Lew W. Myers
Chief Operating Officer

419-321-7599
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Docket Number 50-346

License Number NPF-3

Serial Number 1-1323

July 30, 2003

Mr. James E. Dyer, Administrator
United States Nuclear Regulatory Commission
Region III
801 Warrenville Road
Lisle, IL 60532-4351

Subject: Submittal of Revision 5 of the Nuclear Operating Business Practice, Restart Readiness
Review Extended Plant Outage (DBBP-VP-0002)

Dear Mr. Dyer:

On June 15, 2003 (Serial 1-1318), the FirstEnergy Nuclear Operating Company (FENOC)
submitted Revision 4 of the Nuclear Operating Business Practice DBBP-VP-0002, Restart
Readiness Review Extended Plant Outage. This business practice provides the review process to
ensure Davis-Besse's materiel condition, programs and processes, and organization, including the
organization's safety culture are ready for plant restart and safe, reliable operation.

This Business Practice was subsequently revised to enhance and refine the Restart Readiness
Review process. The purpose of this letter is to submit Revision 5 of the Nuclear Operating
Business Practice DBBP-VP-0002, Restart Readiness Review Extended Plant Outage, dated
July 8, 2003 as an enclosure to this letter. This revision supercedes Revision 4 in its entirety.

No commitments are identified in the enclosure. Also, it should be noted that FirstEnergy
Nuclear Operating Company may periodically update this document in the future.

If you have any questions or require further information, please contact Mr. Kevin L. Ostrowski,
Manager - Regulatory Affairs, at (419) 321-8450.

Sincerely yours,

GB/DG

Attachment
Enclosure

AUG 0 4 2003

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cc: USNRC Document Control Desk
        J. B. Hopkins, DB-1 NRC/NRR Senior Project Manager
        C. S. Thomas, DB-1 Senior Resident Inspector
        Utility Radiological Safety Board

COMMITMENT LIST

The following list identifies those actions committed to by the Davis-Besse Nuclear Power Station (DBNPS) in this document. Any other actions discussed in the submittal represent intended or planned actions by the DBNPS. They are described only for information and are not regulatory commitments. Please notify the Manager - Regulatory Affairs (419-321-8450) at the DBNPS of any questions regarding this document or associated regulatory commitments.

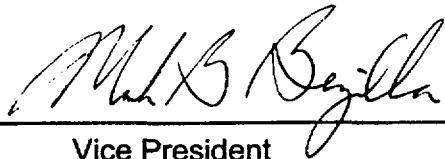| COMMITMENTS	DUE DATE
None	N/A

Docket Number 50-346
License Number NPF-3
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Enclosure

Revision 5 of the Nuclear Operating Business Practice
Restart Readiness Review Extended Plant Outage
(DBBP-VP-0002)

(57 pages to follow)

RESTART READINESS REVIEW
EXTENDED PLANT OUTAGE

Approved: _____
Vice President

Approved: _____
Chief Operating Officer

Effective Date ___JUL ⁻ 8 2003___

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1.0   PURPOSE

The purpose of this Business Practice is to provide assurance that the Davis-Besse Nuclear Power Station is ready to restart following the extended plant outage. The framework detailed here establishes a review process for areas not addressed by the Restart Test Plan and DB startup procedures to ensure that Davis-Besse's materiel condition, programs and processes, and organization, including the organization's safety culture are ready for plant restart and safe, reliable operation.

2.0   APPLICABILITY

This Business Practice applies to the first plant startup following this extended plant outage. It also applies to subsequent startups from this same outage and therefore shall be re-performed if the startup is halted resulting in an entry into a lower mode.

Adherence to this Business Practice is mandatory.

3.0   RESPONSIBILITY

The Vice President-Nuclear is responsible for initiating the Restart Readiness Review Process.

Each Section Manager and 0350 Restart List Responsible Individual is responsible for the accuracy and adequacy of the reviews performed, actions taken and action plans developed during the review process.

