



**UNITED STATES
NUCLEAR REGULATORY COMMISSION
REGION IV
611 RYAN PLAZA DRIVE, SUITE 400
ARLINGTON, TEXAS 76011-8064**

July 2, 2001

Gregory M. Rueger, Senior Vice
President, Generation and Chief Nuclear Officer
Pacific Gas and Electric Company
Diablo Canyon Power Plant
P.O. Box 3
Avila Beach, CA 93424

**SUBJECT: SUMMARY OF END-OF-CYCLE PERFORMANCE ASSESSMENT MEETING
FOR THE DIABLO CANYON NUCLEAR POWER PLANT**

Dear Mr. Rueger:

This refers to the public meeting conducted at the Pacific Gas & Electric Community Center, on June 14, 2001, between your staff and the NRC. The participants discussed the results of the NRC's end-of-cycle assessment of Diablo Canyon's performance for the period April 2, 2000, through March 31, 2001.

The NRC presented the overall assessment results that were based on inspection findings and performance indicators. The presentation also included a brief overview of the reactor oversight process. Following the end-of-cycle assessment meeting, the NRC answered questions from the public.

The attendance list, and the NRC prepared public meeting handouts are enclosed.

In accordance with 10 CFR 2.790 of the NRC's "Rules of Practice," a copy of this letter and its enclosure will be available electronically for public inspection in the NRC Public Document Room or from the Publicly Available Records (PARS) component of NRC's document system (ADAMS). ADAMS is accessible from the NRC Web site at <http://www.nrc.gov/NRC/ADAMS/index.html> (the Public Electronic Reading Room).

Should you have any questions concerning this matter, we will be pleased to discuss them with you.

Sincerely,

Gregory A. Pick for

William B. Jones, Chief
Project Branch E
Division of Reactor Projects

Docket Nos: 50-275

50-323

License Nos: DPR-80

DPR-82

Enclosures: Attendance List

NRC End-of-Cycle Assessment Meeting with Pacific Gas and Electric

Reactor Oversight Process Annual Assessment Meeting

cc w/enclosures:

David H. Oatley, Vice President

Diablo Canyon Operations and Plant Manager

Diablo Canyon Nuclear Power Plant

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Lawrence F. Womack, Vice President, Power

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Regional Administrator (**EWM**)

DRP Director (**KEB**)

DRS Director (**ATH**)

Senior Resident Inspector (**DLP**)

Branch Chief, DRP/E (**WBJ**)

Senior Project Engineer, DRP/E (**GAP**)

Section Chief, DRP/TSS (**PHH**)

RITS Coordinator (**NBH**)

B. Henderson, PAO (**BWH**)

C. A. Hackney, RSLO (**CAH**)

C. J. Gordon (**CJG**)

DRS Branch Chiefs (**GMG, JLS2, JLP**)

W. D. Travers, EDO (**WDT**)

W. M. Dean, Chief, NRR/DIPM/IIPB (**WMD**)

R. K. Frahm, PPR Program Manager, NRR/ILPB (**RKF**)

B. A. Boger, Associate Dir. for Inspection and Programs (**BAB2**)

B. W. Sheron, Associate Dir. for Project Licensing and Technical Analysis (**BWS**)

M. A. Satorius, Chief, Regional Operations Staff, OEDO (**MAS**)

S. Richards, NRR Project Director (**SAR**)

S. Dembek, Chief, Section 2, NRR/DLPM (**SXD**)

S. Bloom, NRR Project Manager (**SDB1**)

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7/2/01	7/2/01			

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ENCLOSURE 1

Attendance List

Licensee

D. Miklush, Director, Engineering Services
J. Tompkins, Director, Nuclear Quality Analysis and Licensing
R. Waltos, Director, Maintenance Services
L. Wolmack, Vice President - Power Generation

NRC

K. Brockman, Director of the Division of Reactor Projects
W. Jones, Chief, Reactor Projects Branch E
D. Proulx, Senior Resident Inspector
A. Garcia, Engineering Associate
J. Moreno, Engineering Associate



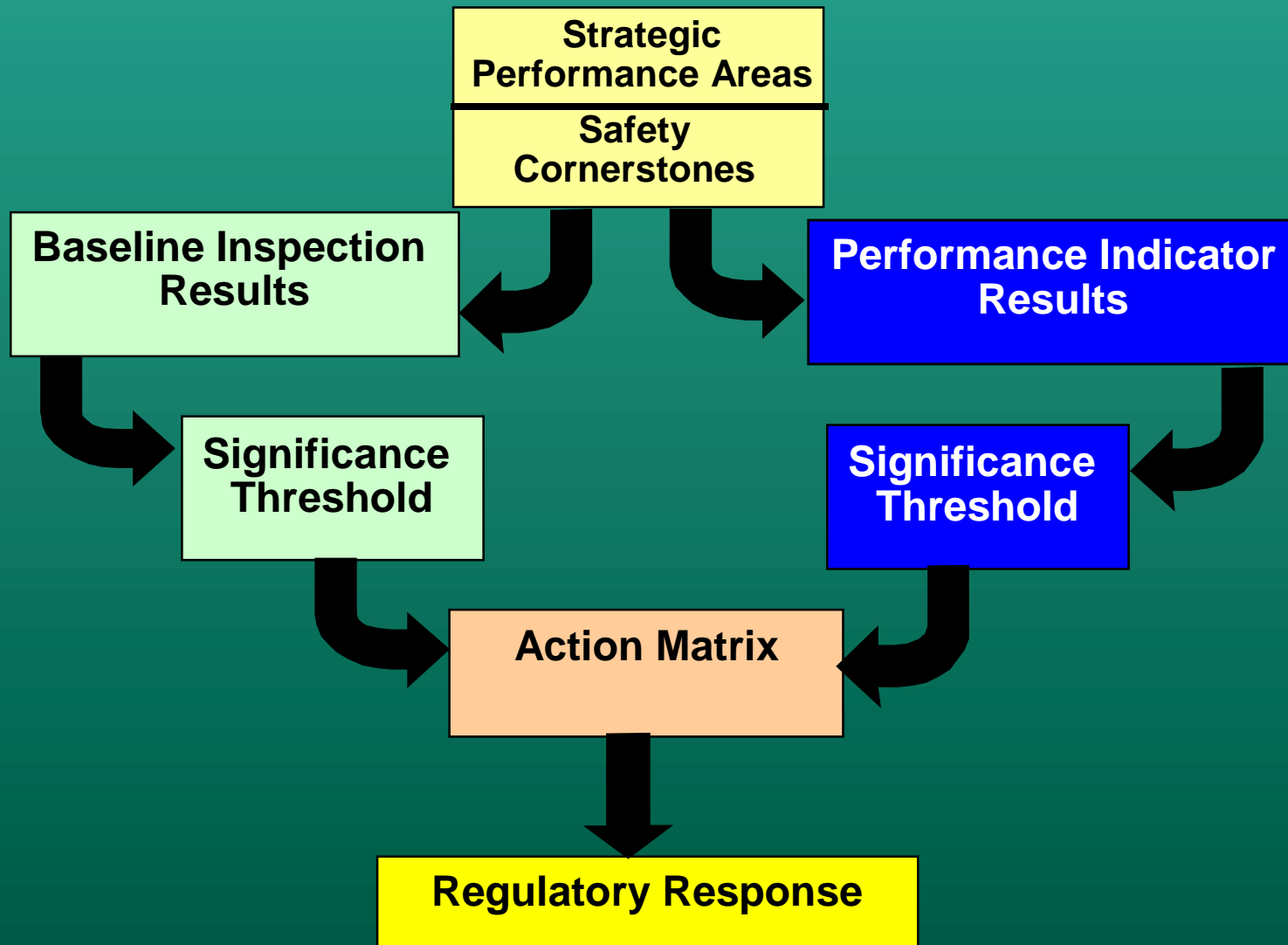
NRC End of Cycle Assessment Meeting with Pacific Gas and Electric

