APPENDIX G

MSPI Basis Document Development

To implement the Mitigating Systems Performance Index (MSPI), Licensees will develop a plant specific basis document that documents the information and assumptions used to calculate the Reactor Oversight Program (ROP) MSPI. This basis document is necessary to support the NRC inspection process, and to record the assumptions and data used in developing the MSPI on each site. A summary of any changes to the basis document are noted in the comment section of the quarterly data submission to the NRC.

The Basis document will have two major sections. The first described below will document the information used in developing the MSPI. The second section will document the conformance of the plant specific PRA to the requirements that are outlined in this appendix.

G 1. MSPI Data

The basis document provides a separate section for each monitored system as defined in Section 2.2 of NEI 99-02. The section for each monitored system contains the following subsections:

G 1.1 System Boundaries

This section contains a description of the boundaries for each train of the monitored system. A plant drawing or figure (training type figure) should be included and marked adequately (i.e., highlighted trains) to show the boundaries. The guidance for determining the boundaries is provided in Appendix F, Section 1.1 of NEI 99-02.

G 1.2 Risk Significant Functions

This section lists the risk significant functions for each train of the monitored system. Risk Significant Functions are defined in section 2.2 of NEI 99-02. Additional detail is given in Appendix F, Section 1.1.1 and Section 5 “Additional Guidance for Specific Systems”. A single list for the system may be used as long as any differences between trains are clearly identified. This section may also be combined with the section on Success Criteria if a combination of information into a table format is desired. If none of the functions for the system are considered risk significant, identify the monitored function as defined in section F 1.1.1

G 1.3 Success Criteria

This section documents the success criteria as defined in Section 2.2 of NEI 99-02 for each of the identified monitored functions for the system. Additional detail is given in Appendix F, Section 2.1.1. **The criteria used are the documented PRA success criteria.**

- If the licensee has chosen to use design basis success criteria in the PRA, then provide a statement in this section that states the PRA uses design basis success criteria.
- If success criteria from the PRA are different from the design basis, then the specific differences from the design basis success criteria shall be documented in this section.

Provide the actual values used to characterize success such as: *The time required in the PRA for the EDG to successfully reach rated speed and voltage is 15 seconds.*

Where there are different success criteria for different monitored functions or different success criteria for different initiators within a monitored function, all should be recorded and the most restrictive shown as the one used.

G 1.4 Mission Time

This section documents the risk significant mission time, as defined in Section 2.3.6 of Appendix F, for each of the identified monitored functions identified for the system.

G 1.5 Monitored Components

This section documents the selection of monitored components as defined in Appendix F, Section 2.1.2 of NEI 99-02 in each train of the monitored system. A listing of all monitored pumps, breakers and EDG's should be included in this section. A listing of AOVs, HOVs , SOVs and MOVs that change state to achieve the monitored functions should be provided as potential monitored components. The basis for excluding valves in this list from monitoring should be provided. Component boundaries as described in Appendix F, Section 2.1.3 of NEI 99-02 should be included where appropriate.

G 1.6 Basis for Demands/Run Hours (estimate or actual)

The determination of reliability largely relies on the values of demands, run hours and failures of components to develop a failure rate. This section documents how the licensee will determine the demands on a component. Several methods may be used.

- Actual counting of demands/run hours during the reporting period
- An estimate of demands/run hours based on the number of times a procedure or other activities is performed plus actual ESF demands/run hours
- An estimate based on historical data over a year or more averaged for a quarterly average plus actual ESF demands/run hours

<u>The method used, either actual or estimated values, shall be stated. If estimates are used for test or operational demands or run hours then the process used for developing the estimates shall be described and estimated values documented. If the estimates are based on performance of procedures, list the procedures and the frequencies of performance that were used to develop the estimates.</u>

G 1.7 Short Duration Unavailability

This section provides a list of any periodic surveillances or evolutions of less than 15 minutes of unavailability that the licensee does not include in train unavailability. The intent is to minimize unnecessary burden of data collection, documentation, and verification because these short durations have insignificant risk impact.

