear power industry in the implementation of 10 CFR Part 26 Fitness for Duty Program requirements.

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TABLE OF CONTENTS

EXECUTIVE SUMMARY..... i

1 INTRODUCTION..... 1

2 PURPOSE AND SCOPE 2

 2.1 CONSTRUCTION2

 2.2 OPERATION3

3 RESPONSIBILITY 4

 3.1 BEFORE THE START OF CONSTRUCTION4

 3.2 NO LATER THAN THE RECEIPT OF SNM IN THE FORM OF FUEL ASSEMBLIES5

 3.3 PRIOR TO THE EARLIER OF WHEN THE COMMISSION MAKES ITS 10 CFR 52.103(G) FINDING, THE LICENSEE’S RECEIPT OF FUEL ASSEMBLIES ON-SITE, OR WHEN THE PROTECTED AREA IS ESTABLISHED.....5

 3.4 PRIOR TO THE CONDUCT OF THE FIRST FULL-PARTICIPATION EMERGENCY PREPAREDNESS EXERCISE UNDER 10 CFR PART 50, APP. E, SECTION F.2.A.....6

4 DEFINITIONS..... 8

5 FFD POLICY & PROCEDURES 10

 5.1 DRUG AND ALCOHOL POLICY10

 5.2 PROCEDURES12

 5.3 CONSENT.....14

 5.4 SANCTIONS.....14

 5.5 DRUG AND ALCOHOL TESTING.....15

6 SPECIMEN COLLECTION, TESTING, AND ANALYSIS..... 18

 6.1 CONSENT FORM.....18

 6.2 TYPES OF TESTING18

 6.3 RANDOM DRUG AND ALCOHOL TESTING20

 6.4 SPECIMEN COLLECTION AND LABORATORY SPECIMEN ANALYSIS23

 6.5 SPECIMEN PROCESSING.....26

 6.6 POSITIVE RESULTS27

7 BEHAVIORAL OBSERVATION PROGRAM 28

8 REVIEWING OFFICIAL 29

9 GRANTING AND MAINTAINING FFDA..... 31

 9.1 FFDA ELEMENTS31

9.2	TYPES OF FFDA	31
9.3	GRANTING FFDA AND FFDA ELEMENTS	32
9.4	MAINTAINING FFDA AND FFDA ELEMENTS.....	32
9.5	FFDA TERMINATED UNFAVORABLY	33
9.6	REVIEW PROCESS	33
10	PROTECTION OF INFORMATION	34
11	RECORDS RETENTION.....	35
11.1	FIVE-YEAR RECORDS RETENTION	35
11.2	THREE (3)-YEAR RECORDS RETENTION	36
11.3	LIFE OF AGREEMENT	36
11.4	FFD PROGRAM PERSONNEL FOR THE LENGTH OF EMPLOYMENT BY OR CONTRACTUAL RELATIONSHIP WITH THE CONSTRUCTION SITE ENTITY	36
11.5	FOR THE TIME THE FFD PROGRAM PERMITS TESTING FOR DRUGS NOT SPECIFIED IN 10 CFR PART 26.....	36
11.6	ELECTRONIC FORMAT RECORDS AND SIGNATURES	36
11.7	HARDCOPY RECORDS	37
12	REPORTING RESPONSIBILITIES	38
12.1	ANNUAL PROGRAM PERFORMANCE REPORTS FOR THE FFD PROGRAM	39
13	AUDITS.....	41

FITNESS FOR DUTY PROGRAM GUIDANCE FOR NEW NUCLEAR POWER PLANT CONSTRUCTION SITES

1 INTRODUCTION

This document, NEI 06-06, *Fitness for Duty Guidance for New Nuclear Power Plant Construction Sites*, has been designed to further define implementation criteria for new plant construction throughout the nuclear power industry in the implementation of 10 CFR Part 26, Subpart K, “*Fitness for Duty Programs for Construction.*” The criteria defined in this document are required for each new plant construction site, with a plant under construction, and shall remain in effect until the construction site transitions to a phase requiring site-wide implementation of Subpart A-H, N and O, 10 CFR 26 . This document also provides descriptive guidance on the transition from a construction-related program to an operations-related program (See Table 3-1). It does not address specific guidance for those individuals required by 10 CFR Part 26.4(e) and (f) whose duties require the individual to be included within a full-scope (Subparts A-I, N and O), 10 CFR Part 26 FFD program because the rule requirements for these individuals are sufficient for implementation. Individuals identified within 10 CFR Part 26.4(e) and (f) are evaluated and maintained within a FFD program implemented by an NRC licensee or a licensee-approved contractor/vendor (C/V).

Licenseses or construction site entities are required to meet the minimum requirements set forth in this document, however, they may institute more stringent program requirements at their discretion.

NEI 06-06 provides the construction site entity a process to authorize and maintain a worker’s status in the construction site entity’s FFD Program in order to allow an individual to work on a construction site. It is acknowledged that the construction site entities implementing this guidance will include United States Nuclear Regulatory Commission (NRC) licensees; licensee-approved contractor/vendors (C/V); applicants for, or holders of, a Combined License (COL), Construction Permit (CP) or Limited Work Authorization (LWA); or other entities authorized by the NRC and shall hereafter be referred to as “construction site entities.”

2 PURPOSE AND SCOPE

2.1 CONSTRUCTION

This document is applicable to a construction site entity and applies ~~only~~ to the construction site workforce as defined in Section 4. It has been designed to provide a standard industry approach in establishing and implementing a FFD program for evaluating and maintaining the authorization of personnel for whom access to the construction site has been requested. This standard approach ensures consistent application of regulations and is intended to serve as the Construction FFD Program description for COL applications as required in 10 CFR Part 52.

The FFD program described herein applies only to construction activities on safety- and security-related SSCs that are performed on the construction site where the new power reactor will be installed and operated.

The construction site entity must determine whether the site activity is a construction activity as defined in 10 CFR Part 26.5. Therefore, if the activity is being performed to fabricate, erect, integrate, and test a safety- or security-related SSC, or the installation of their foundations, including the placement of concrete, the FFD program as defined in this document must apply to those individuals. This would include individuals who are directing, supervising or installing engineered backfill (e.g., dirt) designated or determined to be safety-related (i.e., safety-related dirt) because it is part of the engineered fabric of the safety-related foundation. For example, the FFD Program for Construction applies to persons who:

- a. Produce concrete to be used for security- or safety-related structures and build or fabricate foundations for those particular SSCs;
- b. Fabricate safety-related emergency diesel generator buildings or install associated safety-related tanks, electrical and piping systems, and support systems;
- c. Weld or fabricate bullet resisting physical barriers and vital areas required by the Security Plan;
- d. Install and test vehicle control measures, personnel access control, intrusion detection systems, and contraband search equipment required by the Security Plan;
- e. Test safety- or security-related SSCs (e.g., motor-operated valves) or conduct bench-testing of safety-related relief valves prior to installation in the nuclear power plant (this is not to include, for example, warehouse receipt inspection/testing or a mechanical/electrical shop located outside the licensee-described construction area);
- f. Integrate (i.e., welding, bolting, wiring, or connecting) safety- or security-related pre-fabricated modules to other safety- or security-related modules, structures, or systems;

- g. Install or fabricate security blast walls, install cable trays, pull electrical cables, or lay sensory electronics for safety- or security-related SSCs; and,
- h. Perform construction duties specified in 10 CFR 26.4(e).

Construction activities conducted at facilities outside the licensee-described construction area such as another location, city, state, or outside of the U.S. would not be subject to the program described herein.

The construction site entity may permit individuals onto the construction site as “visitors.” An individual designated as a visitor may be any individual the construction site entity determines to have a need to enter the construction site for a period of up to seven continuous days or less. An individual in a visitor status is not required to meet the provisions of 10 CFR 26 but, must be clearly identifiable as a visitor and escorted by an construction site entity designated individual subject to the construction site entity’s FFD program. If the needs of the individual exceed the seven continuous days, then the individual must meet the appropriate section of 10 CFR 26.

A contractor/vendor (C/V) approved by the construction site entity to implement a 10 CFR 26 construction site program in accordance with NEI 06-06 shall comply with the provisions of this guidance through the development and use of detailed procedures approved by the construction site entity.

2.2 OPERATION

Management and oversight personnel, listed below, shall be subject to a full FFD program that meets the requirements of 10 CFR Part 26, Subparts A through H, N, and O. NEI 06-06 will not provide specific implementing guidance for these personnel because 10 CFR 26 has sufficient details specified for implementation. Management and oversight personnel included are as follows:

- a. security personnel required by the NRC,
- b. those who perform quality assurance/quality control/quality verification activities related to safety- or security-related construction activities,
- c. individuals directly involved in witnessing or determining inspections, tests, and analyses (ITAAC) certification,
- d. designated individuals to monitor the fitness of individuals,
- e. individuals responsible for oversight and implementation of the licensee fitness-for-duty and access authorization programs, and
- f. second-level and higher supervisors and managers.

3 RESPONSIBILITY

Each construction site entity is responsible to the NRC for ensuring that the applicable FFD program/program elements of 10 CFR Part 26 are implemented and effective at their construction sites including those implemented by a C/V.

Each construction site entity approving a C/V program shall ensure the latest revision of this document has been provided to each of its C/Vs for use and require that the criteria herein be met. Audits are used to assure that licensee and licensee-approved C/V programs supporting the fitness for duty program for the construction site meet regulatory requirements. Construction site entities are responsible for ensuring that program deficiencies are corrected.

