

# End of Cycle Assessment Results LaSalle Nuclear Power Plant



**United States  
Nuclear Regulatory Commission**



# **AGENDA**

- **Introduction**
  - NRC
  - Reactor Oversight Process
- **Current End of Cycle Assessment Results**
  - Performance Indicators
  - Inspection Results
- **Discussion of Current Plant Performance**
- **Concluding Remarks**

***NRC Staff will be available after the meeting  
to answer any questions***

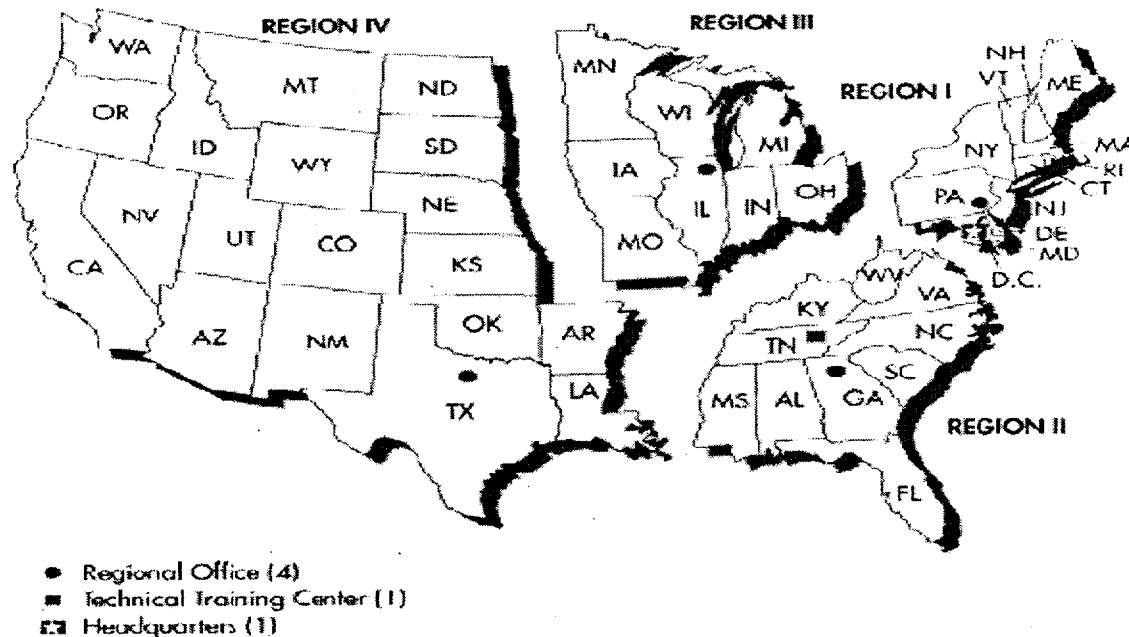


# **NRC Activities**

---

- **Ensure nuclear plants are designed, constructed, and operated safely**
- **Issue licenses for the peaceful use of nuclear materials in the U. S.**
- **Ensure licensees use nuclear materials and operate plants safely, and are prepared to respond to emergencies**