End of Cycle Assessment
Diablo Canyon Nuclear Power Plant

Agenda

- P Introduction and opening comments - Ken Brockman
- P Introduction and opening comments - Larry Womack
- P Overview of reactor oversight process - William Jones
- P Presentation of assessment - David Proulx
- P Discussion of assessment - NRC and Diablo Canyon staff
- P Closing remarks - Larry Womack
- P Closing remarks - Ken Brockman
- P Adjourn

Reactor Oversight Process





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Reactor Oversight Process

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Results](#)**NEW**[ROP](#)[Program](#)[Documents](#)**NEW**[Initial
Implementation
Evaluation](#)[Panel](#)[ROP "Plain
Language"
Description](#)[Meeting](#)[Notices &](#)[Summaries](#)

Lessons Learned Public Workshop

March 26 - 28, 2001 in Gaithersburg, MD[Agenda](#)[Summary Slides from Closing Session](#)**NEW** [Meeting Summary](#)

Federal Register Notice: Request for Public Comment on the First Year of Initial Implementation of the Reactor Oversight Process

Role of the Reactor Oversight Process

The Nuclear Regulatory Commission's (NRC's) mission is to ensure adequate protection of the public health and safety and the environment, as it relates to the peaceful use of nuclear materials in the United States. The agency itself does not operate nuclear power plants. Rather, it regulates the operation of the nation's 103 nuclear power plants by establishing regulatory requirements for the design, construction and operation of such plants. The NRC issues licenses for the plants to operate, licenses the plant operators, and establishes plant specific technical specifications for plant operators to follow to ensure that the plants are operated safely within these requirements.

US NRC Reactor Oversight Process

[PI Summary](#) [Inspection Findings Summary](#) [Action Matrix Summary](#) [Inspection Reports List](#) [Cornerstones & PI](#) [Home](#)

Plant Assessment Results

Alphabetical listing of plants
A B C D F G H I K L M N O
P Q R S T V W
Region 1 plants
Region 2 plants
Region 3 plants
Region 4 plants

Alphabetical listing of plants:

▲ **A**
Arkansas 1
Arkansas 2
▲ **B**
Beaver Valley 1
Beaver Valley 2
Braidwood 1
Braidwood 2
Browns Ferry 2
Browns Ferry 3
Brunswick 1
Brunswick 2
Byron 1
Byron 2
▲ **C**
Callaway
Calvert Cliffs 1
Calvert Cliffs 2
Catawba 1
Catawba 2
Clinton
Columbia Generating Station
Comanche Peak 1
Comanche Peak 2
Cooper (Pilot Plant)
Crystal River 3
▲ **D**
D.C. Cook 1

New This Quarter

- New format of Action Matrix Summary
- Action Matrix Designation on plant performance summaries

Individual Plant Performance Summaries - Performance
information is summarized for each plant and sorted by the seven cornerstones of safety. This information can be viewed by selecting the plant name from the left column (organized alphabetically as well as by the region where the plants are located). For each plant, the current Action Matrix designation is displayed along with the performance indicators (PIs) and a summary of NRC inspection findings. Links are also provided to NRC assessment letters, inspection plans, and inspection reports.

Comprehensive Performance Summary Matrices - The most recent quarterly performance indicator color designations for all plants are summarized in a [PI Summary](#) matrix. The most significant inspection finding color designations over the previous 4 quarters for all plants is summarized in an [Inspection Findings Summary](#) matrix. Based on the latest applicable performance indicators and inspection findings, the current Action Matrix designation for each plant is available in the [Action Matrix Summary](#). The Action Matrix Summary provides a matrix of the five columns with the plants listed within their applicable column. You can drill down into more detailed information from any of these three summaries.

Background - Both PIs and inspection findings are evaluated and given a color designation based on their safety significance. Green inspection findings or PIs indicate a very low risk significance and therefore have little or no impact on safety. White, yellow, or red inspection findings or PIs each, respectively, represent a greater degree of safety significance.

Diablo Canyon Unit 1 Operating Summary

- P Automatic Shutdown - Fire in the 12kV Switchgear Room
- P Refueling Outage, October - November 2000 (40.4 days)
- P Automatic Shutdown - Testing Equipment Problems
- P Two Curtailments for High Seas
- P Otherwise, essentially full power operation

Diablo Canyon Unit 2 Operating Summary

- P Manual Shutdown - Secondary Plant Repair
- P Manual Shutdown - Main Generator
Hydrogen Leak Repair
- P Two Curtailments for High Seas
- P Otherwise, essentially full power operation

Diablo Canyon Mid-cycle Assessment

Completed November 2, 2000

P Licensee Response Column

- ▶ All inspection findings had very low safety significance (Green)
- ▶ No performance indicators required additional NRC oversight

Diablo Canyon Overall Performance

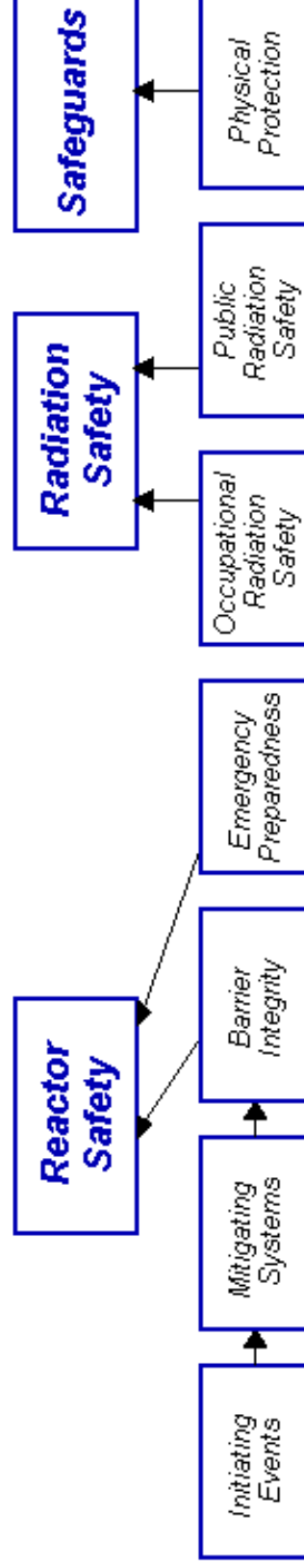
P End of Cycle Assessment

- ▶ Preserved public health and safety
- ▶ Met all cornerstone objectives

Diablo Canyon Performance for the Inspection Cycle

- P Performance Indicators for the most recent quarter
 - ▶ All in the licensee response band