Each construction site entity is responsible to ensure that its FFD program at the construction site is implemented for individuals who perform certain activities during the full lifecycle of construction, i.e., as the construction site transitions to an operational mode. As summarized below and in Table 1, the applicability of specific 10 CFR Part 26 requirements is based on the conduct of certain activities (e.g., receipt of nuclear fuel onsite) and the roles and responsibilities of certain individuals. For example, although not part of a 10 CFR Part 26, Subpart K, FFD program, the fatigue provisions in 10 CFR Part 26, Subpart I, are applied to security officers required by the NRC when a construction site is in receipt of special nuclear material in the form of fuel assemblies (10 CFR 26.4(e)(1) and 26.5.) Furthermore, FFD requirements become more comprehensive as the site transitions through construction towards an operational *mode*.

3.1 BEFORE THE START OF CONSTRUCTION

Licensees and entities must have fully functional Construction FFD Program with licensee-approved procedures/instructions in place prior to allowing individuals subject to the requirements of 10 CFR Part 26 to construct or direct the construction of a nuclear power plant as specified below.

3.1.1 FFD Program Personnel

A full-scope FFD program (10 CFR Part 26 Subparts A, B, D-H, N and O), is required for FFD program personnel involved in the day-to-day operations of the FFD program and at the discretion of the licensee, 10 CFR26 Subpart C.

3.1.2 Persons Constructing or Directing the Construction of Safety- or Security-SSCs

An FFD program for reactor construction (such as a Subpart K program) will be needed for persons constructing or directing the construction of safety- or security-related SSCs as described in 10 CFR 26.4(f). A licensee can also elect to implement an FFD program that includes all requirements of 10 CFR Part 26, except Subparts I and K, for the individuals listed in 10 CFR 26.4(f).

3.1.3 Persons Performing the Activities Listed in 10 CFR 26.4(e)

Licensees must have an FFD program that includes all requirements of 10 CFR Part 26, except Subparts I and K, for all persons performing the activities listed in 10 CFR 26.4(e), such as those: serving as security personnel required by the NRC; performing quality assurance, quality control, or quality verification activities; implementing a fitness monitoring program; witnessing or determining inspections, tests, and analysis under 10 CFR Part 52; supervising/managing (above 1st line supervisors) the construction of safety- or security-related SSCS; or directing or implementing the access authorization program and those, in part, who have certain access or decision-making authority. For security personnel required by the NRC, this FFD program only applies before the receipt of special nuclear material in the form of fuel assemblies.

3.2 NO LATER THAN THE RECEIPT OF SNM IN THE FORM OF FUEL ASSEMBLIES¹

3.2.1 Security Personnel

For security personnel required by the NRC, licensees must implement an FFD program that includes all requirements of 10 CFR Part 26, excluding Subpart K, no later than the receipt of SNM in the form of fuel assemblies, for security personnel as required by 10 CFR 26.4(e)(1) and 26.5. Note that if an entity is not in receipt of fuel assemblies prior to when the Commission makes its 10 CFR 52.103(g) finding or the establishment of a protected area, then security personnel would be subject to Section 3.1.3 above until the licensee or other entity reaches the applicable milestone in Section 3.3 below.

3.3 PRIOR TO THE EARLIER OF WHEN THE COMMISSION MAKES ITS 10 CFR 52.103(G) FINDING, THE LICENSEE'S RECEIPT OF FUEL ASSEMBLIES ON-SITE, OR WHEN THE PROTECTED AREA IS ESTABLISHED

Licensees must implement an FFD program that includes all requirements, except Subpart K, for all personnel performing the duties described in 10 CFR 26.4(a)(1)-(5). These duties include operating or directing the operation of safety-significant systems or components; performing health physicists or chemistry duties as a member of the onsite emergency response organization minimum shift complement; performing the duties of a fire brigade member who is responsible for understanding the effects of a fire and fire suppressants on safe shutdown capability; performing maintenance or onsite directing of the maintenance of safety-significant SSCs; or performing security duties as security personnel.

Licensees must implement an FFD program that meets all requirements of 10 CFR Part 26, except 10 CFR 26.205 through 26.209 and Subpart K, for all personnel granted unescorted access to the protected areas by the licensees in 10 CFR 26.3(a) and, as applicable, 10 CFR 26.3(c) and who do not perform the duties described in 10 CFR 26.4(a).

¹ Each licensee who possesses, stores, or uses special nuclear material of low strategic significance (e.g., new or un-irradiated fuel assemblies) at a fixed site or contiguous sites, except those who are licensed to operate a nuclear power reactor pursuant to 10 CFR Part 50, shall implement the requirements of 10 CFR 73.67(f) and (g).

3.4 PRIOR TO THE CONDUCT OF THE FIRST FULL-PARTICIPATION EMERGENCY PREPAREDNESS EXERCISE UNDER 10 CFR PART 50, APP. E, SECTION F.2.A

3.4.1 Emergency Responders

Licensees must implement a FFD program that includes all requirements of 10 CFR Part 26, except 10 CFR 26.205 through 26.209 and Subpart K, for all persons who are required by a licensee in 10 CFR 26.3(a) and, as applicable, 10 CFR 26.3(c) to physically report to the licensee's Technical Support Center (TSC) or Emergency Operations Facility (EOF) by licensee emergency plans and procedures.

Table 3-1—FFD Program Applicability and Milestones—For Construction and Transition to Operations

Item	Persons Subject to FFD Program	10 CFR Part 26 Requirement	Milestone (Applicable 10 CFR Part 26 Subparts
1	Construction (workers and first line supervisors)	10 CFR 26.4(f)	Prior to initiating 10 CFR Part 26 construction activities	Subpart K
2	Construction (management and oversight personnel)	10 CFR 26.4(e)	Prior to initiating 10 CFR Part 26 construction activities	Subparts A-H, N and O
3	Security Personnel (Required by the NRC)	10 CFR 26.4(e)(1)	Prior to fuel assemblies being received on site	Subparts A-H, N and O
		10 CFR 26.4(a)(5)	Prior to the earlier of: A. Licensee’s receipt of fuel assemblies on site or B. Establishment of a protected area or C. The 10 CFR 52.103(g) finding	Subparts A-I, N and O
4	FFD Program Personnel	10 CFR 26.4(g)	Prior to initiating 10 CFR Part 26 construction activities	Subparts A, B, D-H, N, O and at the discretion of the licensee, Subpart C.
5	Persons required to physically report to the TSC and EOF	10 CFR 26.4(c)	Prior to the conduct of the first full-participation emergency preparedness exercise under 10 CFR Part 50, Appendix E, Section F.2.a	Subparts A-I, N and O, except for 10 CFR 26.205-209

Notes:

- 1) The FFD program is typically described in Chapter 13.7 of the licensee’s or other entity’s Final Safety Analysis Report.
- 2) Construction site entities do not need to establish license conditions for the above milestones since the implementation requirements are described in 10 CFR Part 26. See Staff Requirements Memorandum for SECY-05-0197, February 22, 2006.

4 DEFINITIONS

Accident—An incident including a:

- a. Work-related injury/illness—An injury or illness, resulting in an OSHA Recordable Incident;
- b. Work-related motor vehicle accident—As defined in the construction entity’s procedures, a significant on-site accident that occurs while an individual is in a vehicle performing work on the construction site; or
- c. Radiation Exposure or Release of Radiation—For any event resulting in a radiation exposure or release of radiation in excess of regulatory limits.

Construction Site—The defined physical location (as pictorially illustrated or described in a construction site entity procedure) within or near the footprint of the new power reactor where safety- and security-related SSCs will be installed and operated when the plant begins operation. Nearby areas include, but are not limited to areas used to fabricate, erect, integrate, and test any safety- or security-related SSC’s or materials used to fabricate, erect, integrate, and test safety- or security-related SSC’s (e.g. producing the concrete to be used for the foundation of the reactor building in a facility).

Construction Site Workforce—Those personnel performing construction or directing the construction of safety or security-related SSCs and those individuals performing duties listed in 10 CFR 26.4(e). The personnel in the construction site workforce may be changed (not to be reduced further than those persons required by 10 CFR26.4(f)) for purposes of practical implementation.

First Level Supervisors—The first level supervisory position that does not perform manual work.

Fit for Duty—An individual who can safely and competently perform his/she duties and is trustworthy and reliable, as demonstrated by the avoidance of substance abuse.

Fitness-for-Duty (FFD) Authorization (FFDA)—A term commensurate with “Authorization” as defined in 10 CFR 26 that identifies the status of an individual’s required fitness-for-duty elements, which are then evaluated by a reviewing official to determine whether the individual is trustworthy, reliable and fit for duty. The required elements for FFDA for individual subject to 10 CFR 26 Subparts A-H, N and O are: consent, suitable inquiry (including education in lieu of employment and military service as employment); self- disclosure; pre-access drug and alcohol testing; training in the required FFD K&A’s, FFD and BOP); being subject to both licensee-approved BOP and drug and a alcohol testing program. The elements for FFDA for individuals subject to 10 CFR 26 Subpart K only include consent, pre-access drug and alcohol testing; training in the required FFD policy, sanctions and FFD expectations); being subject to both licensee-approved BOP and a drug and alcohol testing program.

Management and Oversight—Personnel, including:

- a. security personnel required by the NRC,
- b. those who perform quality assurance/quality control/quality verification activities related to safety- or security-related construction activities,
- c. individuals directly involved in witnessing or determining inspections, tests, and analyses (ITAAC) certification,
- d. designated individuals to monitor the fitness of individuals,
- e. individuals responsible for oversight and implementation of the licensee fitness-for-duty, and
- f. second-level and higher supervisors and managers.