# NRC REGIONAL OFFICES



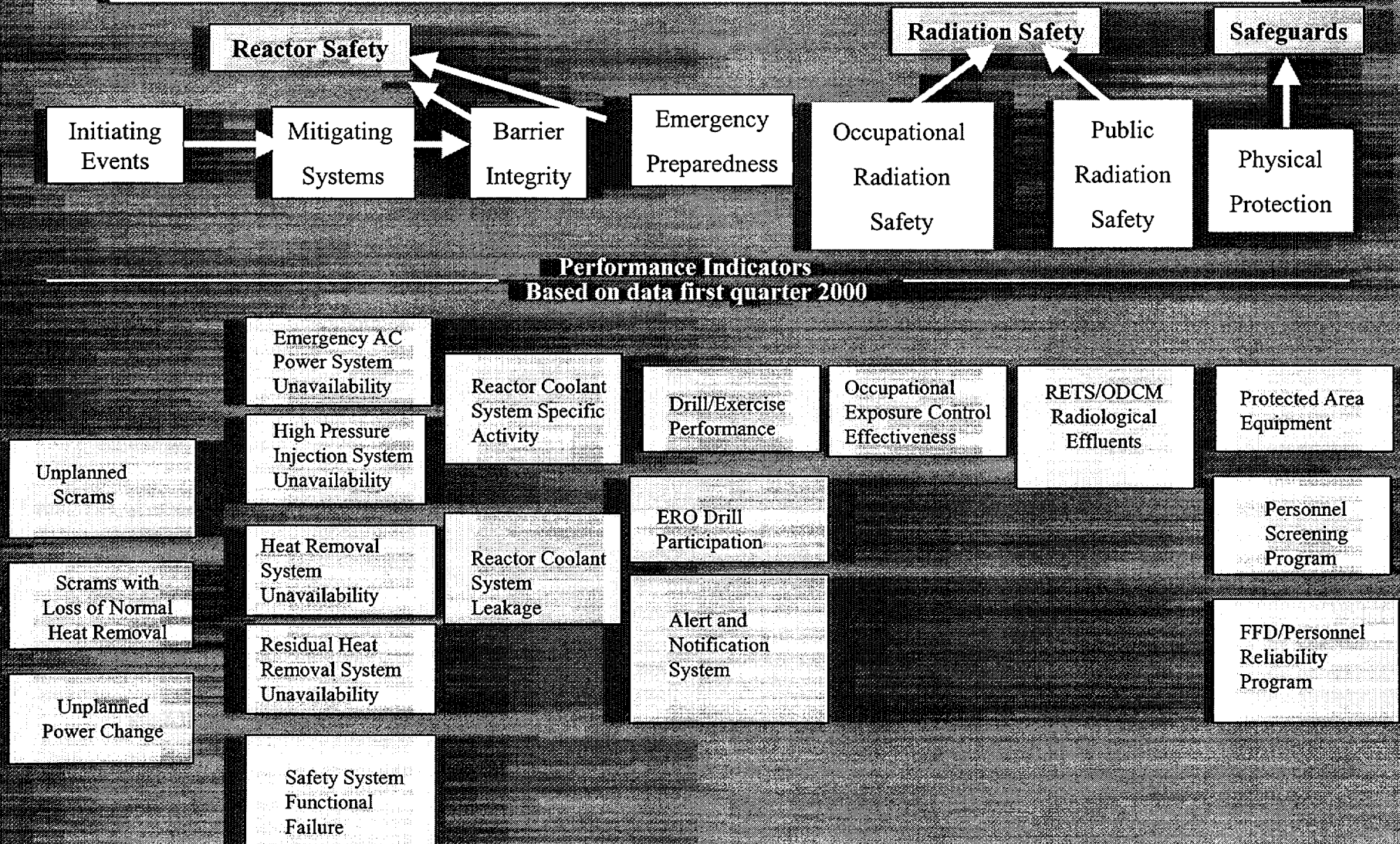
Note: Alaska and Hawaii are included in Region IV.  
Source: Nuclear Regulatory Commission