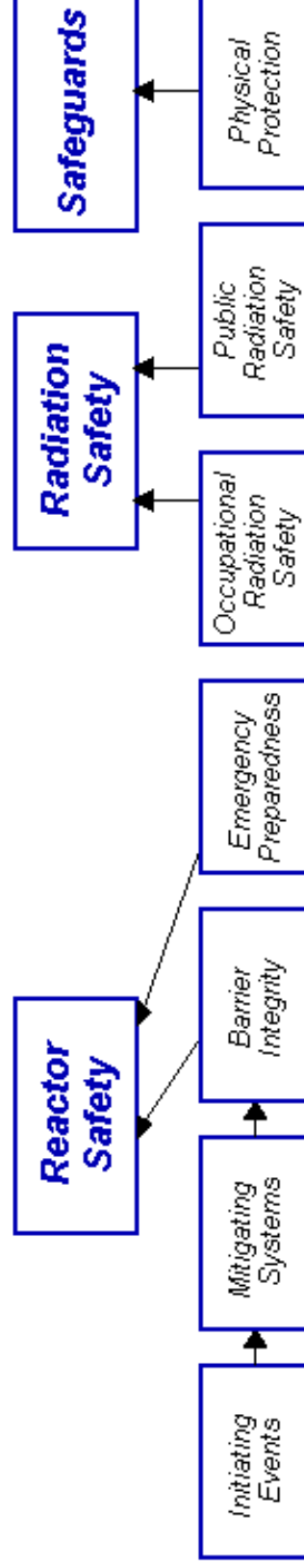
Diablo Canyon 1 1Q/2001 Performance Summary



Performance Indicators

Unplanned Scrams (G)	Emergency AC Power System Unavailability (G)	Reactor Coolant System Activity (G)	Drill/Exercise Performance (G)	Occupational Exposure Control Effectiveness (G)	RETS/ODCM Radiological Effluent (G)	Protected Area Equipment (G)
Scrams With Loss of Normal Heat Removal (G)	High Pressure Injection System Unavailability (G)	Reactor Coolant System Leakage (G)	ERO Drill Participation (G)			Personnel Screening Program (G)
Unplanned Power Changes (G)	Heat Removal System Unavailability (G)		Alert and Notification System (G)			FFD/Personnel Reliability Program (G)
	Residual Heat Removal System Unavailability (G)					
	Safety System Functional Failures (G)					

Diablo Canyon 2 1Q/2001 Performance Summary



Performance Indicators

Unplanned Scrams (G)	Emergency AC Power System Unavailability (G)	Reactor Coolant System Activity (G)	Drill/Exercise Performance (G)	Occupational Exposure Control Effectiveness (G)	RETS/ODCM Radiological Effluent (G)	Protected Area Equipment (G)
Scrams With Loss of Normal Heat Removal (G)	High Pressure Injection System Unavailability (G)	Reactor Coolant System Leakage (G)	ERO Drill Participation (G)			Personnel Screening Program (G)
Unplanned Power Changes (G)	Heat Removal System Unavailability (G)		Alert and Notification System (G)			FFD/Personnel Reliability Program (G)
	Residual Heat Removal System Unavailability (G)					
	Safety System Functional Failures (G)					

Initiating Events	→	Mitigating Systems	→	Barrier Integrity	Emergency Preparedness	Occupational Radiation Safety	Public Radiation Safety	Physical Protection
Initiating Events	→	Mitigating Systems	→	Barrier Integrity	Emergency Preparedness	Occupational Radiation Safety	Public Radiation Safety	Physical Protection

Most Significant Inspection Findings

1Q/2001	No findings this quarter	G	No findings this quarter	No findings this quarter	No findings this quarter	G	G	No findings this quarter
4Q/2000	G	No findings this quarter	No findings this quarter	No findings this quarter	No findings this quarter	G	No findings this quarter	G
3Q/2000	No findings this quarter	G	No findings this quarter	No findings this quarter	No findings this quarter	No findings this quarter	G	No findings this quarter
2Q/2000	No findings this quarter	G	No findings this quarter	G	No findings this quarter	No findings this quarter	No findings this quarter	No findings this quarter

Miscellaneous findings

Additional Inspection & Assessment Information

Assessment Letters/Inspection Plans:

- 1Q/2001
- 4Q/2000
- 3Q/2000

Inspection Reports

Supplemental Inspection

- # Unit 2 “White “ PI for SCRAMS with Loss of Normal Heat Removal
- # Evaluated Three Separate Events
- # Effective Corrective Actions

Special Inspection

Unit 1 12 kV Bus Fire

- # Mitigation Equipment Properly Responded
- # Licensee Responded Effectively
- # NRC Monitored and Evaluated Risk

Diablo Canyon Performance for the Inspection Cycle (cont'd)

Licensee Response Column

- P All inspection findings in Diablo Canyon corrective action system
 - ▶ Very low risk significance
- P Baseline inspection planned for Diablo Canyon Units 1 and 2

Enhanced Monitoring During Bankruptcy

- P Monthly Senior NRC Management Visits
- P Biweekly Calls Between NRC and Licensee Senior Management
- P Weekly NRC Management Calls with Resident Inspectors

Performance Indicator Summary

US NRC Revised Reactor Oversight Process - PI Summary - Netscape

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Reactor Oversight Process

Performance Indicators Summary

Plants	IE 01	IE 02	IE 03	MS 01	MS 02	MS 03	MS 04	MS 05	BI 01	BI 02	EP 01	EP 02	EP 03	OR 01	PR 01	PP 01	PP 02	PP 03
D.C. Cook 1	G	G	W	I	I	I	I	G	G	G	I	G	G	G	G	G	G	G
D.C. Cook 2	G	G	G	I	I	I	I	G	G	G	I	G	G	G	G	G	G	G
Davis-Besse	G	G	G	G	G	G	G	G	G	G	G	G	G	G	G	G	G	G
Diablo Canyon 1	G	G	G	G	G	G	G	G	G	G	G	G	G	G	G	G	G	G
Diablo Canyon 2	G	G	G	G	G	G	G	G	G	G	G	G	G	G	G	G	G	G
Dresden 2	G	G	G	G	G	T	G	G	G	G	G	G	G	G	G	G	G	G
Dresden 3	G	G	G	G	G	T	G	G	G	G	G	G	G	G	G	G	G	G
Duane Arnold	G	G	G	G	G	G	G	G	G	G	G	G	G	G	G	G	G	G
Farley 1	G	G	G	G	G	G	G	G	G	G	G	G	G	G	G	G	G	G
Farley 2	G	G	G	G	G	G	G	G	G	G	G	G	G	G	G	G	G	G
Fermi 2	G	G	G	W	G	G	G	G	G	G	G	G	G	G	G	G	G	G
FitzPatrick	G	G	W	G	G	G	G	G	G	G	G	G	G	G	G	G	G	G

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Inspection Finding Summary

US NRC Revised Reactor Oversight Process - Inspection Findings Summary - Netscape

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Bookmarks Netsite: http://www.nrc.gov/NRR/OVERSIGHT/ASSESS/pim_summary.html infoseek

Reactor Oversight Process

Inspection Findings Summary

Plants	Initiating Events	Mitigating Systems	Barrier Integrity	Emergency Preparedness	Occupational Radiation Safety	Public Radiation Safety	Physical Protection
Davis-Besse	Green	Green	No Findings	No Findings	No Findings	No Findings	No Findings
Diablo Canyon 1	Green	Green	No Findings	Green	Green	Green	Green
Diablo Canyon 2	Green	Green	No Findings	Green	Green	Green	Green
Dresden 2	Green	Green	Green	No Findings	Green	No Findings	Green
Dresden 3	Green	Green	Green	No Findings	Green	No Findings	Green
Duane Arnold	Green	Green	No Findings	No Findings	No Findings	No Findings	Green
Farley 1	Green	Green	No Findings	Green	No Findings	No Findings	No Findings
Farley 2	Green	Green	No Findings	No Findings	No Findings	No Findings	No Findings
Fermi 2	No Findings	Green	No Findings	No Findings	No Findings	No Findings	No Findings
FitzPatrick	Green	Green	Green	Green	Green	No Findings	Green
Fort Calhoun	Green	Green	No Findings	No Colors	Green	No Findings	No Findings
Ginna	No Findings	Green	Green	No Colors	No Findings	Green	No Findings
Grand Gulf 1	Green	Green	No Findings	No Findings	Green	No Findings	No Findings
Harris 1	Green	White (1)	Green	No Findings	No Findings	No Findings	No Findings
Hatch 1	Green	Green	Green	No Findings	No Findings	No Findings	Green
Hatch 2	Green	Green	No Findings	No Findings	No Findings	No Findings	No Findings
Hope Creek 1	No Findings	Green	Green	No Findings	Green	No Findings	No Findings
Indian Point 2	Red (1)	Green	Green	White (3)	No Colors	No Findings	No Colors