G 1.8 PRA Information used in the MSPI

G 1.8.1 Unavailability FV and UA

This section includes a table or spreadsheet that lists the basic events for unavailability for each train of the monitored systems. This listing should include the probability, FV, and FV/probability ratio and text description of the basic event or component ID. An example format

is provided as Table 1 at the end of this appendix. If the event chosen to represent the train is not the event that results in the largest ratio, provide information that describes the basis for the choice of the specific event that was used.

G 1.8.1.1 Unavailability Baseline Data

This section includes the baseline unavailability data by train for each monitored system. The discussion should include the basis for the baseline values used. The detailed basis for the baseline data may be included in an appendix to the MSPI Basis Document if desired.

The basis document should include the specific values for the planned and unplanned unavailability baseline values that are used for each train or segment in the system.

G 1.8.1.2 Treatment of Support System Initiator(s)

This section documents whether the cooling water systems are an initiator or not. This section provides a description of how the plant will include the support system initiator(s) as described in Appendix F of NEI 99-02. If an analysis is performed for a plant specific value, the calculation must be documented in accordance with plant processes and referred to here. The results should also be included in this section. A sample table format for presenting the results of a plant specific calculation for those plants that do not explicitly model the effect on the initiating event contribution to risk is shown in Table 4 at the end of this appendix.

G 1.8.2 Unreliability FV and UR

There are two options described in Appendix F for the selection of FV and UR values, the selected option should be identified in this section. This section also includes a table or spreadsheet that lists the PRA information for each monitored component. This listing should include the Component ID, event probability, FV, the common cause adjustment factor and FV/probability ratio and text description of the basic event or component ID. An example format is provided as Table 2 at the end of this appendix. If individual failure mode ratios (vice the maximum ratio) will be used in the calculation of MSPI, then each failure mode for each component will me listed in the table.

A separate table should be provided in an appendix to the basis document that provides the complete set of basic events for each component. An example of this for one component is shown in Table 3 at the end of this appendix. Only the basic event chosen for the MSPI calculation requires completion of all table entries.

G 1.8.2.1 Treatment of Support System Initiator(s)

This section documents whether the cooling water systems are an initiator or not. This section provides a description of how the plant will include the support system initiator(s) as described in Appendix F of NEI 99-02. If an analysis is performed for a plant specific value, the calculation must be documented in accordance with plant processes and referred to here. The results should also be included in this section. A sample table format for presenting the results of a plant specific calculation for those plants that do not explicitly model the effect on the initiating event contribution to risk is shown in Table 4 at the end of this appendix.

G 1.8.2.2 Calculation of Common Cause Factor

This section contains the description of how the plant will determine the common cause factor as described in Appendix F of NEI 99-02. If an analysis is performed for a plant specific value, the calculation must be documented in accordance with plant processes and referred to here. The results should also be included in this section.

G 1.9 Assumptions

This section documents any specific assumptions made in determination of the MSPI information that may need to be documented. Causes for documentation in this section could be special methods of counting hours or runtimes based on plant specific designs or processes, or other instances not clearly covered by the guidance in NEI 99-02.

G 2. PRA Requirements

G 2.1 Discussion

The MSPI application can be considered a Phase 2 application under the NRC's phased approach to PRA quality. The MSPI is an index that is based on an internal initiating events, full-power PRA, for which the ASME Standard has been written. The Standard has been endorsed by the staff in RG 1.200, which has been issued for trial use.

Licensees should assure that their PRA is of sufficient technical adequacy to support the MSPI application by one of the following alternatives:

G 2.1.1 Alternative A (Consistent with MSPI PRA Task Group recommendations)

a) Resolve the peer review Facts and Observations (F&Os) for the plant PRA that are classified as being in category A or B, or document the basis for a determination that any open A or B F&Os will not significantly impact the MSPI calculation. Open A or B F&Os are significant if collectively their resolution impacts any Birnbaum values used in MSPI by more than a factor of 3. Appropriate sensitivity studies may be performed to quantify the impact. If an open A or B F&O cannot be resolved by April 1, 2006 and significantly impacts the MSPI calculation, a modified Birnbaum value equal to a factor of 3 times the median Birnbaum value from the associated cross comparison group for pumps/diesels and 3 times the plant values for valves/breakers should be used in the MSPI calculation at the index, system or component level, as appropriate, until the F&O is resolved.