# **FOUR KEY NRC OUTCOME MEASURES**

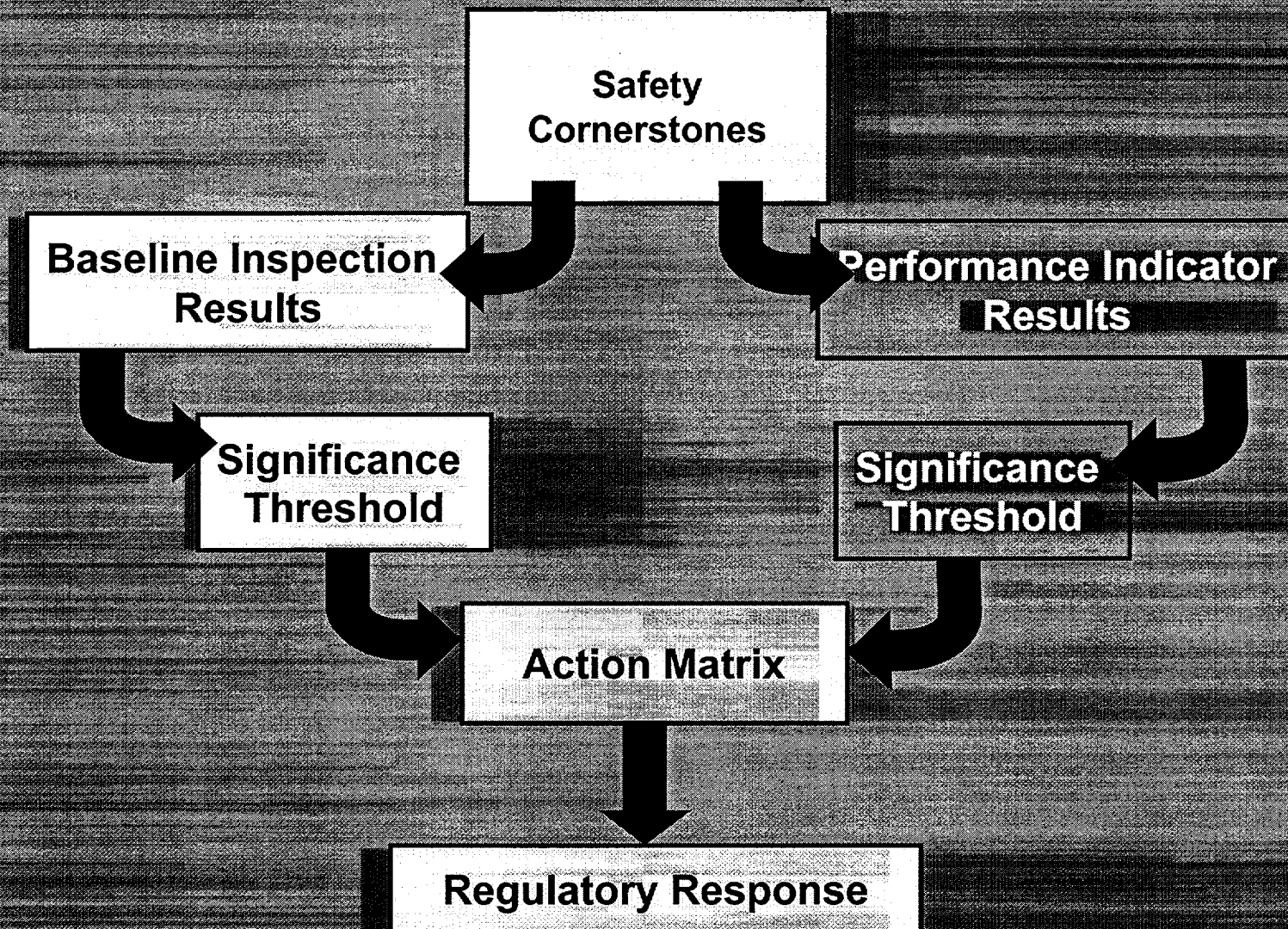
- *Maintain safety and protect the environment*
- *Enhance public confidence*
- *Improve effectiveness, efficiency, and realism of processes and decision making*
- *Reduce unnecessary regulatory burden*