The Section Managers of Plant Engineering and Operations and the Director-Work Management (Maintenance) are responsible for ensuring plant walk-down inspections are conducted prior to power ascension. | 5

The Manager-Operations is responsible for affirming: 1) the Operations Section has completed a review of operational readiness and is ready to support the safe and reliable startup and operation of the plant through the next operating cycle; 2) that the plant is in a condition of materiel readiness to support safe and reliable startup and operation and the operating crews are prepared and ready to startup and operate the plant in a safe and reliable manner through the next operating cycle.

The Supervisor-DB Reactor Engineering is responsible for: 1) following movement of fuel in the reactor core, changes to reactivity control components in the reactor core and/or changes to nuclear instrumentation in the reactor core, verifying that the reactor core is configured to support safe and reliable operation through the cycle. This affirmation is required prior to installation of the reactor head; 2) prior to reactor startup, verifying that the required conditions exist to support a safe startup and power ascension.

Each Director is responsible for the final review of the assessment and action plans developed during the review process by the sections in his department.

The Chief Operating Officer is responsible for final approval prior to plant restart.

4.0   DETAILS

1.   The review process shall be initiated early enough to ensure it is completed prior to entry into Modes 6, 4 and 2. The review shall be completed by the milestone date as determined by the responsible Shift Outage Director. All Sections and 0350 Checklist Responsible Individuals, shall submit restart readiness reviews by the milestone dates; not all items have to be complete, provided bullet (4) in Step 3 is appropriately addressed.

2.   The process consists of the review and assessment of the specified Restart Readiness Review Indicators. The matrix on Attachment 2 designates the minimum indicators from Attachment 1 that are applicable to each Section and/or 0350 Checklist Item. Each Section and 0350 Checklist Responsible Individual, shall address applicable indicators and should participate in the review and assessment of any indicator for which meaningful input can be provided.

3.   The methodology for the review process consists of the following steps:

- Monitor plant system/component work activity progress during the outage

- Monitor emergent work/issues during the outage for shutdown concerns

- Monitor personnel and administrative issues during the outage for restart concerns

- Assess Restart Readiness Review Indicators as identified on Attachment 1, as applicable per Attachment 2.

- Assess Safety Culture as identified on Attachment 9, Page 18   5

- Identify items to be complete prior to the designated Mode (6, 4 or 2) that have not been completed as of the Shift Outage Director milestone date. Ensure a reference is associated with each incomplete item that addresses completion of that item before needed in that mode.

4.   Results of the individual indicator assessments, including the status of action plans to support plant restart, will be indicated on Attachment 1, and acknowledged by the signature of the Section Manager or 0350 Checklist Responsible Individual. Indicator assessments should be marked as Final (all conditions are acceptable to support plant restart) or Preliminary (one or more indicators are not currently complete or acceptable and action plans will support

plant restart when complete). Details on incomplete items and the status of action plans to eliminate them shall be attached.

5. The signed original Restart Readiness Review Indicators (Attachment 1) should be provided to the Restart Action Process Administrator at the end of the Readiness meetings for inclusion in the Mode Readiness notebook

6. Restart Readiness Review Indicators shall be reviewed by the Senior Leadership Team and approved by the Vice President-Nuclear or Chief Operating Officer, as provided on Attachment 3.

7. Completed Attachments 1 and 3 shall be included with the documentation package assembled in accordance with this Business Practice.

8. Walk down inspections shall be completed prior to power ascension as described in this document and in accordance with EN-DP-01503, System Walkdowns and Plant Engineering Policy PE-02, System Walkdown Checklist. Results of walkdown inspections shall be documented in Attachment 4 and submitted to the on-shift Engineering Manager.

9. The Shift Manager of each crew should:

    a. Conduct reasonable and appropriate activities to accomplish the objective of attaining, demonstrating and affirming operational readiness. The Shift Manager should consider the following to support the affirmation of operating crew readiness:

        -adequacy of staffing levels, personnel experience and qualification levels.