Nominal—The limited flexibility that is permitted in meeting a scheduled due date for completing a recurrent activity that is required under this part, such as the nominal annual (12-month) frequency required for FFD refresher training in 10 CFR 26.29(c)(2) and the nominal annual (12-month) frequency required for certain audits in 10 CFR 26.41(c)(1). Completing a recurrent activity at a nominal frequency means that the activity may be completed within a period that is 25 percent longer or shorter than the period required in this part. The next scheduled due date would be no later than the current scheduled due date plus the required frequency for completing the activity.

OSHA Recordable Incident—A significant illness or personal injury to the individual which within 4 hours after the event is recordable under the Department of Labor standards contained in 29 CFR 1904.7.

Significant Illness or Personal Injury—A determination or diagnosis made by a physician or other licensed healthcare professional.

Significant Property Damage—Damage, during construction, to any safety- or security-related SSC in excess of \$100,000.

To Excess—An individual:

- a. consumed alcohol within the 5-hour abstinence period or while on the construction site;
- b. consumed alcohol any time before entering the construction site and has a blood alcohol concentration of 0.02 BAC or higher; or
- c. is unfit for duty as determined by a 10 CFR 26.419 suitability and fitness evaluation.

5 FFD POLICY & PROCEDURES

5.1 DRUG AND ALCOHOL POLICY

5.1.1 Policy Statement and Performance Objectives

Each construction site entity who implements an FFD program shall ensure that a clear, concise, written FFD policy statement is provided to individuals who are subject to the program prior to pre-assignment testing. The policy statement must be written in sufficient detail to provide affected individuals with information on what is expected of them and what consequences may result from the failure to adhere to the policy.

The construction site entity must develop a written policy statement to address the FFD performance objectives of 10 CFR 26.23, which provide reasonable assurance that:

1. Individuals are trustworthy and reliable as demonstrated by the avoidance of, for example, substance abuse;
2. Individuals are not under the influence of any substance, legal or illegal, or mentally or physically impaired from any cause, which in any way adversely affects their ability to safely and competently perform their duties;
3. Measures are established and implemented for the early detection of individuals who are not fit to perform their duties; the construction site is free from the presence and effects of illegal drugs and alcohol;
4. The work places are free from the presence and effects of illegal drugs and alcohol; and,
5. The effects of fatigue and degraded alertness on an individual's ability to safely and competently perform their duties are managed commensurate with maintaining public health and safety.

5.1.2 Policy Statement Details

At a minimum, the written policy statement must:

1. State that:
 - a. Using, selling, manufacturing, purchasing, transferring, dispensing, distributing, or possessing illegal drugs by any individual while on the construction site is strictly prohibited.
 - b. Using, selling, purchasing, transferring, dispensing, distributing, or possessing alcohol by an individual subject to this program while on a construction site is strictly prohibited.
 - c. Consumption of alcohol onsite or within 5 hours of performing construction work to safety-related or security-related SSCs is strictly

prohibited. Abstinence from alcohol for the 5 hours preceding any scheduled work is considered to be the minimum that is necessary, but may not be sufficient, to ensure an individual is fit for duty

- d. An individual subject to the provisions of this document is required to notify the construction site entity of any legal action on or off site involving drugs or alcohol as required by the construction site entity policies.
2. Describe the consequences of the following actions:
 - a. The use, sale, or possession of illegal drugs on or off site;
 - b. The abuse of legal drugs and alcohol;
 - c. The use or possession of alcohol on site
 3. Describe the requirement that individuals who are notified that they have been selected for random testing must report to the collection site within the time period specified by the licensee or other entity construction site entity;
 4. Describe the actions that constitute a refusal to provide a specimen for testing; the consequences of a refusal to test; as well as the consequences of subverting or attempting to subvert the testing process;
 5. Prohibit the consumption of alcohol, at a minimum
 - a. Within an abstinence period of 5 hours preceding the individual's arrival at the construction site for both scheduled and unscheduled work, and
 - b. During the period of any tour of duty;
 6. Convey that abstinence from alcohol for the 5 hours preceding any scheduled and unscheduled work is considered to be a minimum that is necessary, but may not be sufficient, to ensure that the individual is fit for duty;
 7. Describe the consequences of violating the policy;
 8. Describe the individual's responsibility to report legal actions;
 9. Describe the responsibilities of management and oversight personnel to report FFD concerns;
 10. Describe the individual's responsibility to report FFD concerns;
 11. Describe the circumstances that constitute a significant on-site accident; and,
 12. Describe the review process.

5.2 PROCEDURES

Construction site entity procedures must provide reasonable assurance that the individuals are fit to safely and competently perform their duties, and are trustworthy and reliable, as demonstrated by the avoidance of substance abuse. Construction site entities shall develop, implement, and maintain written procedures that address:

1. The identification of individuals that compose the construction site work force;
2. The methods used to identify persons subject to FFD testing;
3. The method of determining who is on the construction site and subject to testing;
4. The methods and techniques to be used in testing for drugs and alcohol, including procedures for protecting the privacy of an individual who provides a specimen, procedures for protecting the integrity of the specimen, and procedures used to ensure that the test results are valid and attributable to the correct individual. These methods, techniques, and procedures shall comply with the requirements contained in 10 CFR Part 26, Subparts E, F and G for urine testing and Subpart K for alternate testing;
5. The immediate and follow-up actions that will be taken, sanctions, and the procedures to be used, in those cases in which individuals who are subject to the FFD program are determined to have:
 - a. Been involved in the use, sale, or possession of illegal drugs;
 - b. Consumed alcohol to excess before or while constructing or directing the construction of safety- or security-related SSCs, as determined by a test that accurately measures BAC (blood alcohol concentration);
 - c. Attempted to subvert the testing process by adulterating or diluting specimens (in vivo or in vitro), substituting specimens, or by any other means;
 - d. Refused to provide a specimen for analysis; or
 - e. Had legal action taken relating to drug or alcohol use; and
6. The process to be followed if an individual's behavior or condition raises a concern regarding the possible use, sale, or possession of illegal drugs on or off site; the possible use or possession of alcohol while constructing or directing the construction of safety- or security-related SSCs; or impairment from any cause which in any way could adversely affect the individual's ability to safely and competently perform his or her duties. The behavioral observation program (BOP), for instance, must cover and focus on those persons described in 10 CFR 26.4(f);

NOTE: If the construction site entity elects to increase the scope of their BOP beyond that required by 10 CFR 26.407 (e.g., to all persons subject to random testing or who have access to the construction site), the entity shall ensure that the 26.407-required program remains effective.

7. Access control to FFD-related software and hardware systems and FFD site and personal databases to protect personal information and the integrity of the FFD program. These controls include, but are not limited to:
 - a. Access control rights (i.e., which individuals can access specific FFD resources) and access control privileges (i.e., what these individuals can do with the FFD resources when accessed);
 - b. Change control processes to control and identify revision of: random testing pool and determination protocols; personal and privacy information; drug and alcohol test results; and Medical Review Officer (MRO) and Substance Abuse Expert (SAE) communications; and,
 - c. Controls to ensure that all persons who are required to be in the random testing pool are in the pool and that these persons have an equal probability of being selected and tested;
8. Conduct of behavioral observations, review processes, audits, and suitability and fitness evaluations;

Note: A construction site entity 10 CFR 26 BOP procedure should account for how an effective program can be implemented as the reactor power plant transitions through construction to an operational mode. For example, a construction site entity should consider a risk-informed element of its BOP to account for safety-significant activities, such as:

 - a. pre-operational testing of installed security- or safety-related structures, systems, and components (e.g., safety-related instrument and controls),
 - b. reactor physics and coolant system hydrostatic pressure testing, and
 - c. ITAAC (inspections, tests, analyses, and acceptance criteria) SSCs;
9. A BOP simultaneously accounting for the routine/continuous observations to detect and appropriately address impairment and adverse behaviors of the construction site work force, in general, accounting for large influxes of new workers or short-duration/transient construction workers;
10. The case in which a person is offsite in a work status for a portion of day (e.g., the person was selected for random testing while offsite in training mode or retrieving equipment from a warehouse) but will be returning or has been directed to return to the construction site later that shift. For example, this person would be subject to, in part, random testing as described in paragraph 6.3.2;
11. Adequate instructions for the conduct of point-of-collection (POC) alternate specimen collection and alcohol testing, if applicable;
12. The records to be retained and the period of retention and
13. The FFD program day-to-day staff composition.

Note: Staff personnel involved in the day-to-day operations of the FFD program does not include persons within the construction entity's line organizations responsible for constructing and directing the construction of safety- and security-related SSCs. These persons, such as managers, supervisors, and secretaries, may have an implementation role in the FFD notification process; however, they are not involved in the day-to-day operations of the FFD program. For example, the shop secretary or supervisor who receives the phone call from the FFD program personnel notifying the shop that a particular welder is required to report for testing is not an FFD program person, as described in 10 CFR 26.4(g).

5.3 CONSENT

Individuals requiring access to the construction site shall sign a Consent form (e.g., see NEI STANDARD (STD) FORM 08-06-01, Consent, Figure 5-1, NEI 08-06, Nuclear Power Plant Access Authorization and Fitness-for-Duty Forms

A signed Consent authorizes the licensee or approved C/V to enter certain general, non-negative information into an industry database; transfer the data to another authorized user; as appropriate, conduct of a background investigation, including verification of certain information self-disclosed by the individual through the conduct of a suitable inquiry as defined within 10 CFR Part 26; as well as to verify the accuracy and completeness of the information provided by the individual. Finally, the Consent identifies which information may be released to which parties, including the NRC.