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



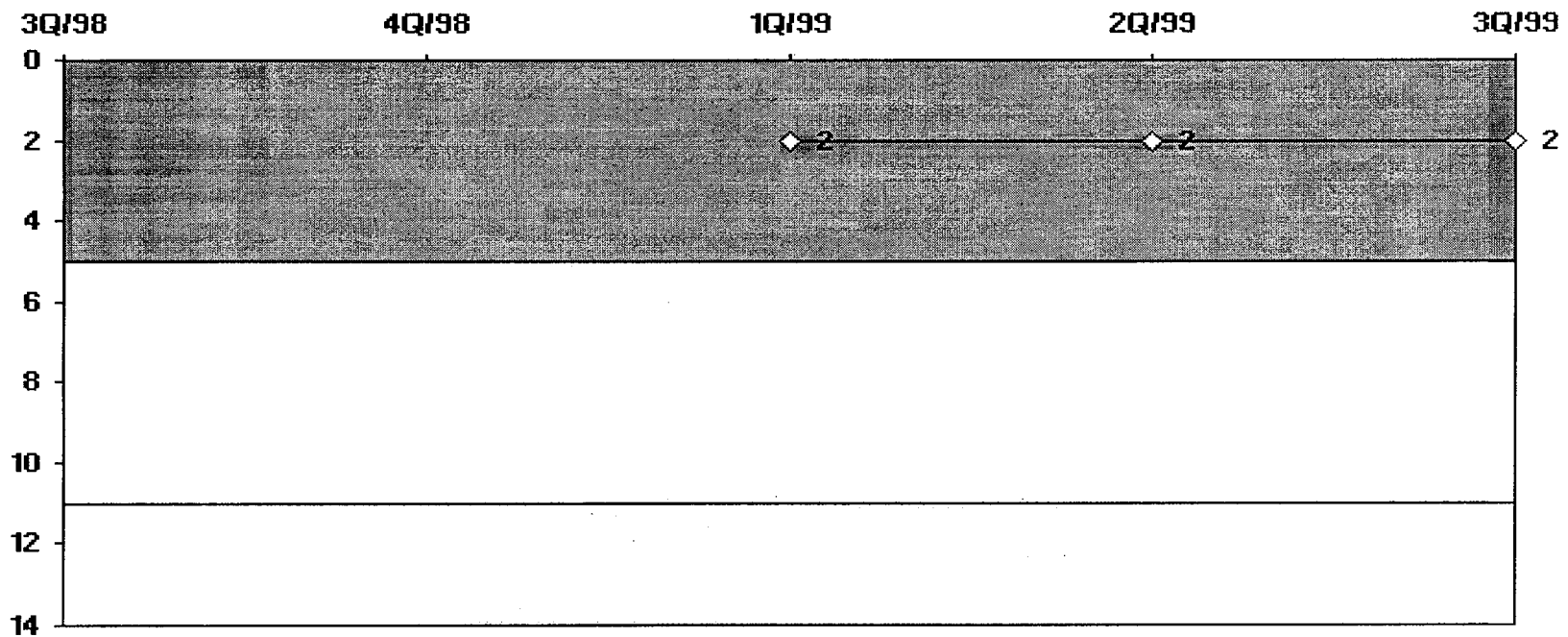


# Reactor Oversight Process



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

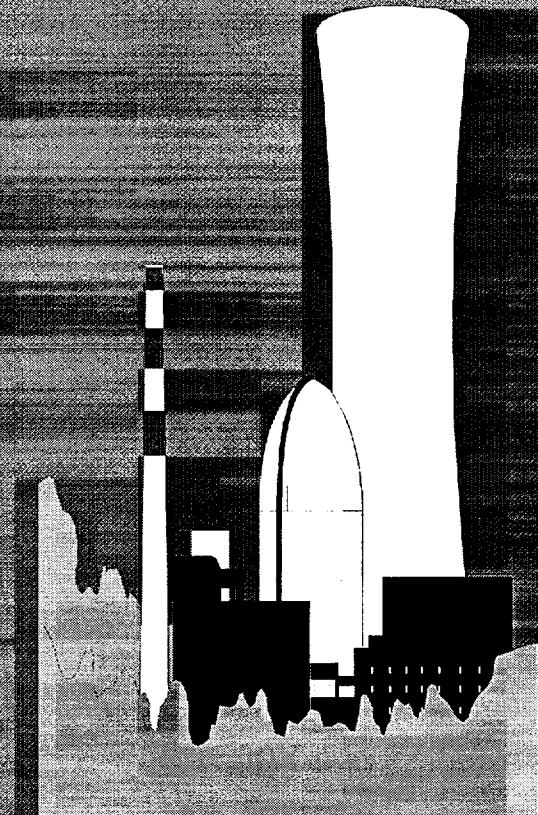
### **Occupational Exposure Control Effectiveness**





# **NRC Conducts Safety Inspections**

**NRC resident and regional inspectors utilize a Baseline Inspection Program to monitor plant safety performance in each of the Strategic Performance Areas**





# **Key Aspects of Baseline Inspection Program**

---

- **Objective evidence of plant safety**
- **Determines causes of performance declines**
- **Conducted at all plants**
- **Emphasizes 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 to public**



# **Examples of Baseline Inspection**

---

- **Daily plant tours**
- **Daily control room tours**
- **Inspect maintenance of important equipment**
- **Inspect controls for radiation protection of plant workers**
- **Inspect controls for radiation releases**
- **Plant security inspections**