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An Action Matrix is used to assess overall plant safety performance and specify thresholds for NRC Enforcement Actions

	Licensee Response Column		Regulatory Response Column	Degraded Cornerstone Column	Multiple/ Repetitive Degraded Cornerstone Column	Unacceptable Performance Column
R E S U L T S		All Assessment Inputs (Performance Indicators (PIs) and Inspection Findings) Green; Cornerstone Objectives Fully Met	One or Two White Inputs (in different cornerstones) in a Strategic Performance Area; Cornerstone Objectives Fully Met	One Degraded Cornerstone (2 White Inputs or 1 Yellow Input) or any 3 White Inputs in a Strategic Performance Area; Cornerstone Objectives Met with Minimal Reduction in Safety Margin	Repetitive Degraded Cornerstone, Multiple Degraded Cornerstones, Multiple Yellow Inputs, or 1 Red Input; Cornerstone Objectives Met with Longstanding Issues or Significant Reduction in Safety Margin	Overall Unacceptable Performance; Plants Not Permitted to Operate Within this Band, Unacceptable Margin to Safety
R E S P O N S E	Regulatory Performance Meeting	None	Branch Chief (BC) or Division Director (DD) Meet with Licensee	DD or Regional Administrator (RA) Meet with Licensee	RA (or EDO) Meet with Senior Licensee Management	Commission meeting with Senior Licensee Management
	Licensee Action	Licensee Corrective Action	Licensee root cause evaluation and corrective action with NRC Oversight	Licensee Self Assessment with NRC Oversight	Licensee Performance Improvement Plan with NRC Oversight	
	NRC Inspection	Risk-Informed Baseline Inspection Program	Baseline and supplemental inspection procedure 95001	Baseline and supplemental inspection procedure 95002	Baseline and supplemental inspection procedure 95003	
	Regulatory Actions	None	Supplemental inspection only	Supplemental inspection only	-10 CFR 2.204 DFI -10 CFR 50.54 (f) Letter - CAL/Order	Order to Modify, Suspend, or Revoke Licensed Activities
C O M M U N I C A T I O N	Assessment Letters	BC or DD review/sign assessment report (w/ inspection plan)	DD review/sign assessment report (w/ inspection plan)	RA review/sign assessment report (w/ inspection plan)	RA review/sign assessment report (w/ inspection plan) Commission Informed	
	Annual Public Meeting	SRI or BC Meet with Licensee	BC or DD Meet with Licensee	RA (or designee) Discuss Performance with Licensee	EDO (or Commission) Discuss Performance with Senior Licensee Management	Commission Meeting with Senior Licensee Management
	INCREASING SAFETY SIGNIFICANCE ----->					

Action Matrix Summary

<u>Licensee Response Column</u>	<u>Regulatory Response Column</u>	<u>Degraded Cornerstone Column</u>	<u>Multiple/Repetitive Degraded Cornerstone Column</u>	<u>Unacceptable Performance Column</u>
<u>Arkansas Nuclear 1</u>	<u>Calvert Cliffs 1</u>	<u>Callaway</u>	<u>Indian Point 2</u>	
<u>Arkansas Nuclear 2</u>	<u>Cooper</u>	<u>Kewaunee</u>		
<u>Beaver Valley 1</u>	<u>Fermi 2¹</u>	<u>Millstone 2</u>		
<u>Beaver Valley 2</u>	<u>FitzPatrick</u>			
<u>Braidwood 1</u>	<u>Harris 1²</u>			
<u>Braidwood 2</u>	<u>North Anna 2³</u>			
<u>Browns Ferry 2</u>	<u>Oconee 1</u>			
<u>Browns Ferry 3</u>	<u>Point Beach 1</u>			
<u>Brunswick 1</u>	<u>Prairie Island 1⁴</u>			
<u>Brunswick 2</u>	<u>Prairie Island 2⁵</u>			
<u>Byron 1</u>	<u>Quad Cities 1⁶</u>			
<u>Byron 2</u>	<u>Quad Cities 2⁷</u>			
<u>Calvert Cliffs 2</u>	<u>Summer⁸</u>			
<u>Catawba 1</u>	<u>Susquehanna 1⁹</u>			
<u>Catawba 2</u>	<u>Susquehanna 2¹⁰</u>			
<u>Clinton</u>				
<u>Columbia Generating Station</u>				
<u>Comanche Peak 1</u>				

Major Baseline Inspections through May 31, 2002

P Permanent Plant Modifications

- ▶ September 2001

P Response to Contingency Events (Security)

- ▶ February 2002

P Problem Identification and Resolution

- ▶ April 2002

Diablo Canyon Overall Performance

P End of Cycle Assessment

- ▶ Preserved public health and safety
- ▶ Met all cornerstone objectives



NRC Public Meeting

P Closing remarks

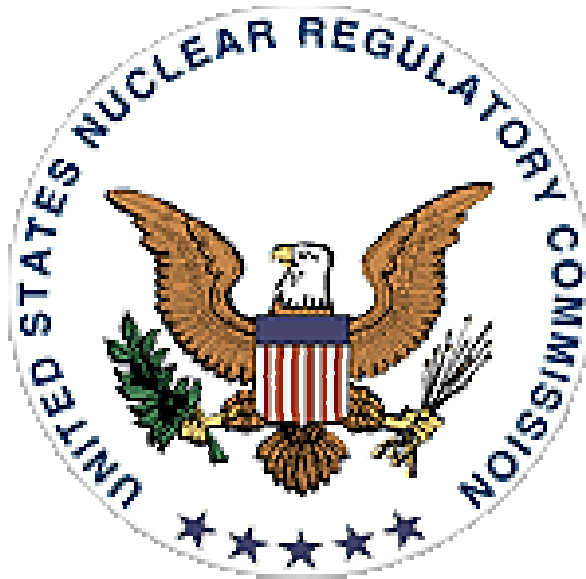
- ▶ Larry Womack, Pacific Gas and Electric

