



UNITED STATES
NUCLEAR REGULATORY COMMISSION
WASHINGTON, D.C. 20555

October 20, 1995

TO: ALL HOLDERS OF OPERATING LICENSES OR CONSTRUCTION PERMITS FOR
NUCLEAR POWER REACTORS

SUBJECT: VERIFICATION OF PLANT RECORDS (GENERIC LETTER 93-03)

PURPOSE

The U.S. Nuclear Regulatory Commission (NRC) is issuing this generic letter to inform licensees of the results of the inspections conducted under Temporary Instruction (TI) 2515/115, "Verification of Plant Records," which addressed the potential for incomplete or inaccurate records at licensed facilities. This generic letter reminds licensees and individuals involved in licensed activities that the NRC may take direct enforcement action against not only the licensee but also any individual who deliberately causes a licensee to be in violation of NRC requirements. This includes the falsification of records required by technical specifications and plant procedures developed pursuant to Regulatory Guide 1.33, "Quality Assurance Program Requirements (Operation)," or other regulatory requirements.

BACKGROUND

Section 50.9, "Completeness and accuracy of information," of Title 10 of the Code of Federal Regulations (10 CFR) requires that information maintained by the licensee pursuant to Commission regulations, orders, or license conditions be complete and accurate in all material respects. The administrative section of plant technical specifications requires that written procedures covering applicable activities (typically in Appendix A of Regulatory Guide 1.33) be developed, implemented, and maintained. Activities for which Appendix A recommends written procedures include surveillances and log entries.

Section 50.5, "Deliberate misconduct," of 10 CFR provides that the NRC may take enforcement action against an individual, including an unlicensed person, who (1) deliberately causes or, but for detection, would have caused a licensee to be in violation of the Commission's requirements; or (2) deliberately provides information to the licensee concerning licensed activities knowing that the information is incomplete or inaccurate in some respect material to the NRC.

On April 23, 1992, the NRC issued Information Notice 92-30, "Falsification of Plant Records," to alert the industry to concerns of the NRC regarding record falsification that had occurred at several plants. The notice specifically reminded plant personnel, both licensed and unlicensed, that they are subject to 10 CFR 50.5 and that individual penalties could result from deliberately violating Commission requirements. It also noted that the NRC was continuing its evaluation of the individual cases discussed. Although the NRC did not request any action by means of this notice, many licensees initiated actions to ensure that plant personnel were properly performing their assigned duties.

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204R-5 (Information)
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The NRC issued TI 2515/115 to provide guidance for NRC inspector evaluation of the ability of each licensee to obtain complete and accurate log readings from both licensed and unlicensed operators. The inspection findings were documented in a routine resident inspection report for each facility. The NRC reviewed the inspection findings nationwide to determine how widespread the problem was.

SUMMARY OF TI 2515/115 INSPECTION RESULTS

The NRC recognizes that it is difficult to compare the TI 2515/115 inspection results among plants. Many factors can affect the inspection findings, such as the variation in the extent of computerized access areas within the protected area from plant to plant and in the sample sizes reviewed by licensees (some licensees greatly expanded their sample size in response to an identified discrepancy). However, the review showed that at approximately 30 sites at least one discrepancy between security computer records and documented logs existed.

Several licensees found that not only auxiliary operators, but also contractor fire watches and health physics technicians had been responsible for creating incomplete or inaccurate records. The NRC is concerned not only with inaccurate and incomplete records regarding the status and condition of plant equipment, but also with the failure of the fire watches to provide a required compensatory action.

Several licensees discovered a number of other problems related to the conduct of plant rounds, log taking, and record keeping. In some instances, licensees found that many of the unlicensed operators were performing certain rounds much faster than management expected. Other licensees found that unlicensed operators did not have a clear understanding of what their signatures on a log sheet meant. Some believed that it attested to only the fact that the round had been performed, whether by the log signatory or another operator. Several licensees found that when multiple rounds or log readings were required in a single shift, the operators performed a generally rigorous first tour, but a much less formal second tour. Finally, at one facility, management review of the tour and logging requirements revealed that the operators could not reasonably be expected to conduct the specified rounds in the time provided because of such factors as the number of times the operators had to don and remove anticontamination clothing to enter and leave radiation-controlled areas.

The NRC found that licensee responses to Information Notice 92-30 were positive. Licensees took advantage of the information to review records, sensitize employees, and appropriately revise procedures and training. They also took various disciplinary actions against the involved individuals in accordance with their internal programs and policies, commensurate with the seriousness of the violations. Disciplinary actions taken by the licensees against the licensed operators ranged from employment termination to leave without pay.