And

b) Perform a self assessment using the NEI-00-02 process as modified by Appendix B of RG 1.200 for the ASME PRA Standard supporting level requirements identified by the MSPI PRA task group and resolve any identified issues or document the basis for a determination that any open issues will not significantly impact the MSPI calculation. Identified issues are considered significant if they impact any Birnbaum values used in MSPI by more than a factor of 3. Appropriate sensitivity studies may be performed to quantify the impact. If an identified issue cannot be resolved by April 1, 2006 and significantly impacts the MSPI

calculation, a modified Birnbaum value equal to a factor of 3 times the median Birnbaum value from the associated cross comparison group for pumps/diesels and 3 times the plant value for valves/breakers should be used in the MSPI calculation at the index, system or component level, as appropriate, until the issue is resolved.

G 2.1.2 Alternative B (Consistent with RG 1.174 guidance)

a) Resolve the peer review Facts and Observations (F&Os) for the plant PRA that are classified as being in category A or B, or document the basis for a determination that any open A or B F&Os will not significantly impact the MSPI calculation. Open A or B F&Os are significant if collectively their resolution impacts any Birnbaum values used in MSPI by more than a factor of 3. Appropriate sensitivity studies may be performed to quantify the impact. If an open A or B F&O cannot be resolved by April 1, 2006 and significantly impacts the MSPI calculation, a modified Birnbaum value equal to a factor of 3 times the median Birnbaum value from the associated cross comparison group for pumps/diesels and 3 times the plant values for valves/breakers should be used in the MSPI calculation at the index, system or component level, as appropriate, until the F&O is resolved.

And

b) Disposition any candidate outlier issues identified by the industry PRA cross comparison activity. The disposition of candidate outlier issues can be accomplished by:

- Correcting or updating the PRA model;
- Demonstrating that outlier identification was due to valid design or PRA modeling methods; or
- Using a modified Birnbaum value equal to a factor of 3 times the median value from the associated cross comparison group for pumps/diesels and 3 times the plant value for valves/breakers until the PRA model is corrected or updated.

G 2.2 PRA MSPI Documentation Requirements

A. Licensees should provide a summary of their PRA models to include the following:
   1. Approved version and date used to develop MSPI data
   2. Plant base CDF for MSPI
   3. Truncation level used to develop MSPI data

B. Licensees should document the technical adequacy of their PRA models, including:
   1. Justification for any open category A or B F&Os that will not be resolved prior to April 1, 2006.
   2. Justification for any open issues from:
      a. the self-assessment performed for the supporting requirements (SR) identified in Table 5, taking into consideration Appendix B of RG 1.200 (trial), with particular attention to the notes in Table 4 of the MSPI PRA task group report.

-- OR --

b. identification of any candidate outliers for the plant from the group cross-comparison studies.

C. Licensees should document in their PRA archival documentation:

1. A description of the resolution of the A and B category F&Os identified by the peer review team.
2. Technical bases for the PRA.