The individual's signature on the Consent confirms that the individual has read and understands the Consent, and has voluntarily agreed to authorize the construction site entity obtaining the information and the individuals and entities releasing information to take the actions set out in the Consent for purposes of complying with the provisions of 10 CFR Part 26.

5.4 SANCTIONS

The construction site entity shall establish sanctions for FFD policy violations that, at a minimum meet the requirements of 10 CFR 26.75 that prohibit the individuals from being assigned to construct or direct the construction of safety- or security-related SSCs and performing 10 CFR 26.4(e) duties unless or until the construction site entity determines that the individual's condition or behavior does not pose a potential risk to public health and safety or the common defense and security.

The first violation of the FFD policy involving a confirmed positive drug or alcohol test result must, at a minimum, result in the immediate unfavorable termination of the individual's authorization for at least 14 days from the date of the unfavorable termination.

Any subsequent confirmed positive drug or alcohol test result, including during an assessment or treatment period, must result in the denial of authorization for a minimum of 5 years from the date of denial.

At a minimum, if an individual is notified to report for random testing and fails to report at the collection location in the specified time period, the individual's supervisor and FFD management will be notified; and the individual will be prohibited from being assigned to construct or direct the construction of safety- or security-related SSCs and performing 10 CFR 26.4(e) duties until it is determined whether there was a valid reason (e.g. verifiable and/or documented medical reason, weather condition, accident, or vehicle maintenance condition) for not reporting for testing. If it is determined that the individual subverted the collection or testing process (e.g., intentionally avoided random testing), the person's fitness-for-duty authorization (FFDA) to the construction site shall be denied. If the individual's condition or behavior poses a potential risk to public health and safety or the common defense and security, the individual's FFDA to the construction site will be denied until a suitability or fitness evaluation finds the person fit for duty or is unfavorably terminated.

5.5 DRUG AND ALCOHOL TESTING

The construction site entity shall employ urinalysis, oral fluid testing, breath tests, or other specimen testing methods as permitted and required in 10 CFR 26.405, to determine whether persons are fit for duty, including but not limited to pre-assignment or pre-access, for-cause, and random testing.

At a minimum, the construction site entity shall test specimens for marijuana metabolite, cocaine metabolite, opiates (codeine, morphine, 6-acetylmorphine), amphetamines (amphetamine, methamphetamine), phencyclidine, adulterants, and alcohol at the cutoff levels specified in 10 CFR 26, or comparable cutoff levels if specimens other than urine are collected for drug testing.

An individual must consent to submit to such tests as a condition of access to the construction site and refusal to consent shall result in denial or unfavorable termination of FFDA to the construction site. See Section 5.4, "Sanctions," above.

5.5.1 Drug Testing

Testing of urine specimens for drugs and validity, except validity screening and initial drug and validity tests that may be performed by a licensee or approved C/V testing facility compliant with 10 CFR Part 26, Subpart F, must be performed in a laboratory that is certified by the U.S. Department of Health and Human Services (HHS) as described in 10 CFR Part 26, Subpart G. Any initial drug test performed by a construction site entity must use an immunoassay that meets the requirements of the Food and Drug Administration for commercial distribution. Urine specimens that yield positive, adulterated, substituted, or invalid initial validity or drug test results must be subject to confirmatory testing by the HHS-certified laboratory in accordance with 10 CFR 26.161 and 10 CFR 26.163, except for invalid specimens that cannot be tested.

Other specimens that yield positive initial drug test results must be subject to confirmatory testing by a laboratory that meets stringent quality control requirements that are comparable to those required for certification by the HHS.

Confirmatory drug testing is performed using GC/MS (gas chromatography) techniques. Specimens that are negative on the confirmatory test are reported as negative and are not subject to further testing unless they are suspected of having been adulterated, substituted, invalid, or diluted.

In the case of a follow-up test, the confirmatory testing may rely upon a laboratory's Limit of Quantification (LOQ). Any detectible presence of the substance is sufficient for determining a confirmed positive follow-up test.

5.5.2 Alcohol Testing

Testing for alcohol will be conducted through breath measurement or oral fluids (e.g., saliva). The initial test for alcohol performed at the collection site shall be conducted by a breath measurement device or by using oral fluids (e.g., saliva) using acceptable alcohol screening devices (ASDs) which meet the requirements of the National Highway Traffic Safety Administration (NHTSA) standards and any applicable State statutes and are listed on the most recent version of NHTSA's Conforming Products List (CPL). Confirmatory tests for alcohol must be conducted by an evidential breath measurement device (EBT). Evidential breath testing devices listed in the NHTSA CPL for evidential devices that meet the requirements of 10 CFR 26.91 (c) must be used to conduct confirmatory alcohol tests, and may be used to conduct initial alcohol tests. Note that, among the devices listed in the CPL for EBTs, only those devices listed without an asterisk (*) may be used for confirmatory alcohol testing.

For the initial alcohol tests that are negative, no confirmatory tests are required.

5.5.3 Initial and Confirmatory Cut-off Levels

The initial and confirmatory cutoff levels that shall be used when testing urine specimens to determine whether they are negative for the indicated substances are defined within 10 CFR 26.133 and 163(a) and (b). The values depicted in 10 CFR 26.133 and 163(a) and (b) must be adhered to unless validity testing indicates that the specimen is dilute, the construction entity has established a more stringent cutoff, or the cutoff levels provided in 10 CFR 26.163(a) and/or (b) were amended.

5.5.4 Determining Positive Test Results for Alcohol

The construction site entity may rely upon the 49 CFR Part 40, Procedures for Transportation Workplace Drug and Alcohol Testing Programs and/or 10 CFR 26 for testing individuals and determining a positive alcohol test result.

If the construction site entity relies upon 10 CFR 26 for determining positive test results for an alcohol test a confirmed positive test result for alcohol must be declared under any of the following conditions:

1. When the result of the confirmatory test for alcohol is 0.04 percent BAC or higher;

2. When the result of the confirmatory test for alcohol is 0.03 percent BAC or higher and the donor had been in a work status for at least 1 hour at the time the initial test was concluded (including any breaks for rest, lunch, dental/doctor appointments, etc.); or
3. When the result of the confirmatory test for alcohol is 0.02 percent BAC or higher and the donor had been in a work status for at least 2 hours at the time the initial test was concluded (including any breaks for rest, lunch, dental/doctor appointments, etc.).

When the result of the confirmatory test for alcohol is equal to or greater than 0.01 percent BAC but less than 0.02 percent BAC and the donor has been in a work status for 3 hours or more at the time the initial test was concluded (including any breaks for rest, lunch, dental/doctor appointments, etc.), the collector shall declare the test result as negative and inform FFD program management. The construction site entity shall prohibit the donor from performing any duties that require the individual to be subject to the program herein and may not return the individual to performing such duties until the donor is determined fit to safely and competently perform his or her duties.

In instances in which the construction site entity relies upon 49 CFR 40.247 to conduct an alcohol screening tests, a result greater than 0.02 (BAC) will require a confirmation test. If the confirmation test results are 002 (BAC) the construction site entity's designated representative must be notified.

6 SPECIMEN COLLECTION, TESTING, AND ANALYSIS

6.1 CONSENT FORM

Individuals are required to sign the Consent Form (NEI STANDARD FORM 08-06-01) as a condition of access to the construction site. Included in the consent form is the agreement to submit to periodic unannounced (random) testing during the course of their access to the construction site. Refusal to cooperate with or submit to such testing shall result in immediate denial or unfavorable termination of FFDA and access to the construction site.

6.2 TYPES OF TESTING

The construction site entity shall ensure the following testing is performed as part of the FFD program:

6.2.1 Pre-Assignment as 10 CFR 26 Worker

10 CFR 26 workers who will construct or direct the construction of safety- or security-related SSCs shall have negative drug and alcohol test results prior to the start of the worker's construction, or direction of the construction of any safety- or security-related SSCs and performing 10 C FR 26.4(e) duties. These drug and alcohol tests must be administered no more than 30 days prior to the start of the worker's constructing or directing the construction of a safety- or security-related SSCs and performing 10 C FR 26.4(e) duties. Once it has been determined that an individual has a negative drug and alcohol test result, the individual may be eligible to gain access to the construction site. A construction site entity may maintain an individual in this status as long as the individual remains in the construction site entity random fitness for duty testing program for new plant construction and is subject to a BOP as defined in Section 6.8.

6.2.2 For Cause

6.2.2.1 Post Accident

As soon as practical after an event involving a human error that was committed by an individual subject to this program where the human error may have caused or contributed to the accident, the construction site entity shall test the individual(s) who committed the error(s), and need not test individuals who were affected by the event but whose actions likely did not cause or contribute to the event. Individuals involved in a work-related accident shall be required to submit to a drug and alcohol test at a designated testing facility.

Drug and alcohol for-cause testing may be delayed only if necessary to seek urgent medical care. "Urgent medical care" could include, but is not limited to:

head trauma; broken bones; internal organ problems; and burns and other wounds requiring a medical doctor, paramedic, or nursing care.

6.2.2.2 Occupational Injury and Illness Resulting in an OSHA Recordable Incident

The injured individual must notify their onsite supervisor of the injury or illness, if able.

1. The construction site entity management shall make arrangements for the individual to submit for a drug and alcohol test at a designated testing facility.
2. The MRO-reviewed positive, adulterated, substituted, and invalid confirmatory drug and validity test results and alcohol test results shall be submitted to the construction site entity's designated representative.