        -assure no uneasiness remains among Operations personnel regarding the Station's ability to operate safely by eliciting any outstanding safety concerns from shift personnel and ensuring that the concerns are resolved.

        -completion of appropriate personnel refresher training of shift personnel, including training on plant, procedures and process changes.

        -completion of training of shift personnel on the startup and power ascension plan. This training shall include discussion on the expected behavior and characteristics of the core for this startup.

    b. Affirm to the best of their knowledge and judgment that the plant is in a condition of materiel readiness to support safe and reliable startup and operation. The Shift Manager should consider the following:

-adequacy of the materiel condition of the plant, including the current status of operator work-arounds, to support safe and reliable restart and operation during the next operating cycle.

-all outage-related temporary fire suppression systems removed and fire protection requirements or commitments ready to support startup.

-temporary modifications, temporary power feeds, removed/MCCs restored, installed temporary power feeds, if applicable, reviewed to ensure they will not affect safety or operations.

   c. Complete Attachment 5.

10. The Supervisor-DB Reactor Engineering shall, following movement of fuel, changes to reactivity control components and/or changes to nuclear instrumentation in the reactor core, verify that the reactor core is configured to support safe and reliable operation through the cycle. This affirmation is required prior to installation of the reactor head. Attachment 6, Core Configuration Affirmation Form, details the required review areas and documents the affirmation.

11. The Supervisor-DB Reactor Engineering, shall, prior to a reactor startup, verify that the required conditions exist to support a safe startup and power ascension. Attachment 7, Reactor Startup Affirmation Form, details the required review areas and documents that affirmation.

12. Each System Engineer and 0350 Program Owner shall complete Attachment 8, System Engineer/Program Owner Readiness Affirmation Form. The System Engineer forms shall be part of the Plant Engineering Manager's presentation for restart readiness. The 0350 Program Owner's form will be used as part of their readiness discussion. Selected systems (System Engineers) will be identified by the Manager-Operations, Manager-Plant Engineering and Plant Manager to be discussed during the Restart Readiness Review Meetings.

ATTACHMENT 1:   RESTART READINESS REVIEW INDICATORS

Page 1 of 2

Plant Section or 0350 Checklist Item_____

Mode_____

Acceptable to Support Restart? Yes/No/NA

1   All assigned outage work activities are complete to support plant restart and operations. This includes a reconfirmation that previous dispositions of nonconforming conditions or Preventive Maintenance deferrals continue to provide a justification for continued operation. (Attachment 2-a)   _____

2   Outstanding Operability Evaluations, CR corrective actions and new CRs generated during the shutdown have been evaluated for operability concerns are either closed or determined to have no impact on operability. (Attachment 2-b)   _____

3   Regulatory and internal commitments have been evaluated for operability concerns or restart restraints and are either closed or determined to have no impact on operability. (Attachment 2-c)   _____

4   Housekeeping walkdowns utilizing the guidelines of NG-DB-00215, Material Readiness and Housekeeping Inspection Program are complete. (Attachment 2-d)   _____

5   The Power Ascension Schedule has been reviewed for accuracy and adequacy ensuring: (Attachment 2-e)

   • Post maintenance retest and special testing are identified and scheduled correctly with instructions in place.

   • Planned walkdowns are scheduled appropriately   _____

6   Personnel, materials and special test equipment necessary to support power ascension retest and walkdown activities have been identified and availability is ensured during power ascension. (Attachment 2-f)   _____

7   Contingency plans are established for immediate response to plan and repair steam leaks or high-risk test failures. (Attachment 2-g)   _____

8   Standing orders have been reviewed for continued applicability and system status sheets completed as required by DB-OP-06911, Pre-Startup Checklist. (Attachment 2-h)   _____

9   System walkdowns have been performed by Plant Engineering and Maintenance, as directed by Operations, to ensure system readiness for restart.   _____