ENFORCEMENT ACTION

The information from each site was reviewed to determine the appropriate enforcement action. In each case that involved logging falsifications, the NRC has determined that enforcement action is warranted. A Notice of Violation without a civil penalty was issued to all licensees that had logging violations in order to emphasize (1) that such misconduct cannot be tolerated and (2) management responsibility to ensure the completeness and accuracy of facility records. However, escalated action is not being taken because: (1) the licensees identified the violations either on their own initiative or as a result of the audits and inspections conducted after Information Notice 92-30 was issued, (2) the licensees took appropriate corrective action for any potential program weaknesses, and (3) the licensees took disciplinary action against the individuals involved, as appropriate. In addition, the NRC is not taking any enforcement action against individuals because licensees already have taken appropriate disciplinary action.

Now that the NRC has reemphasized the need for licensees to ensure that logging activities are being properly conducted, logging violations in the future may result not only in enforcement action against licensees, but also direct enforcement action against the individual involved in deliberate record falsification, whether the individual is licensed or not and whether the individual is a licensee employee or a contractor.

LESSONS LEARNED

Various licensees have reexamined their programs to ensure that management expectations regarding the conduct of rounds and log keeping are clearly articulated to plant personnel and are being implemented in the plant. Some of the actions taken include steps to (1) ensure that individuals clearly understand the meaning of their signatures on log sheets and procedures, (2) ensure that plant personnel clearly understand who is responsible and authorized to perform rounds, (3) ensure that individuals understand the purpose of the rounds and are properly trained on how the rounds are to be conducted, (4) perform periodic audits of field practices, and (5) verify that round and log requirements can reasonably be met in the specified time. Given the turnover of auxiliary operators and others who perform these rounds, these topics may be appropriate for consideration in licensee routine training and auditing programs.

October 20, 1993

This generic letter requires no specific action or written response. If you have any questions about the information in this generic letter, please contact the technical contact listed below or the appropriate Office of Nuclear Reactor Regulation project manager.

Sincerely,



James G. Partlow
Associate Director for Projects
Office of Nuclear Reactor Regulation

Enclosure:
List of Recently Issued NRC Generic Letters

Technical contact: James G. Luehman, OE
(301) 504-3280

LIST OF RECENTLY ISSUED GENERIC LETTERS

<u>Generic Letter</u>	<u>Subject</u>	<u>Date of Issuance</u>	<u>Issued To</u>
93-05	LINE-ITEM TECHNICAL SPECIFICATIONS IMPROVEMENTS TO REDUCE SURVEILLANCE REQUIREMENTS FOR TESTING DURING POWER OPERATION	09/27/93	ALL HOLDERS OF OLs OR CPs FOR NPRs
89-10, SUPP. 5	INACCURACY OF MOTOR-OPERATED VALVE DIAGNOSTIC EQUIPMENT	06/28/93	ALL LICENSEES OF OPERATING NUCLEAR POWER PLANTS AND HOLDERS OF CONSTRUCTION PERMITS FOR NUCLEAR POWER PLANTS
93-04	ROD CONTROL SYSTEM FAILURE AND WITHDRAWAL OF ROD CONTROL CLUSTER ASSEMBLIES, 10 CFR 50.54(f)	06/21/93	ALL HOLDERS OF OLs OR CPs FOR (W)-DESIGNED NPRs EXCEPT HADDAM NECK ALL HOLDERS OF OLs OR CPs FOR (CE)-DESIGNED AND (B&W)-DESIGN NPRs AND HADDAM NECK
93-03	VERIFICATION OF PLANT RECORDS	10/20/93	ALL HOLDERS OF OLs OR CPs FOR NPRs
93-02	NRC PUBLIC WORKSHOP ON COMMERCIAL GRADE PROCUREMENT AND DEDICATION	03/23/93	ALL HOLDERS OF OLs OR CPs FOR NPRs AND ALL RECIPIENTS OF NUREG-0040, "LICENSEE CONTRACTOR AND VENDOR INSPECTION STATUS REPORT" (WHITE BOOK)
93-01	EMERGENCY RESPONSE DATA SYSTEM TEST PROGRAM	03/03/93	ALL HOLDERS OF OLs OR CPs FOR NPRs, EXCEPT FOR BIG ROCK POINT AND FACILITIES PERMANENTLY OR INDEFINITELY SHUT DOWN
92-09	LIMITED PARTICIPATION BY NRC IN THE IAEA INTERNATIONAL NUCLEAR EVENT SCALE	12/31/92	ALL HOLDERS OF OLs OR CPs FOR NPRs

OL = OPERATING LICENSE
CP = CONSTRUCTION PERMIT

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*See Previous Concurrences.

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03/09/93	03/17/93	03/18/93

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JLuehman	JGray	GMarcus	BGrimes	JPartlow
10/15/93	10/15/93	10/15/93	10/18/93	10/17/93

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