Note: The qualifying phrase "within 4 hours after the event" is utilized in 10 CFR 26.31(c)(3)(i) and 26.405(c)(3)(i) because, in some cases, it will be difficult to detect illnesses and injuries that meet the threshold for post-accident (i.e., post-event) testing and to conduct testing within that 4-hour window. Therefore, the determination of whether the event is recordable must be made within 4 hours and the post-accident/for-cause testing must commence as soon as practical after the event occurred. The 4-hour window should not be misinterpreted as requiring post-event testing to be completed within 4 hours after the event.

6.2.2.3 Significant Property Damage

The supervisor shall notify the respective construction site entity's designated representative that an incident has occurred that resulted in damage to safety- or security- related SSC in excess of \$100,000.

10 CFR 26.405(c), requires that drug and alcohol post-accident testing be accomplished "as soon as practical after an event," therefore determination of the monetary value of an accident should not be unnecessarily complex or burdensome as to cause an unacceptable delay in post-accident testing. This determination should be made by an individual authorized by the construction entity (i.e., a person who can make an informed determination, who did not cause or contribute to the event, or who did not direct the activities leading up to the event) and be documented in sufficient detail to enable post-event reviews. Examples include but are not limited to the following:

A human error that causes:

1. A load to be dropped onto or moved across a seismically-engineered floor or foundation that exceeds its evaluated structural capacity;
2. A fire or flood that adversely affects a safety- or security related SSC;
3. A dropped safety- or security-related structure or system; or,

4. The retraction of a 10 CFR 52.99(c)(1) notification, could be examples that meet the 10 CFR 26.405(c)(3)(ii) post-accident testing requirement for “Significant damage, during construction, to any safety- or security-related SSC.”

Construction site entity management shall make arrangements for the individuals involved in the damage event sequence to submit for a drug and alcohol test at a designated testing facility as soon as practicable.

The MRO-reviewed positive, adulterated, substituted, and invalid confirmatory drug and validity test results and alcohol test results shall be timely (e.g., electronically) submitted in writing to the construction site entity’s designated representative.

6.2.2.4 Observed Behavior

Management and oversight personnel shall notify the construction site entity about any FFD concerns about individuals, as a minimum:

1. If observed behavior or a physical condition creates a reasonable suspicion of possible substance abuse, the construction site entity shall perform drug and alcohol testing. The results must be negative before the individual returns to performing work on SSCs or assigned duties.
2. If credible information is received that an individual is engaging in substance abuse, the construction site entity shall perform drug and alcohol testing
3. If there is the smell of alcohol with no other behavioral or physical indications of impairment, then only an alcohol test is required.

For other indications of possible impairment that do not create a reasonable suspicion of alcohol use or substance abuse, the construction site entity may permit the individual to return to work only after the condition (e.g., fatigue, legal use of prescription or over-the-counter medications, etc.) is evaluated by the MRO and the MRO has determined that the individual is fit to safely and competently perform his or her duties.

6.2.3 Follow-up

For individuals covered by a follow-up plan, the construction site entity must conduct follow-up testing to verify an individual’s continued abstinence from substance abuse as determined by the MRO.

6.3 RANDOM DRUG AND ALCOHOL TESTING

6.3.1 Random Testing Population

The population of individuals subject to random testing (i.e., the random testing pool) includes all 10 CFR 26 workers within the construction site workforce. A 10 CFR 26 worker may not construct or direct construction of safety- or security-

related SSCs or perform 10 CFR 26.4(e) duties unless he/she is identified within the random testing pool for the time period he/she is constructing or directing the construction of safety- or security-related SSCs or perform 10 CFR 26.4(e) duties. Since the construction site workforce composition is expected to change frequently, the construction site entity must determine the 10 CFR 26 population at the time of the required random testing frequency and then generate its random testing selection list.

Recognizing that individuals may move into or out of the category of random test-eligible individuals that will form a particular testing population, the construction site entity must develop a means (e.g., badge, other unique identification, etc.) that will account for all 10 CFR 26 workers who are constructing or directing the construction of safety- or security-related SSCs or performing 10 CFR 26.4(e) duties at the time random pool is created.

The construction site entity's random testing methodology must ensure that the required annual random testing rate is met or exceeded.

The construction site entity should not change the size of its random testing population in an effort to reduce the occurrence of positive test results and should implement appropriate procedure instructions (i.e., reviews and approvals) to manage changes to the construction site population.

The construction site entity must ensure that the selection method must not be predictable based on either the time of day or frequency.

6.3.2 Random Testing Frequency

Random testing shall be performed at an annual rate of at least 50% of the 10 CFR 26 workers and must be generated on a nominal weekly basis.

Random testing must be administered in a manner that provides reasonable assurance that individuals are unable to predict the time periods during which specimens will be collected. The construction site entity must take reasonable steps to either conceal from the workforce that collections will be performed during a scheduled collection period or create the appearance that specimens are being collected during a portion of each day on at least 4 days in each calendar week at the construction site. The portions of each day and the days of the week must vary in a manner that cannot be predicted by donors.

The construction site entity must collect specimens on an unpredictable schedule, including weekends, backshifts, and holidays, and at various times during a shift. There shall be no "safe time or day" with regard to random testing.

If an individual is selected and is not at work on the day of testing, the individual is not required to report for the purposes of random testing; and the construction site entity will randomly select another individual for testing. Test selection shall be statistically random and unannounced, so that all individuals in the population subject to testing have an equal probability of being selected and tested. Testing

will be administered in a manner that provides reasonable assurance that individuals are unable to predict the time periods during which specimens will be collected.

Random testing for individuals concurrently authorized Unescorted Access to an operating power reactor shall be deemed adequate to maintain access to a construction site without being subject to additional random testing.

6.3.3 Random Selection Notification Process

At the time of random drug and alcohol testing, the following steps shall be taken:

1. A record of the individuals selected for random testing shall be documented in the construction site entity's records, maintained and controlled by the FFD program personnel and include those individuals selected for testing, but were not on the construction site and available for testing. A record must include the following:
 - a. The time the notifications were made to the construction line organization for the individuals selected for testing, and
 - b. The times the individual was tested.
2. The construction site entity shall notify the subject individuals and direct them to report to the collection site as soon as practicable after notification and within the time period specified in the construction site entity's FFD program. If the individual's supervisor determines that the selected individual is performing safety- or security-related construction work or performing 10 CFR 26.4(e) duties in which relief is not reasonably possible or safe (i.e., the immediate disruption of such work would have a high likelihood of causing an unsafe or unsecure work environment), then the individual should be permitted to report for testing immediately upon the next break in work or immediately after his/her shift, but in every case, prior to leaving the construction site at the end of the work shift. If the testing facility is located off-site, the construction site entity must provide a reasonable amount of travel time to the testing facility and the timeframe shall be documented within licensee procedures. Some example activities that may require greater time reporting allowance than the construction site entity's normal expectation include but are not limited to the following:
 - a. performing activities within an atmosphere requiring OSHA respiratory-controls;
 - b. welding a reactor coolant pressure boundary (including time-sensitive weld preparation);
 - c. manipulating crane controls during a heavy lift; or
 - d. implementing security contingency response actions.

3. Individuals selected for testing from the random pool must be immediately available for subsequent selections.

6.3.4 Individual Fails to Report for Random Testing

If an individual is notified to report for random testing and fails to report at the collection location in the specified time period:

1. the individual's supervisor and FFD program management will be notified; and
2. the individual will be prohibited from being assigned to construct or direct the construction of safety- or security-related SSCs or performing 10 CFR 26.4(e) duties until it is determined whether there was a valid reason (e.g. verifiable and/or documented medical reason, weather condition, accident, or vehicle maintenance condition) for not reporting for testing.

6.3.5 Failure to Comply with Random Testing Program Requirements

If it is determined that the individual intentionally failed to comply with and report for testing when notified; otherwise avoided or disregarded the random testing notification; or the individual's condition or behavior poses a potential risk to public health and safety or the common defense and security, the individual's FFDA will be permanently denied and access to the construction site will be terminated unfavorably.

6.3.6 Construction Site Entity Actions When a 10 CFR 26 Worker Fails to Comply

If a 10 CFR 26 worker refuses to submit to the testing, the worker shall be informed that FFDA and access to the construction site shall be terminated unless he/she submits to testing. If the individual still does not comply, the individual will be removed from the construction site and the construction site entity's FFD program manager will be notified.

6.3.7 Random Testing Exceptions

An individual selected for random testing that is not available at the time testing is being conducted will be tested at the next available time as determined by the FFD Program personnel.

6.4 SPECIMEN COLLECTION AND LABORATORY SPECIMEN ANALYSIS

6.4.1 Collector Site and Collector Qualifications:

The construction site entity may establish a collection site that meets the requirements of the current version of 49 CFR Part 40, "*Procedures for Department of Transportation Workplace Drug and Alcohol Testing Programs*," as amended, and ensure the following:

6.4.1.1 Urine Collector Qualifications:

Urine collectors (and alternate collectors as provided in 10 CFR 26.85(c) shall be knowledgeable of the requirements of the construction site FFD policy and procedures and shall keep current on any changes to urine collection procedures (either those described in 10 CFR Part 26 and/or 49 CFR Part 40 if relied upon to support the construction entity's program). Collectors shall either receive qualification training that meets the requirements of 10 CFR 26.85 and demonstrate proficiency in applying the requirements of 10 CFR 26.85 before serving as a collector or meet the 49 CFR Part 40 Subpart C's, collection and training requirements.