10 Operating Experience reports have been reviewed to ensure no potential operability concerns.   _____

11 Procedure alterations/PCRs are ready for mode change or restart.   _____

12 Work around and burdens identified prior to or during shutdown and not corrected have been confirmed acceptable. (Attachment 2-i)   _____

ATTACHMENT 1:   RESTART READINESS REVIEW INDICATORS (Continued)
Page 2 of 2

Plant Section or 0350 Checklist Item_____

Mode_____

Acceptable to Support Restart? Yes/No/NA

13   All Management and Human Performance Improvement Plan items required for restart are complete. (Attachment 2-j)   _____

14   All 0350 Discovery Action Plan milestones identified as required for restart are complete. (Attachment 2-k)   _____

15   All 0350 Implementation Action Plan milestones identified as required for restart are complete. (Attachment 2-l)   _____

16   All Section Corrective Action Program Improvement Plan activities required for restart have been validated as ready to support restart. (Attachment 2-ii)   _____

17   All Condition Reports and corrective actions, work orders, modifications (including EWRs and ECRs) categorized as 0350 are completed. (Attachment 2-m, n, o)   _____

18   All Condition Reports and corrective actions, work orders, and modifications (including EWRs and ECRs) designated as required for restart by the Restart Station Review Board are complete. (Attachment 2-q, r, s)   _____

19   Any required for restart Condition Report or corrective action, work order or modification (including EWRs and ECRs), which cannot be completed prior to restart, has a written exemption from the RSRB. (Attachment 2-u)   _____

20   All pending allegations have been reviewed and determined not to affect the restart of the plant. (Attachment 2-v)   _____

21   Integrated Restart Report per NG-VP-00100 signed by the SMT. (Attachment 2-w)   _____

Check one

	Preliminary: I have reviewed the assessment of the Restart Readiness Review Indicators as indicated above and confirm that the attached plans will support plant restart when complete.
	Final: I have reviewed the assessment of the Restart Readiness Review Indicators as indicated above and concur that the current conditions support plant restart.

Section Manager or 0350 Checklist Individual_____
                                            (Please Print Your Name)

Signature: _____   Date_____
                    Section Manager or 0350 Checklist Individual

ATTACHMENT 2: PLANT RESTART READINESS REVIEW INDICATOR MATRIX
Page 1 of 3

	a. Work Scope	b. CR's, OEs	c. Commitments	d. Housekeeping	e. Startup Schedule	f. Resources	g. Contingency	h. Standing Orders	i. Workarounds/ Burdens	ii. Section CAP Improvement Plan Activities	j. M&HPE Improvement Plan Activities
Plant											
Operations	X	X	X	X	X	X	X	X	X	X	X
RP	X	X	X	X	X	X	X			X	X
Chemistry	X	X		X	X	X	X			X	X
Outage Management and Work Control	X		X		X	X	X			X	X
FIN	X			X		X	X			X	X
Mechanical	X	X		X		X	X			X	X
E&C	X	X		X		X	X			X	X
Maint. Serv.	X			X		X	X			X	X
Engineering											
Plant Engineering	X	X	X	X	X	X	X			X	X
Design Engineering	X	X	X			X				X	X
Project Management	X	X	X			X				X	X
RRT	X	X				X					X
Nuclear Fuels	X	X	X	X	X	X				X	X
Support Services											
Performance Improvement		X				X				X	X
Regulatory Affairs	X	X	X		X	X				X	X
Quality Services						X				X	X
Security						X				X	X
Organizational Development											
Training		X				X				X	X
Safety		X		X		X					X
Emergency Preparedness			X			X	X				X
Other Departments											
OPID/QA/QC	X	X	X			X					X
Supply Chain					X	X				X	X
Client Services						X					X
Business Services						X					X
Human Resources						X				X	X