G 3. TABLES

Table G 1 Unavailability Data HPSI (one table per system)

Train	Basic Event Name	Basic Event Description	Basic Event Probability (UAP)	Basic Event FVUAP [1]	FVUAP/UAP
A	1SIAP02----MP6CM	HPSI Pump A Unavailable Due to Mntc	3.20E-03	3.19E-03	9.97E-01
B	1SIBP02----MP6CM	HPSI Pump B Unavailable Due to Mntc	3.20E-03	3.85E-03	1.20E+00

1. Adjusted for IEF correction if used

Table G 2 – AFW System Monitored Component PRA Information

Component	Basic Event	Description	Basic Event Probability (URPC)	Basic Event FVURC	[FV/UR]*ind*	CC Adjustment Factor (A)	CC Adjustment Used	Adjusted Birnbaum
1MAFAP01	1AFASYS----AFACM	Train A Auxiliary Feedwater Pump Fails to Start	2.75E-03	2.33E-02	8.49E+00	1	Generic	1.1E-04
1MAFBP01	1AFBP01----MPAFS	Train B Auxiliary Feedwater Pump Fails to Start	6.73E-04	4.44E-02	6.59E+01	1.25	Generic	1.1E-03
1MAFNP01	1AFNSYS----AFNCM	Train N Auxiliary Feedwater Pump Fails to Start	1.05E-03	1.10E-02	1.05E+01	1.25	Generic	1.7E-04
1JCTAHV0001	1CTAHV001--MV-FO	CST to AFW Pump N Supply Valve HV1 Fails to Open (Local Fault)	3.17E-03	2.48E-02	7.83E+00	2	Generic	2.0E-04
1JCTAHV0004	1CTAHV004--MV-FO	CST to AFW Pump N Supply Valve HV4 Fails to Open (Local Fault)	3.17E-03	2.48E-02	7.83E+00	2	Generic	2.0E-04

Table G 3 - Unreliability Data (one table per monitored component)

Component Name and ID: HPSI Pump B - 1SIBP02

Basic Event Name	Basic Event Description	Basic Event Probability (URPC)	Basic Event FVURC[1]	[FV/UR]*ind*	Common Cause Adjustment Factor (CCF)	Common Cause Adjustment Generic or Plant Specific	Adjusted Birnbaum
1SIBP02---XCYXOR	HPSI Pump B Fails to Start Due to Override Contact Failure	6.81E-04	7.71E-04	1.13E+00	3.0	Generic	5.0E-05
1SIBP02----MPAFS	HPSI Pump B Fails to Start (Local Fault)	6.73E-04	7.62E-04	1.13E+00			
1SIBP02----MP-FR	HPSI Pump B Fails to Run	4.80E-04	5.33E-04	1.11E+00			
1SABHP-K125RXAFT	HPSI Pump B Fails to Start Due to K125 Failure	3.27E-04	3.56E-04	1.09E+00			
1SIBP02----CB0CM	HPSI Pump B Circuit Breaker (PBB-S04E) Unavailable Due to Mntc	2.20E-04	2.32E-04	1.05E+00			
1SIBP02----CBBFT	HPSI Pump B Circuit Breaker (PBB-S04E) Fails to Close (Local Fault)	2.04E-04	2.14E-04	1.05E+00			

1. Adjusted for IEF correction if used

Table G 4 Cooling Water Support System FV Calculation Results (one table per train/component/failure mode)

FV*a (or FVc)*	FV*ie*	FV*sa (orFVsc)*	UA (or UR)	Calculated FV (per appendix F) *(result is put in Basic Event column of table 1 or table 2 as appropriate)*

