

April 27, 2000

MEMORANDUM TO: Wayne D. Lanning, Director DRS, RI
Elmo E. Collins, Deputy Director DRP/RIV
John L. Pellet, DRS/RIV
Geoffrey E. Grant, Director DRP, RIV
Daniel H. Dorman, DIPM/NRR
Juan D. Peralta, QA/DIPM
Mary Ann Ashley, DIPM/NRR
Jeffrey B. Jacobson, IIPB/DIPM/NRR
Charles A. Casto, Deputy Director DRP/RII
Paul E. Fredrickson, DRP/RII

FROM: William Dean, Chief */RA*
by Donald P. Norkin Acting For/
Inspection Program Management Branch
Division of Inspection Program Management

SUBJECT: MINUTES OF CROSS CUTTING ISSUES WORK GROUP

Attached are the minutes from the first meeting of the internal cross cutting issues work group which was held on April 5, 2000. Our plans are to discuss the results of this first meeting with NEI in a public meeting to be held on May 2, 2000. During the meeting, we will provide NEI, and any other attendants, a copy of the work group minutes. We will request that they review the minutes, and then provide comments at a future date. Also, we will discuss with NEI, the scheduling of a meeting with INPO to brief the work group on the results of their initiatives in the Problem Identification and Resolution area.

As we don't expect to get substantive feedback during this meeting, participation by work group members would be optional.

Attachment: Summary of Meeting on Cross Cutting Issues Held on April 5, 2000

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OFC:	NRR/IIPB		NRR/IIPB		NRR/IIPB			
NAME:	JBJacobson		CFHolden		WMDean			
DATE:	4/27/00		4/27/00		4/27/00			

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Summary of Meeting on Cross Cutting Issues Held on April 5, 2000

The following individuals attended the meeting:

Wayne Lanning
Elmo Collins
John Pellet
Geoff Grant (via video conference)
Dan Dorman
Juan Peralta
Mary Ann Ashley
Jeff Jacobson
Alan Madison
Bill Dean

Consideration of cross cutting issues in development of revised oversight process

The meeting began with an overview of how the cross cutting issues of human performance, safety conscious work environment, and problem identification and resolution (PI & R) were considered as part of the development of the revised oversight process. Basically, it was explained that, for the most part, these cross cutting issues were thought to be the root causes of performance issues that will be identified by either the established performance indicators or the baseline inspection program. For the cross cutting issue of human performance it was assumed that if risk informed inspections and plant performance indicators together indicate that plant performance is meeting the cornerstone objectives, then those findings also provide an indication of the acceptability of the associated human activities. The revised oversight process also assumes that a lack of safety conscious work environment will be identified by an increase in problems and events that will ultimately be picked up by the baseline inspection program or by performance indicators. Also, the issue of safety conscious work environment is considered during performance of the annual PI & R inspection.

With regard to licensee PI & R effectiveness, the framework for the revised oversight process identified several areas that are not specifically addressed by either the performance indicators or the routine baseline inspection attachments. As such, a specific inspection procedure (IP 71152) was written to assess licensee performance in the PI & R area.

Formulation of key issues associated with the current approach of addressing cross cutting issues

Individual work group members then brought forth their concerns regarding how the current oversight process treats cross cutting issues. These concerns were developed into key issues that require additional evaluation, as necessary to either validate the concern and determine corrective actions, or prove the concern invalid. Following is a summary of the key issues that were identified:

- Do the performance indicators and baseline inspection programs provide sufficient information regarding performance in the cross cutting areas of human performance, safety conscious work environment, and PI & R? For the purpose of this issue, "sufficient information" can be thought of as information of sufficient depth and scope and within a sufficient time frame to allow for appropriate levels of agency interaction.

- Are there other cross cutting issues that warrant additional consideration in the revised oversight process?
- Does the revised oversight process (e.g. inspection program, SDPs, action matrix) provide for proper treatment of cross cutting issues when they are identified? Should the approach be the same for all cross cutting issues or should the approach vary?
- What would be the definition of a “substantial” cross cutting issue that would require additional agency actions beyond what the current process would provide?
- Currently, what is the guidance for capturing cross cutting issues in inspection reports?

Development of initial approach to address key issues

The work group discussed the above key issues and formulated actions that could be taken to achieve resolution. It was recognized by the group that resolution of these issues would likely be a long term effort (6 - 12 months) and will be aided by the additional experience that will be acquired with initial implementation of the revised oversight process. Following are the specific actions identified by the group to aid in resolution of the key issues:

- A review will be conducted of future inspection reports and LERs by the human factors section in NRR using the H.F.I.S to assess what human performance issues are being captured by the oversight process. Plants with above average human performance issues will then be analyzed further to see whether the oversight process provided sufficient information, in a sufficient time frame, regarding human performance issues.
- A review will be conducted of future events, to see whether the events were caused by cross cutting issues and whether the oversight process provided sufficient warning and treatment of cross cutting performance deficiencies. The group discussed various thresholds that could be used for initiating such a review including those associated with Special Inspections and Augmented Inspection Teams. The group also identified the need to decide who will perform the review, and whether existing event response inspection procedures need to be modified.
- A review will be conducted of all annual PI & R inspections to ensure that cross cutting issues are being appropriately captured. Also, Inspection Procedure 71152 will be reviewed to see if additional guidance is necessary to achieve consistent treatment of cross cutting issues in inspection reports.
- To address concerns regarding documenting cross cutting issues in inspection reports, the Inspection Program Branch discussed the planned revision to Inspection Manual Chapter 0610 and the branch's plans to review and comment on the first round of all inspection reports.

Plans for external stakeholder involvement

The work group discussed how external stakeholders would be included in resolution and formulation of the key issues. The group decided one additional meeting might be warranted before soliciting external stakeholder input.