# **Supplemental Inspection and Event Follow-up**

---

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



# **Key aspects of assessment program**

---

- **Objective assessment of performance**
- **Utilizes “Action Matrix” to determine agency actions in response to performance**
- **Provides plant specific assessment letters**
- **Assessment information on NRC public web site**

**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 ----->					



REGULATORY INFORMATION TRACKING SYSTEM											
REGION III			RESIDENT INSPECTOR				WEEK ENDING		09/15/2001		
EMPLOYEE: VOGT-LOWELL, RENE J.			SYSTEM INITIALS - RNV								
TAC #	NON-INSPECTION ACTIVITIES	REG	OT	TAC#	ADMIN ACTIV'S	REG	NON	TOTALS			
MA6544	Develop&Implemnt Risk-informed Insp Prog			Z02001	General Admin	3		Regular Hours		40	
40MA6545	Develop Revised Assessment Process			Z02002	Mngmt. & Superv.			Overtime Hours		2.5	
W83188	Allegation Follow-up (no insp. rpt. no.)			Z02005	Staff Development			Non-regular Hours			
MA6541	Program Management/Monitoring			Z02006	General Travel			Backshift		6	
<del>W00002</del>	Incident Response Coverage		2.5	Z02016	Absence Ex Lwop	3		NOTES: 3 hr EXCUS (9/11/01)			
00041	" "	7	2.5	M40325	Init Qual Training						
A10427	Starfire			M82553	Post Qual Training						
DOCKET NUMBER OR CATEGORY CODE INSPECTION REPORT NUMBER			05000440 2001012		05000440 2001XXX		05000XXX 2001XXX		05000XXX 2001XXX		COMMENTS
DIRECT INSPECTION EFFORT			HOURS		HOURS		HOURS		HOURS		
Procedure	Title	IPE	REG	OT	REG	OT	REG	OT	REG	OT	
7111101	Adverse Weather Protection	BI									
7111104Q	Equipment Alignment (train)	BI									
7111104S	Equipment Alignment (system)	BI									
7111105Q	Fire Protection (walkdown)	BI									
7111105A	Fire Protection (drill)	BI									
7111106	Flood Protection Measures	BI									
7111107A	Heat Sink Performance	BI									
7111111Q	Licensed Operator Requalification	BI									
7111112Q	Maintenance Rule Implementation	BI	1.5								Morning CRs
7111113	Maint Risk Assmt&Emergent Work	BI	3								Div. 1 outage
7111114	Performance in Non-routine Events	BI									
7111115	Operability Evaluations	BI									
7111116	Operator Workarounds	BI									
7111117A	Permanent Plant Modifications	BI									
7111119	Post Maintenance Testing	BI									
7111120	Refueling & Outage Activities	BI									
7111121	Safety Sys Design	BI									
7111122	Surveillance Testing	BI	5.5								SVI-C41T2001A
7111123	Temporary Plant Modifications	BI									
TI 2515/144	PI Data Collecting and Reporting Process Review	SI									
7111406	Drill Evaluation	BI									
71151	Performance Indicator Verification	BI									
71152	ID & Resolution of Issues	BI									
71153	Event Follow Up	BI									
NON-DIRECT INSPECTION EFFORT											
Baseline Inspection Preparation	BIP	4									
Baseline Inspection Documentation	BID										
Supplemental/Event Response Insp Prep	SEP										
Supplemental/Event Response Insp Doc	SED										
Generic Safety Issue Inspection Prep	GIP										
Generic Safety Issue Inspection Doc	GID										
Plant Status	PS	10									
Routine Communications	COM	3									
Enforcement	ENF										
Significance Determination Process	SDP										
Assessment (use IR 2001001 until 4/1/2001)	ASM										
Allegation Followup Prep & Doc	BJ2										
Inspection Related Travel	AT										
IPE CODES: BI=Baseline Inspection, SP=Supplemental Program, ER=Event Response (Beyond 71153), AF=Allegation Followup											
I CERTIFY THAT, TO THE BEST OF MY KNOWLEDGE, THE TIME ALLOCATIONS REPORTED ON THIS FORM ARE ACCURATE.											
EMPLOYEE SIGNATURE:			Original Signed by RENE J. VOGT-LOWELL				DATE:		17 SEP 2001		
IMMEDIATE SUPERVISOR SIG:			Original Signed by GERALD MCCOY				DATE:				