P Closing remarks

- ▶ Ken Brockman, NRC

P Adjourn

REACTOR OVERSIGHT PROCESS ANNUAL ASSESSMENT MEETING

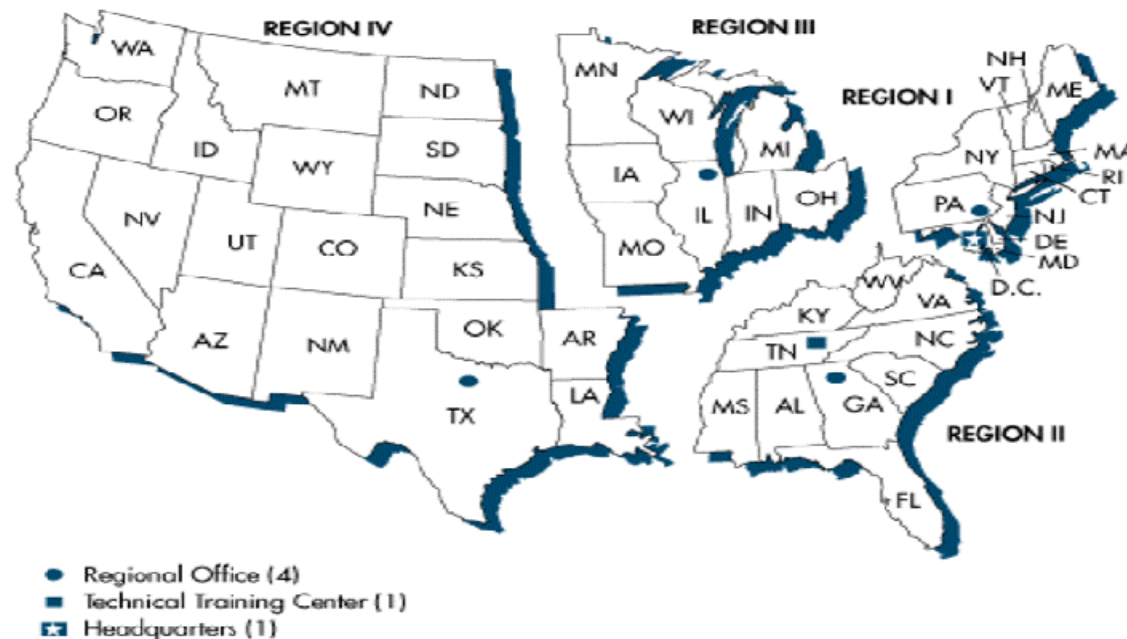


**Nuclear Regulatory Commission
Region IV**

Overview

- **Who we are**
- **Why we are here**
- **How we inspect and assess plant performance**
- **Plant performance results**
- **Questions and Answers**

NRC REGIONAL OFFICES



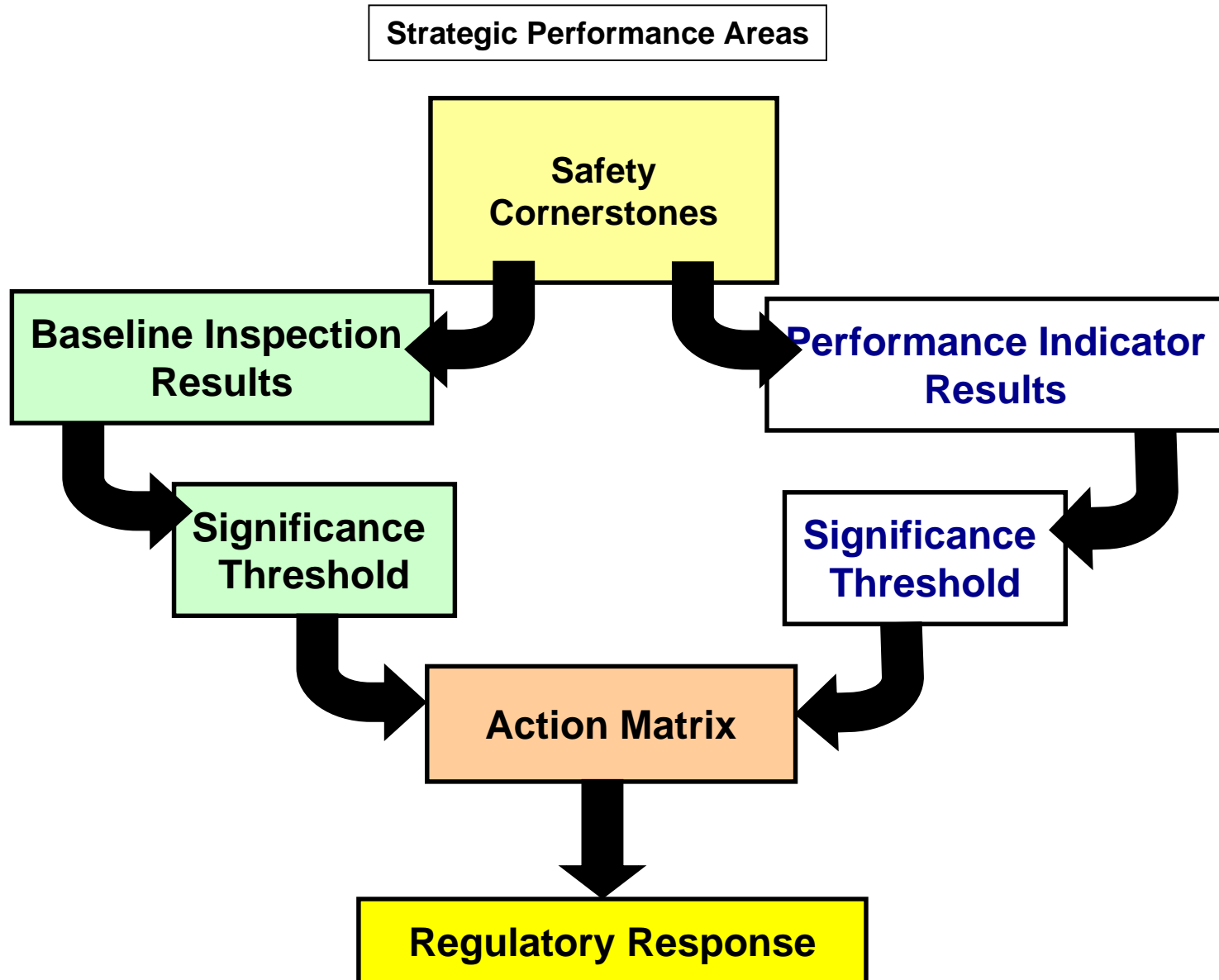
Note: Alaska and Hawaii are included in Region IV.

Source: Nuclear Regulatory Commission

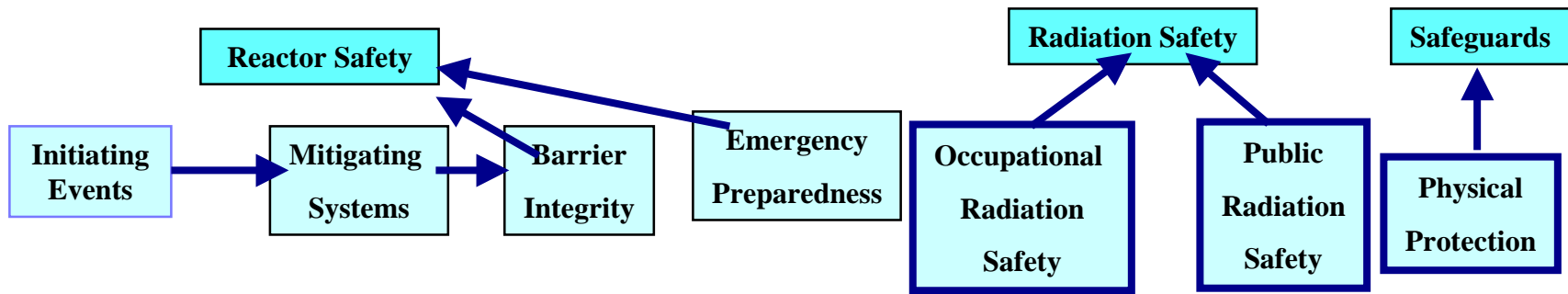
Our Oversight Activities

- **Provide assurance plants are operating safely and in accord with the regulations**
- **Based upon a logical and sound framework**
- **Uses objective indicators of performance**
- **Uses inspections focused on key safety areas**
- **Assessment program triggers regulatory actions**