6.4.1.2 Alcohol Collector Qualifications:

Alcohol collectors shall be knowledgeable of the requirements of the construction site FFD policy and procedures and shall keep current on any changes to alcohol collection procedures (either those described in 10 CFR Part 26 and/or 49 CFR Part 40 if relied upon to support the construction entity's program). Collectors shall receive qualification training meeting the requirements of 10 CFR 26.85 and demonstrate proficiency in applying the requirements before serving as a collector or meet the 49 CFR Part 40 Subpart J, Collection and Training Requirements.

6.4.2 Alternative Collection Sites

Construction site entities may rely on a local hospital or other organization that meets the requirements of the current version of 49 CFR Part 40, "*Procedures for Department of Transportation Workplace Drug and Alcohol Testing Programs*" to collect urine specimens and conduct alcohol tests for the FFD program listed herein.

6.4.3 On-site Licensee Testing Facility

The construction site entity may use a licensee testing facility, whether located on or off-site, that meets the requirements of 10 CFR Part 26, Subpart F, to conduct initial validity and initial testing of urine specimens.

6.4.4 Initial and Confirmatory Testing Methods

Any initial test performed by a licensee testing facility or a HHS-certified laboratory and the confirmatory test performed by a HHS-certified laboratory (or comparable laboratory for alternate specimens) shall use a process which meets the requirements of the Food and Drug Administration (FDA). Testing for drugs and drug metabolites will be conducted through the analysis of urine specimens or other alternative specimens which meets the requirements of the FDA. Testing for alcohol will be conducted through breath measurement or oral fluids.

Analytic methods used for testing will be urinalysis, oral fluid analysis, or any other specimens approved in 10 CFR Part 26. Testing that indicates the presence

of alcohol, specific drugs, or drug metabolites, may or may not be an indication of impairment due to substance use. The final determination is made by the MRO.

Note: As an example, a person who confirmed positive for a Schedule I drug of Section 202 of the Controlled Substances Act [21 U.S.C. 812] is considered unfit for duty, even if the drug was legally prescribed and used under State law.

Initial analysis and validity testing of urine specimens will be performed by either a licensee testing facility, a HHS-certified laboratory, or a HHS-certified instrumented initial test facility. Confirmatory analysis is performed by an HHS certified laboratory. Breath analysis may be performed at the construction site entity collection site or other site (e.g., local hospitals) as described herein that meets the requirements of 49 CFR Part 40, as amended.

6.4.5 Point-of-Collection (POC) Alternate Specimen Collection and Alcohol Testing

Note: DOT-qualified urine collectors are trained to split urine specimens and not trained to conduct alternative specimen collections.

The construction site entity:

1. May elect to conduct, for example, oral fluid drug or alcohol screening as long as its collection procedures and testing of oral fluids meet or exceed the requirements in 10 CFR 26 regarding, in part, specimen integrity, cutoffs for drugs and drug metabolites, quality controls, protection of information, and chain of custody.
2. Should ensure that the use of its selected POC apparatus tests drugs and drug metabolites at cutoffs specified in 10 CFR 26.133 or at comparable levels. For example, some POC equipment may not be optimized to detect delta-9-tetrahydrocannabinol-9-carboxylic acid (THC-COOH) because of cross reactivity to other metabolites. Therefore, the oral fluid result would not be comparable to a urine result as required by 10 CFR 26.405(d) and the construction site entity would need to establish an appropriate POC cutoff. This same type of comparable analysis is required by 10 CFR 26.405(f) if the construction site entity utilizes a laboratory that is comparable to an HHS-certified laboratory for confirmatory analysis.
3. Should establish in procedures other alternate specimen collection considerations, such as: dry mouth, oral/salivary contamination, privacy, specimen security, preservation, information protection, custody, collection, and other considerations to meet the requirements of 10 CFR 26.
4. Should establish in procedures the process to be followed if an initial drug and/or alcohol screening test indicates the need for confirmatory analysis per 10 CFR 26.

Note: Where applicable, construction site entities, should assess whether their POC procedure requirements for POC testing (e.g., performed for follow-up, for cause, pre-assignment/pre-access, etc.) might need to be different than that established for continual (e.g., random) POC testing to provide reasonable assurance that the FFD Program for Construction remains effective.

6.4.6 Interpretation of Testing Results and Follow-up Activities

Those specimens that test negative on the initial test are not subject to further testing unless they are suspected of having been substituted, invalid, adulterated or diluted.

Specimens with a confirmed positive laboratory result for drugs, other than alcohol, will be evaluated by the MRO who must determine whether there is a legitimate medical reason for the presence of that drug in that specimen. This may involve review of medication history, physical examination and/or personal interview.

6.5 SPECIMEN PROCESSING

Construction site entity shall arrange for specimen collections for drug evaluation and initial alcohol tests to be performed at the collection location as specified in the construction site entity procedures. The testing should be done as soon as practicable after appropriate medical care if required is rendered if required, as discussed in Section 6.6.2, “*For Cause*,” subsections “*Post Accident*” and “*Notification Procedures*.”

Collection site personnel shall arrange for the transfer of collected specimens to the appropriate testing facility (e.g., licensee testing facility or HHS-certified laboratory for urine specimens). The construction site entity shall take appropriate and prudent actions to minimize false negative results from specimen degradation. Specimens that have not been shipped to the appropriate testing facility (e.g., HHS-certified laboratory or a licensee testing facility) within 24 hours of collection and any specimen that is suspected of having been substituted, adulterated, or tampered with in any way must be maintained cooled to not more than 6 °C (42.8 °F) until they are shipped to the appropriate laboratory. Specimens must be shipped from the collection site to the appropriate laboratory or a licensee testing facility as soon as reasonably practical but, except under unusual circumstances, the time between specimen shipment and receipt of the specimen at the licensee testing facility or laboratory should not exceed two business days.

The specimen collection and alcohol testing process will be detailed in the construction site entity procedures and will meet or exceed the requirements of specimen collection as stated in 10 CFR Part 26. For alternative methods not described in 10 CFR Part 26 the construction site entity, pursuant to 10 CFR 26 and this guidance, will develop detailed collection and specimen testing procedures. These procedures will be subject to NRC inspection.

6.6 POSITIVE RESULTS

A positive confirmatory breath alcohol test indicates a violation of the FFD program.

A positive initial drug test result does not always indicate a violation of the FFD program. The MRO must review positive test results from the HHS-certified laboratory or comparable laboratory for alternative specimens, determine whether a legitimate medical reason exists for the positive result, and make the final determination as to whether the test is a “confirmed positive” and the individual has violated the FFD program. If the MRO determines that there is a legitimate medical explanation for the confirmed positive test result from the confirmatory analysis, and the drug was used in the manner and dosage prescribed, the MRO shall report the result as negative that no FFD policy violation has occurred.

Note: If the MRO determines that the individual’s condition poses a potential risk to the individual’s ability to safely and competently perform his/her assigned duties in a trustworthy and reliable manner, a determination of fitness should also be performed in accordance with the construction site entity’s FFD program.

Adulterated, substituted, diluted and invalid confirmatory drug and validity test results will also be subject to MRO review for final determination.

Only the MRO can authorize the reanalysis of the original specimen, or the analysis of an aliquot of a split sample. The donor must request the MRO to authorize reanalysis. Such reanalysis shall be documented by the MRO and conducted by an HHS-certified laboratory or comparable laboratory for alternative specimens.

The MRO shall report all confirmed positive results (and for which analyte), adulterated, substituted, diluted, and invalid results to the construction site entity’s designated person, without disclosing quantitative test results, and except as permitted in 10 CFR 26. The construction site entity shall ensure that appropriate action is taken as defined in the construction site entity procedures to deny the individual access to the construction site.

7 BEHAVIORAL OBSERVATION PROGRAM

The construction site entity's BOP is the primary means to detect behavior that may indicate possible use, sale, or possession of illegal drugs; use or possession of alcohol on site or while on duty; or any physical impairment; or any condition that, if left unattended, may constitute a risk to public health and safety or the common defense and security.

Management and oversight personnel, identified in Section 2.2 of this document are responsible for observing individuals subject to a BOP, shall be identified within the construction site entity's procedures and shall report any FFD concerns about individuals to the personnel designated in the construction site entity's policy.

Management and oversight personnel that are responsible to perform BOP must be trained to have sufficient awareness and sensitivity to detect degradation in performance which may be the result of being under the influence of any substance, legal or illegal, physical or mental impairment which in any way may adversely affect their ability to safely and competently perform their duties. Training shall communicate the expectation of promptly reporting noticeable changes in behavior or FFD concerns about other individuals to the construction site entity designated personnel for appropriate evaluation and action in accordance with the FFD policy.

8 REVIEWING OFFICIAL

The licensee or as applicable, approved C/V, is required to designate in writing one or more individuals as a reviewing official to make FFDA determinations relative to an individual's, trustworthiness and reliability and fitness for duty. The designated reviewing official must have a demonstrated knowledge of all aspects of the FFDA elements and the applicable FFD program requirements impacting an individual's FFDA.

In every case, the reviewing official shall evaluate trustworthiness and reliability based on an accumulation of information including potentially disqualifying information (PDI), BOP data, and/or any subsequent determination of fitness. This information must support a trustworthiness and reliability determination prior to the licensee granting FFDA or maintaining of FFDA. The individual must be informed of the basis for any denial of FFDA. Items to evaluate include:

1. The self-disclosed and developed activities of the individual;
2. The consistency and completeness of self-disclosed and developed information;
3. Results of true identity verification of the individual, such as comparing PHQ data to developed information, or other data sources; and
4. The reason for inconsistencies detected through review of collected information, i.e., intentional, innocent, or an oversight. Willful or intentional acts of omission or untruthfulness would be grounds for denial of FFDA.