*Christine Lipa*

9/19/01

REGULATORY INFORMATION TRACKING SYSTEM											
REGION III			SENIOR RESIDENT INSPECTOR				WEEK ENDING 09/15/01				
EMPLOYEE - ERIC DUNCAN			SYSTEM INITIALS - ERD								
TAC #	NON-INSPECTION ACTIVITIES		REG	NON	TAC#	ADMIN ACTIV'S	REG	NON	TOTALS		
MA6544	Develop&implmnt Risk-informed Insp Prog				Z02001	General Admin	4.0	2.5	Regular Hours		40
MA6545	Develop Revised Assessment Process				Z02002	Mngmt. & Superv.			Overtime Hours		2.5
W83188	Allegation Follow-up (no insp. rpt. no.)				Z02005	Staff Development			Non-regular Hours		2.5
MA6541	Program Management/Monitoring				Z02006	General Travel			NOTES:		
W9002	Incident Response		9.5		Z02016	Absence Ex Lwop					
	NOTE: Need Branch Chief approval to				M40325	Init Qual Training					
	add existing TAC#s and DD/DDD				M82553	Post Qual Training					
	approval to add new TAC#s.										
DOCKET NUMBER OR CATEGORY CODE			05000373		05000374		05000XXX		05000XXX		COMMENTS
INSPECTION REPORT NUMBER			2001011		2001011		20000XX		20000XX		
DIRECT INSPECTION EFFORT			HOURS		HOURS		HOURS		HOURS		
Procedure	Title	IPE	REG	OT	REG	OT	REG	OT	REG	OT	
7111101	Adverse Weather Protection	BI									
7111104Q	Equipment Alignment (train)	BI									
7111104S	Equipment Alignment (system)	BI									
7111105Q	Fire Protection (walkdown)	BI									
7111105A	Fire Protection (drill)	BI									
7111106	Flood Protection Measures	BI									
7111107A	Heat Sink Performance	BI									
7111111Q	Licensed Operator Requalification	BI									
7111112Q	Maintenance Rule Implementation	BI									
7111113	Maint Risk Assmt&Emergent Work	BI									
7111114	Performance in Non-routine Events	BI			2.0						
7111115	Operability Evaluations	BI									
7111116	Operator Workarounds	BI									
7111117A	Permanent Plant Modifications	BI									
7111119	Post Maintenance Testing	BI	3.0								
7111120	Refueling & Outage Activities	BI									
7111121	Safety Sys Design	BI									
7111122	Surveillance Testing	BI	4.0								
7111123	Temporary Plant Modifications	BI									
7111406	Drill Evaluation	BI									
71151	Performance Indicator Verification	BI									
71152	ID & Resolution of Issues	BI									
71153	Event Follow Up	BI									
NON-DIRECT INSPECTION EFFORT											
Baseline Inspection Preparation	BIP	7.0									
Baseline Inspection Documentation	BID	1.0			1.0						
Supplemental/Event Response Insp Prep	SEP										
Supplemental/Event Response Insp Doc	SED										
Generic Safety Issue Inspection Prep	GIP										
Generic Safety Issue Inspection Doc	GID										
Plant Status	PS	4.5	1.0		4.0	1.5					
Routine Communications	COM										
Enforcement	ENF										
Significance Determination Process	SDP										
Assessment (use IR 2001001 until 4/1/2001)	ASM										
Allegation Followup Prep & Doc	BJ2										
Inspection Related Travel	AT										
IPE CODES: BI=Baseline Inspection, SP=Supplemental Program, ER=Event Response (Beyond 71153), AF=Allegation Followup											
I CERTIFY THAT, TO THE BEST OF MY KNOWLEDGE, THE TIME ALLOCATIONS REPORTED ON THIS FORM ARE ACCURATE.											
EMPLOYEE SIGNATURE:			Eric R. Duncan				DATE:		9/14/01		