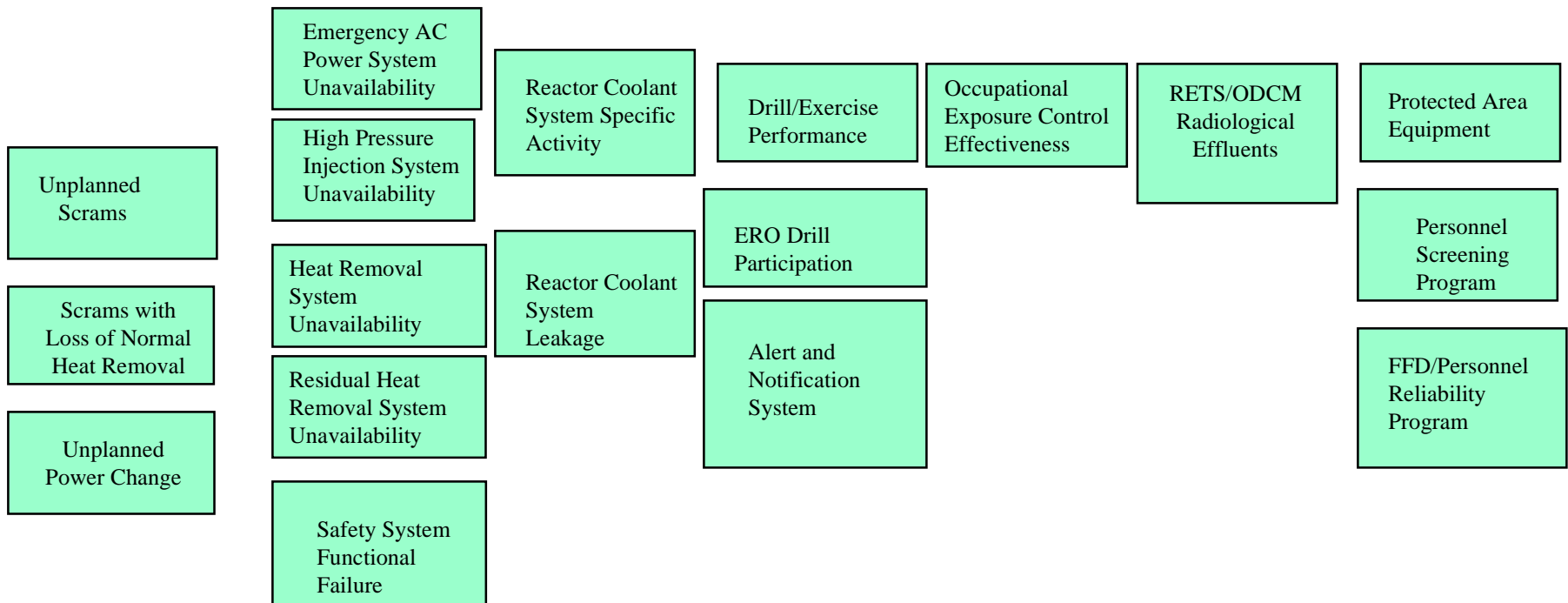
Reactor Oversight Process



The three Strategic Performance Areas are subdivided into seven Cornerstones which are subdivided into 18 Performance Indicators

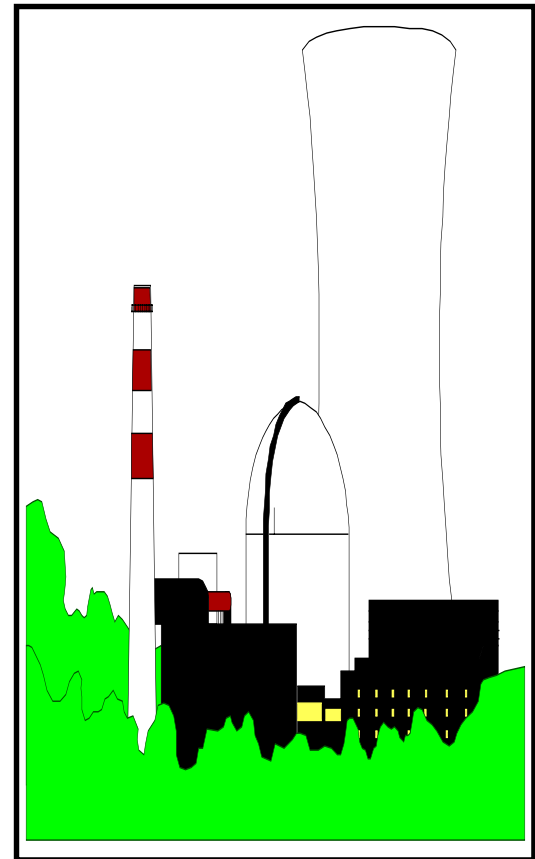


Performance Indicators
Based on data first quarter 2001



NRC Conducts Safety Inspections

NRC resident and regional inspectors utilize a Baseline Inspection Program to monitor plant safety performance in each of the Cornerstone of Safety



Key Aspects of Baseline Inspection Program

- **Objective evidence of plant safety**
- **Conducted at all plants**
- **Emphases safety significant systems, components, activities, and events**
- **Monitors licensee effectiveness in finding and fixing safety issues**
- **Inspection reports describe significant findings and non-compliance**
- **Inspection reports are publicly accessible**

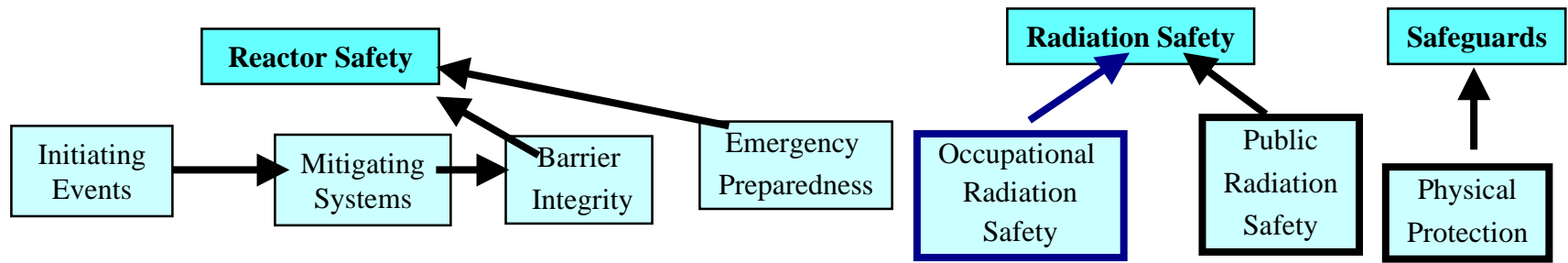
Examples of Baseline Inspections

- **Plant safety tours**
- **Plant control room tours**
- **Maintenance and alignment of equipment**
- **Worker radiation protection**
- **Controls for radiation releases**
- **Plant security**

Event Follow-up and Supplemental Inspection

- **Determine causes of performance declines**
- **Follow-up significant inspection findings**
- **Review events for significance**
- **Provides for graduated response**

The three Strategic Performance Areas are subdivided into seven Cornerstones which are subdivided into 39 Inspection Procedures



Inspection Procedures

Adverse Weather
 Evaluation of Changes
 Equipment Alignment
 Fire Protection
 Flood Protection
 Heat Sink Performance
 In-service Inspection
 Operator Requalification
 Maintenance Rule Implementation
 Maintenance Risk Assessment
 Non-routine Plant Events

Operability Evaluation
 Operator Workarounds
 Permanent Plant Modifications
 Post Maintenance Testing
 Refueling & Outage
 Safety System Design
 Surveillance Testing
 Temporary Modifications
 Reactor Safety-Emergency Preparedness
 Event Follow-up
 Performance Indicator Verification
 Problem Identification & Resolution