Whenever an individual who is granted FFDA is subsequently terminated unfavorably, the organization responsible for controlling access to the construction site must be notified prior to or simultaneous with the unfavorable termination.

The individual must be notified in writing that any document submitted by the individual as part of the FFDA process must contain accurate, complete and truthful information, and advised of the consequences for failure to do so.

The following actions related to providing and sharing the personal information required are sufficient cause for denial or unfavorable termination of FFDA:

1. Refusal to provide written consent for the suitable inquiry;
2. Refusal to provide, or the falsification of any personal information including, but not limited to, the failure to report any previous denial or unfavorable termination of nuclear power plant access authorization;
3. Refusal to provide written consent for the sharing of personal and developed information with other licensees, construction site entities or C/Vs; and

4. Failure to report any legal actions, if applicable.

The licensee reviewing official may determine that FFDA shall be denied or terminated at any time based on disqualifying information even if all information required has not been provided, collected, or evaluated. However, FFDA must not be granted until all applicable FFDA elements are completed and have been favorably evaluated by the licensee reviewing official. However, the reviewing official may deny or terminate FFDA of any individual based on disqualifying information even if not all the information required by this section has been collected or evaluated.

If an individual who has FFDA status is not subject to an FFD program that meets the requirements of this document for more than 30 continuous days, then the reviewing official shall terminate the individual's FFDA status and the individual shall meet the requirements in order to reestablish FFDA.

9 GRANTING AND MAINTAINING FFDA

9.1 FFDA ELEMENTS

The FFDA elements individuals subject to 10 CFR 26 Subpart A-H, N & O must have completed include in accordance with 10 CFR 26 Subpart C:

1. Sign a consent;
2. Verification of identity;
3. Complete a self-disclosure of FFD potentially disqualifying information (PDI) and legal actions;
4. Conduct a suitable inquiry of employers(including education in lieu of employment and military service within the scope period) to verify self-disclosure information;
5. Successfully pass a pre-assignment drug and alcohol test;
6. Receive and successfully pass training on the 10 CFR 26-required knowledge and abilities (K&A's);
7. Be subject to an approved BOP; and
8. Be subject to a random drug and alcohol testing program.

The FFDA elements individuals subject to 10 CFR 26 Subpart K must completed are:

1. Sign a consent;
2. Verification of identity;
3. Successfully pass a pre-assignment drug and alcohol test; and
4. Receive training on FFD policy, sanctions and FFP program expectations.

9.2 TYPES OF FFDA

The requirements for FFDA are separated into the following categories:

1. Initial FFDA;
2. Reinstated FFDA; and
3. Maintained FFDA or elements thereof.

The determining factor that differentiates the use of any of these categories is:

1. whether the individual has previously held FFDA;

2. the lapsed time (the total number of days that the individual's FFDA is interrupted to include the day after the individual's last period of FFDA was terminated and the intervening days until the day upon which the individual applies for FFDA); and
3. whether or not the FFDA has been terminated favorably.

9.3 GRANTING FFDA AND FFDA ELEMENTS

A construction site entity may grant FFDA upon successful completion and documentation of the elements specified within Section 9.1, as appropriate.

Construction site entities and C/Vs may rely upon the information that other licensees, construction site entities and C/V's who are subject to 10 CFR 26 have:

1. gathered about individuals who have previously applied for FFDA and
2. developed about individuals during periods in which the individuals were maintained in an FFDA status.

Construction site entities who are seeking to grant FFDA to an individual who is subject to another NRC-approved program (e.g., 10 CFR 73.56 Personnel Access Authorization Requirements for Nuclear Power Plants) or another program that complies with the requirements contained within this document (including programs designed to meet the requirements of 10 CFR 73.56), may rely on those documented programs or program elements to comply with the FFDA requirements.

The construction site entity who is seeking to grant FFDA is required to document that the program elements being accepted have been maintained consistent with the requirements of this section by the other program (e.g., access authorization or FFDA at another construction site).

Operating US nuclear power plants and construction site entities that collect personal data under requirements of 10 CFR 26 are committed to the requirements contained within this document and therefore, are able to share and rely upon information that has been collected and evaluated in accordance with the requirements of this program.

If an individual who has FFDA status is not subject to a FFDA program that meets the requirements as defined in this section for more than 30 continuous days, then the licensee shall terminate the individual's FFDA status.

9.4 MAINTAINING FFDA AND FFDA ELEMENTS

Once Initial FFDA is granted, the individual may be maintained in a FFDA-certified status.

FFDA elements completed prior to the granting of FFDA may be maintained current indefinitely for an individual covered by an approved BOP. Additional drug and alcohol testing is not required if the individual was subject to a random drug and alcohol testing program throughout the period since the individual's last FFDA was terminated.

Self Disclosure (SD) and Suitable Inquiry (SI) once completed can be maintained indefinitely provided the individual is under a licensee-approved BOP since the completion of SD and SI or throughout the period since the individual's last FFDA was terminated favorably.

9.5 FFDA TERMINATED UNFAVORABLY

For individuals whose last FFDA was terminated unfavorably, whose FFDA was suspended due to violation of a FFD program policy or whose last FFDA or request for FFDA was denied, the individual's trustworthiness and reliability must be re-established through the conduct of program elements necessary to establish an Initial FFDA as described in Section 9.2(a)(1).

9.6 REVIEW PROCESS

The construction site entity shall have a review process that is objective and impartial. The construction site entity's review program is not intended to modify, subjugate, or abrogate any review rights that currently exist for individuals with their respective employers.

An individual who has been denied FFDA at the construction site or whose authorization has been terminated due to a violation of the FFD program shall:

1. Be provided the basis for the denial of FFDA;
2. Have an opportunity to provide additional information and/or correct incorrect information contained on the record, and;
3. Be provided the opportunity to have the decision, together with any additional information, reviewed in accordance with the construction site entity appeal/review process as defined in the construction site entity's procedures. For example, the appeal/review process may entail a separate review by another construction site entity manager who is equivalent or senior to and independent of the individual who made the decision to deny or terminate access to the construction site due to the program violation.
4. The determination from this independent review is final.

10 PROTECTION OF INFORMATION

Personal information, whether electronic or hardcopy, must not be disclosed to unauthorized persons. The construction site entity shall obtain a signed consent that authorizes the disclosure of the personal information collected and maintained under the construction site entity's FFD program before disclosing the personal information, except for disclosures to the following persons who are authorized:

1. A licensee's or other entity's representatives who have a need to have access to the information to perform their assigned duties under the FFD program, including determinations of fitness, FFD program audits, or some human resources functions;
2. NRC representatives;
3. Assigned MROs and MRO staff;
4. Appropriate law enforcement officials under court order;
5. The subject individual or his/her representative who has been designated in writing;
6. Persons deciding matters on review or appeal;
7. The presiding officer in a judicial or administrative proceeding initiated by the subject individual (see note below), or
8. Other persons pursuant to court order.

Note: For example, the presiding officer and a licensee's or other entity's attorneys of record defending the licensee in an alternative dispute resolution, judicial, or administrative proceeding that is initiated by the subject individual regarding a wrongful termination claim or action resulting from a violation of the license's FFD policy. The information disclosed to the presiding officer and the licensee's or other entity's attorneys must be limited to the subject individual's personal FFD information that is at issue in the proceeding, the information disclosed to the presiding officer must be identical to the information disclosed to the licensee's or other entity's attorneys, and the discloser of the information to the presiding officer and the licensee's or other entity's attorneys must include a binding stipulation that the presiding officer and the licensee's or other entity's attorneys will not make the information publicly available.

11 RECORDS RETENTION

The construction site entity must establish and maintain a system of files and procedures that clearly indicate how the records pertaining to the administration of the program are maintained so that they are available for NRC inspection purposes and for any legal proceedings resulting from the administration of the program. The records may be stored and/or archived either in hardcopy or electronic format.

11.1 FIVE-YEAR RECORDS RETENTION

The construction site entity shall maintain for at least five (5) years after the construction site entity terminates or denies an individual's FFDA or until the completion of all related legal proceedings, whichever is later.

1. Records pertaining to individual workers including:
 - a. Information used to make pre-assignment (i.e., FFDA, consent, termination, FFD testing results, etc.) decisions;
 - b. Records pertaining to the determination of a violation of the FFD policy and related management actions; and
 - c. Records of any MRO evaluations or suitability and fitness evaluations.
2. FFD Program records including:
 - a. A list of the random pool (including all updates), a list of individuals selected for random testing for each day of testing, including those individuals selected but not tested, and the reason individuals were not tested;
 - b. Superseded versions of the written FFD policy and procedures;
 - c. Procedures involving behavioral observation, protection of information, reviews conducted for FFD policy violations, audits, suitability and fitness evaluations, sanctions, and drug and alcohol selection, collection, testing (e.g., pre-assignment/pre-access, random, for-cause, post-accident, and follow-up), evaluation; test results;
 - d. Technical information and evaluations used to justify or support the conduct of alternate specimen sampling and licensee-selected drug and drug metabolite cutoff levels;
 - e. Information, data, and reports necessary to implement the requirements of 10 CFR 26;
 - f. NRC Operations Center reports by telephone pursuant to Section 6.11; and
 - g. Annual program performance reports for the FFD program.