ATTACHMENT 2:   PLANT RESTART READINESS REVIEW INDICATOR MATRIX
Page 2 of 3

0350 CHECKLIST ITEM RESTART READINESS REVIEW INDICATOR MATRIX

	k. 0350 Discovery Action Plan	l. 0350 Implementation Action Plan	m. 0350 Condition Reports	n. 0350 Work Orders	o. 0350 MODs, EWRs, & ECRs
0350 Checklist Item					
1. Adequacy of Root Cause Determinations—S. Loehlein, M. Roder, D. Gudger, J. Powers, D. Eshelman, L. Myers*	X		X	X	X
2. Adequacy of Safety Significant Structures, Systems and Components--D. Baker, A. Stallard, T. Chambers, R. Hovland, J. O'Neill*	X	X	X	X	X
3. Adequacy of Safety Significant Programs--A. McAllister, L. Dohrmann, S. Loehlein, M. Shepherd, J. Grabnar, R.Farrell, J. Lee, R. Perry, K. Ostrowski*	X	X	X		
4. Adequacy of Organizational Effectiveness and Human Performance—R. Fast, J. Powers*	X	X	X	X	X
5. Readiness for Restart—C. Price, F. VonAhn, R. Hovland, R. Schrauder, A. Stallard, J. Hirsch*		X	X		
6. Licensing Issue Resolution--J. Powers, K. Ostrowski*		X	X		
7. Confirmatory Action Letter Resolution--L. Myers, K. Ostrowski*			X		

* Or an approved designated alternate

ATTACHMENT 2: PLANT RESTART READINESS REVIEW INDICATOR MATRIX
Page 3 of 3

REQUIRED FOR RESTART READINESS REVIEW INDICATOR MATRIX

	q. Required for Restart CRs and CAs	r. Required for Restart MODs, EWRs, ECRs	s. Required for Restart Work Orders	t. Procedure Alterations	u. RSRB Exemptions	v. Allegations	w. Recommendation for Restart
Restart Station Review Board	X	X	X		X		
Quality Services				X			
Employee Concerns Program						X	
Station Review Board (Plant Operating Review Committee)							X
Company Nuclear Review Board							X
Restart Overview Panel							X

ATTACHMENT 3:   RESTART READINESS REVIEW FOR PLANT STARTUP

Restart/Mode Change Recommended By: 5

Plant Manager—Davis-Besse Nuclear Power Station   Date

Director-Davis-Besse Nuclear Engineering   Date

Director-Davis-Besse Work Management   Date

Director-Davis-Besse Support Services   Date

Director-Davis-Besse Restart   Date

Director-Davis-Besse Organizational Development   Date

RESTART /MODE CHANGE APPROVAL: 5

Vice President-Nuclear   Date

Chief Operating Officer   Date

ATTACHMENT 4:   PLANT INSPECTION/WALKDOWN DOCUMENTATION SHEET
Page 1 of 1

Mode_____ | 5

ASSET LABEL: _____

Or

AREA INSPECTED: _____

NOUN NAME: _____

LOCATION: _____

DESCRIPTION: _____

_____

_____

_____

_____

_____

MAINTENANCE TAG/WORK ORDER #:

CONDITION REPORT INITIATED (#)_____

MODE RESTRAINT: ____Yes   ____No | 5

SUBMITTED BY: _____ **DATE/TIME**_____/_____
            (please print your name)

SIGNATURE: _____

ATTACHMENT 5:   OPERATIONAL READINESS AFFIRMATION FORM

Shift Designator: _____

Shift Manager: _____

(Please Print)

Mode_____

Review Summary:

The Shift Manager should initial each item below to affirm that he/she and the operating crew have completed the required actions:

_____ Shift staffing levels, including personnel experience and qualification levels, are adequate.

_____ No uneasiness remains among Operations personnel regarding the station's ability to operate safely. All safety concerns have been identified and addressed.

_____ Appropriate refresher training of shift personnel, including training on plant, procedure and process changes, has been completed.