Exercise Evaluation
 Alert and Notification System
 Emergency Response Organization Augment
 Emergency Action and Plans
 Emergency Preparedness
 Drill Evaluation
 Occupational Radiation Safety
 Access Control

Radiation Monitoring Instrumentation
 Public Radiation Safety
 Radiation Effluents Treatment
 Radiation Transportation
 Environmental Monitoring
 Security Access Authorization
 Security Search
 Security Response
 Security Plan Change

Key Aspects of Assessment Program

- Objective assessment of performance
- “Action Matrix” to determine agency response to performance:
 - *Inspection level increases*
 - *Management involvement increases*
 - *Regulatory actions increase*
- Plant specific assessment letters
- Information on NRC public web site

Colorization Scheme for *Performance Indicators* and *Inspection Findings*

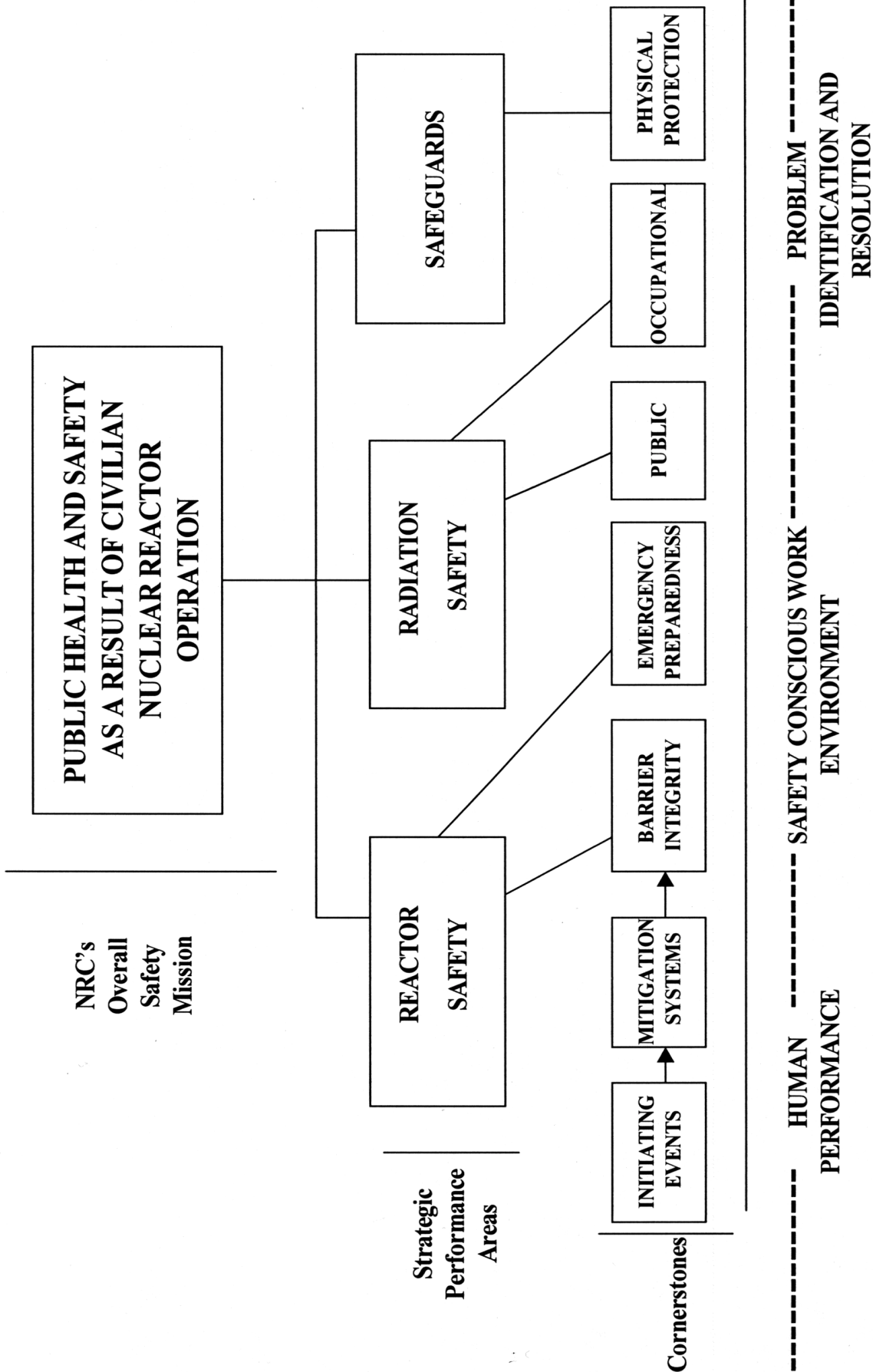
PERFORMANCE INDICATORS

- Green:** Performance requiring no NRC oversight beyond Baseline Inspection
- White:** Performance may result in increased NRC oversight
- Yellow:** Performance that minimally reduces safety margin and requires more NRC oversight
- Red:** Performance that represents significant reduction in safety, requires more NRC oversight, but provides adequate protection to public health and safety