TABLE G 5. ASME PRA Standard Supporting Requirements Requiring Self-Assessment	
Supporting Requirement	**Comments**
IE-A4	Focus on plant specific initiators and special initiators, especially loss of DC bus, Loss of AC bus, or Loss of room cooling type initiators
IE-A7	Category I in general. However, precursors to losses of cooling water systems in particular, e.g., from fouling of intake structures, may indicate potential failure mechanisms to be taken into account in the system analysis (IE-C6, 7, 8, 9)
IE-A9	Category II for plants that choose fault trees to model support systems. Watch for initiating event frequencies that are substantially (e.g., more than 3 times) below generic values.
IE-C1	Focus on loss of offsite power (LOOP) frequency as a function of duration
IE-C2	Focus on LOOP and medium and small LOCA frequencies including stuck open PORVs
IE-C6	For plants that choose fault trees for support systems, attention to loss of cooling systems initiators.
IE-C9	Category II for plants that choose fault trees for support systems. Pay attention to initiating event frequencies that are substantially (i.e., more than 3 times) below generic values
AS-A3	Focus on credit for alternate sources, e.g., gas turbines, CRD, fire water, SW cross-tie, recovery of FW
AS-A4	Focus on credit for alternate sources, e.g., gas turbines, CRD, fire water, SW cross-tie, recovery of FW
AS-A5	Focus on credit for alternate sources, e.g., gas turbines, CRD, fire water, SW cross-tie, recovery of FW
AS-A9	Category II for MSPI systems and components and for systems such as CRD, fire water, SW cross-tie, recovery of FW
AS-A10	Category II in particular for alternate systems where the operator actions may be significantly different, e.g., more complex, more time limited.
AS-B3	Focus on credit for injection post-venting (NPSH issues, environmental survivability, etc.)
AS-B6	Focus on (a) time phasing in LOOP/SBO sequences, including battery depletion, and (c) adequacy of CRD as an adequate injection source.
SC-A4	Focus on modeling of shared systems and cross-ties in multi-unit sites
SC-B1	Focus on proper application of the computer codes for T/H calculations, especially for LOCA, IORV, SORV, and F&B scenarios.
SC-C1	Category II

TABLE G 5. ASME PRA Standard Supporting Requirements Requiring Self-Assessment	
Supporting Requirement	**Comments**
SY-A4	Category II for MSPI systems and components
SY-A11	Focus on (d) modeling of shared systems
SY-A20	Focus on credit for alternate injection systems, alternate seal cooling
SY-B1	Should include EDG, AFW, HPI, RHR CCFs
SY-B5	Focus on dependencies of support systems (especially cooling water systems) to the initiating events
SY-B9	Focus on credit for injection post-venting (NPSH issues, environmental survivability, etc.)
SY-B15	Focus on credit for injection post-venting (NPSH issues, environmental survivability, etc.)
HR-E1	Focus on credit for cross ties, depressurization, use of alternate sources, venting, core cooling recovery, initiation of F&B
HR-E2	Focus on credit for cross ties, depressurization, use of alternate sources, venting, core cooling recovery, initiation of F&B
HR-G1	Category II , though Category I for the critical HEPs would produce a more sensitive MSPI (i.e., fewer failures to change a color)
HR-G2	Focus on credit for cross ties, depressurization, use of alternate sources, venting, core cooling recovery, initiation of F&B
HR-G3	Category I. See note on HR-G1. Attention to credit for cross ties, depressurization, use of alternate sources, venting, core cooling recovery, initiation of F&B
HR-G5	Category II. See note on HR-G1.
HR-H2	Focus on credit for cross ties, depressurization, use of alternate sources, venting, core cooling recovery, initiation of F&B
HR-H3	The use of some systems may be treated as a recovery action in a PRA, even though the system may be addressed in the same procedure as a human action modeled in the accident sequence model (e.g., recovery of feedwater may be addressed in the same procedure as feed and bleed). Neglecting the cognitive dependency can significantly decrease the significance of the sequence.
DA-B1	Focus on service condition (clean vs untreated water) for SW systems
DA-C1	Focus on LOOP recovery
DA-C15	Focus on recovery from LOSP and loss of SW events
DA-D1	For BWRs with isolation condenser, focus on the likelihood of a stuck open SRV
QU-B2	Truncation limits should be chosen to be appropriate for F-V calculations.

TABLE G 5. ASME PRA Standard Supporting Requirements Requiring Self-Assessment	
Supporting Requirement	**Comments**
QU-B3	This is an MSPI implementation concern and should be addressed in the guidance document. Truncation limits should be chosen to be appropriate for F-V calculations.
QU-D3	Understanding the differences between plant models, particularly as they affect the MSPI, is important for the proposed approach to the identification of outliers recommended by the task group.
QU-D5	Category II for those who have used fault tree models to address support system initiators.
QU-E4	Category II for the issues that directly affect the MSPI