11.2 THREE (3)-YEAR RECORDS RETENTION

The construction site entity shall maintain for at least three (3) years records that, include:

- a. Records of FFD training and examinations
- b. Records of audits, audit findings and corrective actions

11.3 LIFE OF AGREEMENT

The construction site entity shall maintain until the life of the agreement or until completion of all legal proceedings, whichever is later, written agreements for the provision of services supporting the FFD program.

11.4 FFD PROGRAM PERSONNEL FOR THE LENGTH OF EMPLOYMENT BY OR CONTRACTUAL RELATIONSHIP WITH THE CONSTRUCTION SITE ENTITY

The construction site entity shall maintain FFD Program personnel records; background investigations, credit and criminal history checks, and psychological assessments of FFD program personnel for the length of the individual's employment by or contractual relationship with the licensee or other entity, or until the completion of all related legal proceedings, whichever is later.

11.5 FOR THE TIME THE FFD PROGRAM PERMITS TESTING FOR DRUGS NOT SPECIFIED IN 10 CFR PART 26

The construction site entity shall maintain records for the FFD program that includes testing for drugs not specified in 10 CFR 26 or for those that used more stringent cutoff levels than 10 CFR 26 required for the time the FFD program follows these practices or until the completion of all related legal proceedings, whichever is later.

11.6 ELECTRONIC FORMAT RECORDS AND SIGNATURES

For information stored or transmitted in electronic format, access to personal information will be controlled by password protection to control access to personal data and limiting data entry to each authorized individual's area of responsibility.

When signing forms specified within this document, either a handwritten signature or an electronic signature (e.g., USER ID Account or process that links the data to the individual, etc.) may be used to signify that the individual signed the form providing appropriate consent or acknowledged that the data on the form is accurate. If the signature or approval is electronic, the signature or approval must be in a form that is capable of being retained and accurately reproduced for later reference by parties required to maintain the record.

11.7 HARDCOPY RECORDS

Hard copy FFD records containing personal information shall be maintained in secured storage or lockable file cabinets when not in review. Access to the FFD area where FFD files and FFD file cabinets containing personal information are maintained is limited to those individuals authorized by the construction site entity.

12 REPORTING RESPONSIBILITIES

Licensee-approved C/Vs must report to the licensee or other entity within 8 hours of discovery any programmatic failure, degradation, or discovered vulnerability of the FFD program that may permit undetected drug or alcohol use or abuse by individuals who are subject to the FFD program.

Construction site entities shall make reports to the NRC Operations Center by telephone within 24 hours after the entity discovers any intentional act that casts doubt on the integrity of the FFD program and any programmatic failure, degradation, or discovered vulnerability of the FFD program that may permit undetected drug or alcohol use or abuse by individuals who are subject to the FFD program. These events must be reported under 10 CFR 26, rather than under the provisions of 10 CFR 73.71.

Construction site entities, for example, should exercise prudent judgment in determining whether to report a particular construction-related FFD issue to the NRC Operations Center. The following examples are guidance to assist construction site entity reportability determinations:

1. An “intentional act that casts doubt on the integrity of the FFD program” could involve, but is not limited to, the following examples:
 - a. the unauthorized notification of a person, to subvert the FFD program’s normal notification procedure, that he/she will be selected for drug or alcohol testing on a certain day or at a certain time;
 - b. any unauthorized diversion or subversion of a drug or alcohol specimen or its documentation while in construction site entity custody;
 - c. any actual tampering or unauthorized alteration of onsite instrumentation or equipment used to analyze or store a drug or alcohol specimen; or
 - d. any actual collusion between any person with FFD-related program management access or authorization (e.g., an instrument calibration technician, computer software/hardware technician, FFD program personnel, supervisors, etc.) and any person subject to drug or alcohol testing to subvert the test.
2. Any programmatic failure, degradation, or discovered vulnerability of the FFD program that may permit undetected drug or alcohol abuse by individuals who are subject to the FFD program, could involve, but is not limited to, the following examples that involve the failure to:
 - a. conduct behavioral observation or perform pre-assignment/pre-access or random testing of a significant number of persons who constructed or directed the construction of safety- or security-related SSCs or perform 10 CFR 26.4(e) duties;

- b. implement an effective suitability and fitness evaluation (10 CFR 26) process that enabled unfit persons to construct or direct the construction of safety- or security-related SSCs or perform 10 CFR 26.4(e) duties; or
- c. provide reasonable assurance that one or more of the 10 CFR 26.23, “Performance objectives,” are met.

Note: Single occurrences or non-related multiple occurrences not representing a programmatic failure should not be reported.

- 3. Construction site entities should also consider making a report for the following persons, if found and confirmed to be unfit for duty during the onsite conduct of the described duty(ies):
 - a. a person maintaining or has applied to the NRC for a 10 CFR Part 55 license who directed or performed a safety-significant activity;
 - b. Certified Fuel Handler (see 10 CFR Part 50.2) who directed or manipulated nuclear fuel;
 - c. a security person performing NRC-required duties; or,
 - d. a person who performed quality assurance/verification activities on an Inspection, Tests, and Analysis and Acceptance Criteria (ITAAC)-designated SSC or other 10 CFR 26.4(e) duties.
- 4. If a construction site entity identifies that a particular 10 CFR Part 26, Subpart G, laboratory has a significant quality issue or a collection contractor has trustworthy and reliability concerns, and the issue meets the criteria in 10 CFR 26, this issue should be reported.
- 5. If a person entered the construction site in possession or “constructive possession” of more than a personal-use quantity (e.g., a quantity established by State law) of an illegal drug, the issue should be reported.
- 6. FFD-reportable occurrences should be evaluated and documented (with appropriate protection of information) by the construction site entity for the implementation of corrective actions to help assure the continuing effectiveness of the FFD program and to enable NRC inspection.

12.1 ANNUAL PROGRAM PERFORMANCE REPORTS FOR THE FFD PROGRAM

For the annual report:

- 1. The construction site entity should submit its FFD performance data for its construction site population excluding individuals covered under a co-located operating reactor site population.

2. If a construction site and an operating reactor site share employees, these shared persons should be reported (i.e., included) in the operating reactor FFD performance report.
3. The construction site entity should coordinate the reporting of C/V personnel with the C/V entity in order to preclude double counting of C/V personnel in the construction site entity's, licensee's and NRC's FFD databases.

Note: If the reporting protocol of 1-3 above are not implemented, the construction site entity should inform the NRC of the particular reporting protocols in its 10 CFR 26 report so that the NRC's FFD database can be annotated.

4. If implementing electronic reporting, the construction site entity will need to submit the "Single Positive Test Form" for each occurrence, "Annual Reporting Form for Drug and Alcohol Tests," and the "Annual Fatigue Reporting Form," to satisfy the 10 CFR 26 reporting requirement.
5. The electronic reporting of the "Single Positive Test Form" will not satisfy the 24-hour telephone report to the NRC Operations Center pursuant to 10 CFR 26 and Section 6.11.
6. If implementing electronic reporting, the FFD e-forms provide space and drop-down menus for the submittal of voluntary information. This voluntary information is currently not required by regulation (see 10 CFR 26.8, "Information collection requirements: OMB approval"). However, construction site entities should consider submitting this information as it will enhance consistency across the industry, the NRC's FFD database, and the quality of NRC's assessment of construction site entity FFD performance.
7. The construction site entity shall ensure that the information protection requirements pursuant to 10 CFR 26 are applied to all FFD-related communications and correspondence. Privacy information and other personally identifiable information shall not be included on any reports or forms required by 10 CFR 26.

13 AUDITS

Construction site entities who implement an FFD program shall ensure that audits are performed to assure the continuing effectiveness of the FFD program, including FFD program elements that are provided by C/Vs, and the FFD programs of C/Vs that are approved by the licensee or other construction site entity.

Construction site entities shall ensure that these programs are audited at a frequency that assures their continuing effectiveness and that corrective actions are taken to resolve any problems identified. Construction site entities may conduct joint audits, or accept audits of C/Vs conducted by others, so long as the audit addresses the relevant C/Vs' services.

Audits can be combined and performance dates managed in accordance with construction site entity procedures.

If adverse performance data exists necessitating the conduct of an audit, the construction site entity should schedule the conduct of its audit(s) as soon as reasonably practicable to maintain reasonable assurance that the FFD program provides on-going detection and deterrence of substance abuse to help ensure that persons constructing or directing the construction of safety- or security-related SSCs or performing 10 CFR 26.4(e) duties are fit for duty, trustworthy, and reliable commensurate with the potential risk to public health and safety and the common defense and security.

Persons performing FFD audits must be independent of the FFD functional area being audited.

The audit report, findings, observations, and recommendations must be reported to management at a level above that of the FFD program manager

The following audits are required:

1. An audit evaluating a majority of the 10 CFR Part 26, Subpart B, program elements:
 - a. Within 12 months of the start of safety- or security-related construction;
 - b. Prior to the earlier of when the Commission makes its 10 CFR 52.103(g) finding, the licensee's receipt of fuel assemblies on site, or when the protected area is established; and
 - c. If performance data indicates an adverse trend that challenges a performance objective listed in 10 CFR 26.23, for the elements of concern.
2. An audit of construction site entity program elements on a periodic schedule, not to exceed a nominal 24 months period, as determined by the construction site entity.
3. An audit of approved-C/V programs on a nominal 12 month period.

Construction site entities need not audit HHS-certified laboratories or the specimen collection and alcohol testing services that meet the requirements of the current version of 49 CFR Part 40, “Procedures for Department of Transportation Workplace Drug and Alcohol Testing Programs.”