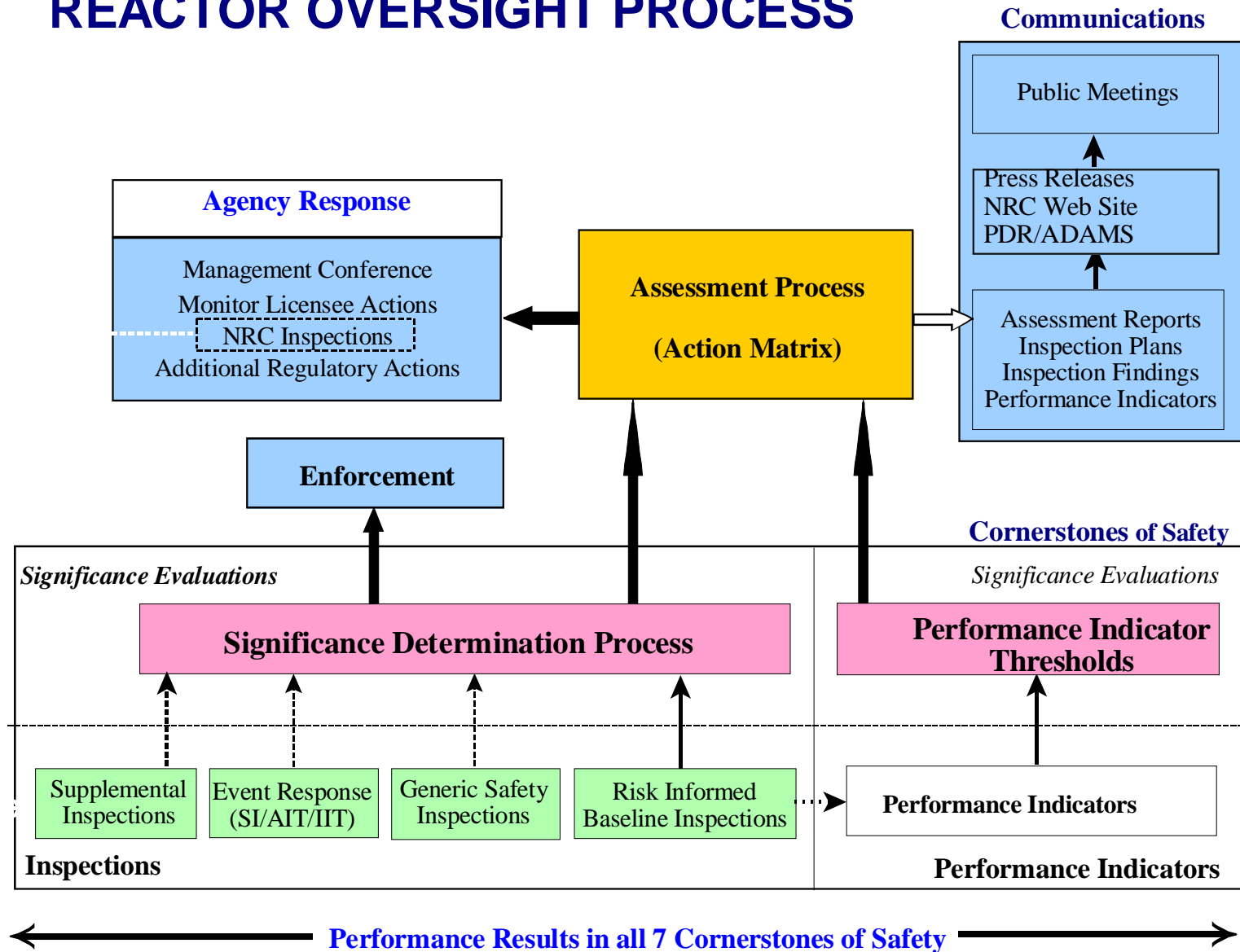
INSPECTION FINDINGS

- Green:** Very low safety issue
- White:** Low to moderate safety issue
- Yellow:** Substantial safety issue
- Red:** High safety issue

REGULATORY FRAMEWORK

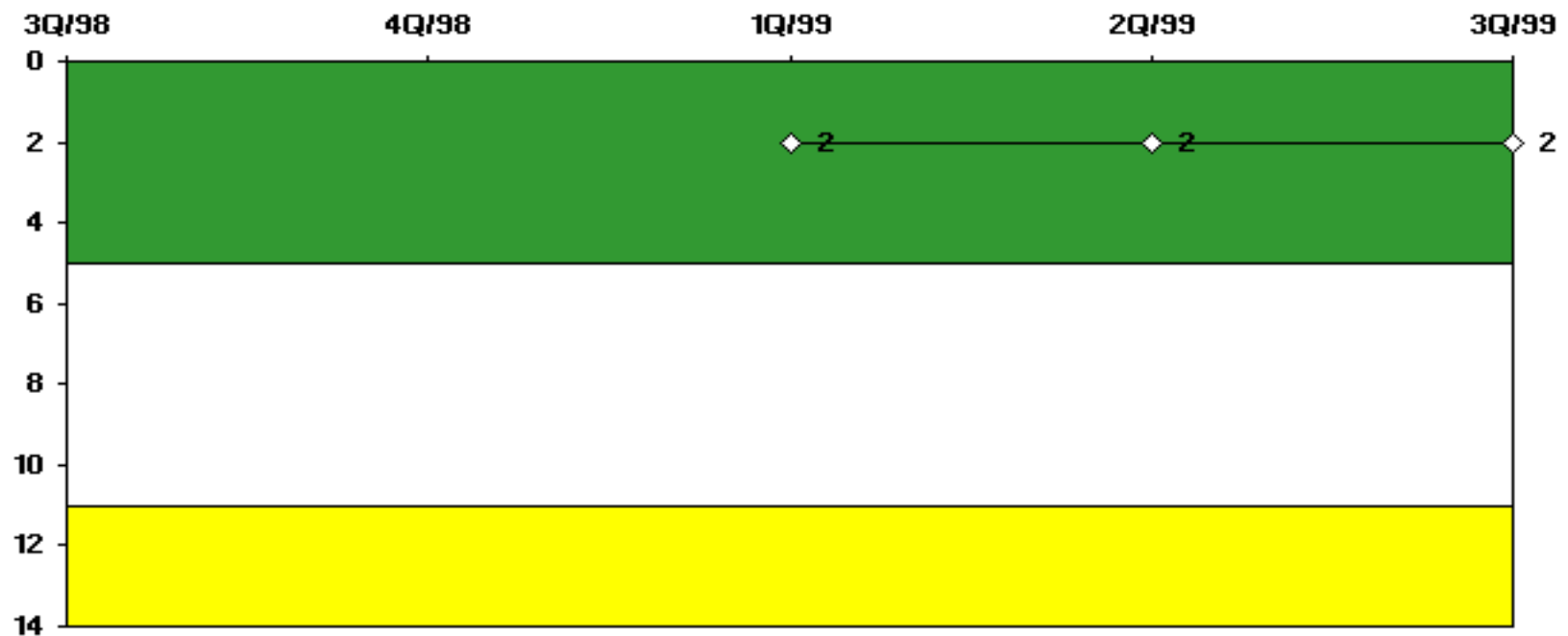


REACTOR OVERSIGHT PROCESS



**A Performance Indicator uses
objective data to monitor performance
in each Cornerstone area**

Occupational Exposure Control Effectiveness



An Action Matrix is used to assess overall plant safety performance and specify thresholds for NRC Enforcement Actions

	Licensee Response Column		Regulatory Response Column	Degraded Cornerstone Column	Multiple/ Repetitive Degraded Cornerstone Column	Unacceptable Performance Column
RESULTS		All Assessment Inputs (Performance Indicators (PIs) and Inspection Findings) Green; Cornerstone Objectives Fully Met	One or Two White Inputs (in different cornerstones) in a Strategic Performance Area; Cornerstone Objectives Fully Met	One Degraded Cornerstone (2 White Inputs or 1 Yellow Input) or any 3 White Inputs in a Strategic Performance Area; Cornerstone Objectives Met with Minimal Reduction in Safety Margin	Repetitive Degraded Cornerstone, Multiple Degraded Cornerstones, Multiple Yellow Inputs, or 1 Red Input; Cornerstone Objectives Met with Longstanding Issues or Significant Reduction in Safety Margin	Overall Unacceptable Performance; Plants Not Permitted to Operate Within this Band, Unacceptable Margin to Safety
RESPONSE	Regulatory Performance Meeting	None	Branch Chief (BC) or Division Director (DD) Meet with Licensee	DD or Regional Administrator (RA) Meet with Licensee	RA (or EDO) Meet with Senior Licensee Management	Commission meeting with Senior Licensee Management
	Licensee Action	Licensee Corrective Action	Licensee root cause evaluation and corrective action with NRC Oversight	Licensee Self Assessment with NRC Oversight	Licensee Performance Improvement Plan with NRC Oversight	
	NRC Inspection	Risk-Informed Baseline Inspection Program	Baseline and supplemental inspection procedure 95001	Baseline and supplemental inspection procedure 95002	Baseline and supplemental inspection procedure 95003	
	Regulatory Actions	None	Supplemental inspection only	Supplemental inspection only	-10 CFR 2.204 DFI -10 CFR 50.54 (f) Letter - CAL/Order	Order to Modify, Suspend, or Revoke Licensed Activities
COMMUNICATION	Assessment Letters	BC or DD review/sign assessment report (w/ inspection plan)	DD review/sign assessment report (w/ inspection plan)	RA review/sign assessment report (w/ inspection plan)	RA review/sign assessment report (w/ inspection plan) Commission Informed	
	Annual Public Meeting	SRI or BC Meet with Licensee	BC or DD Meet with Licensee	RA (or designee) Discuss Performance with Licensee	EDO (or Commission) Discuss Performance with Senior Licensee Management	Commission Meeting with Senior Licensee Management
	INCREASING SAFETY SIGNIFICANCE ----->					