_____ Appropriate training of shift personnel on the startup and power ascension plan, have been completed, including discussions on core behavior and characteristics for this startup.

_____ The materiel condition of the plant, including the current status of operator work-arounds, is adequate to support safe and reliable restart and operation.

Affirmation:

Based upon an evaluation of the considerations set forth in Details, 4.0, and to the best of my knowledge and judgment, the plant is in a condition of materiel readiness to support the safe and reliable startup and power operation through the next operating cycle and the operating crew is ready to startup and operate the plant in a safe and reliable manner.

Shift Manager:

Print/Signature/Date_____|_____|__

Reviews and Approvals:

Manager-Operations:

Print/Signature/Date_____|_____|____

Remarks: (Attach a continuation sheet if applicable)

ATTACHMENT 6:   CORE CONFIGURATION AFFIRMATION FORM

Mode_____

Review Summary:

The Supervisor-DB Reactor Engineering, should initial each item below to affirm that the required conditions exist following movement of fuel in the reactor core, changes to reactivity control components and/or changes to nuclear instrumentation in the reactor core. This affirmation is required prior to installation of the reactor head.

_____ All new fuel assemblies loaded into the reactor core were inspected, as required, to ensure that the manufacturing and design specifications were met.

_____ All irradiated fuel assemblies present in the reactor core were inspected, as required, and dispositioned as acceptable for operation through the cycle.

_____ No fuel assemblies in the reactor core are known leaking assemblies.

_____ A 10CFR50.59 Reload Safety Evaluation governing reactor core operation has been approved by the Plant Operating Review Committee (PORC)

_____ The reactor core loading has been verified.

_____ All reactivity control components in the reactor core will meet their design functions.

_____ All nuclear instrumentation in the reactor core will meet their design functions.

Affirmation:
Based on my knowledge and judgment, the required conditions exist and the reactor core is configured to support safe and reliable operation through the cycle.

Supervisor-DB Reactor Engineering
Print/Signature/Date_____|_____|_____

Remarks: (Attach a continuation sheet if appropriate)

ATTACHMENT 7: REACTOR STARTUP AFFIRMATION FORM

Mode_____

Review Summary:

The Supervisor-DB Reactor Engineering should initial each item below to affirm that the required conditions exist prior to reactor startup.

_____ Estimated Critical Conditions have been prepared and independently verified.

_____ Preparations are complete for any necessary Low Power Physics Testing (i.e. equipment, procedures, calculations, training)

_____ Personnel are available, as required, to support reactor startup and power ascension to 100%.

_____ Required training has been completed for Nuclear Fuels personnel.

_____ Reactivity plans are available, as required, to support reactor startup and power ascension to 100%. These plans include expectations for reactor behavior with emphasis on any behavior that is different from recent plant operation.

_____ The Core Monitoring System is operable.

_____ All reactivity control systems will meet their design functions.

_____ Sufficient nuclear instrumentation is available to safely startup and operate the reactor core.

_____ There are no outstanding reactivity management issues impacting the safe operation of the reactor core.

Affirmation:
Based on my knowledge and judgment, the required conditions exist and the reactor core is ready to support a safe startup and power ascension.

Supervisor-DB Reactor Engineering
Print/Signature/Date_____|_____|_____

Remarks: (Attach a continuation sheet if appropriate)

ATTACHMENT 8: SYSTEM ENGINEER/PROGRAM OWNER READINESS AFFIRMATION FORM

Mode_____

1. Name of System/Program:

2. The status of the system/program is (For systems, a brief description of the physical status of the system including System Health status and Maintenance Rule status. For programs, a brief status of the program):

3. System/Program is ready for Mode _____: Yes____ or No____

4. The system/program is ready for Mode _____ because: (if not ready, skip to #5)

5. The system/program is not ready for Mode _____ because:

    and the following actions are in place to address these issues:

    The system/program will be ready for Mode _____ by: _____(Date)

6.   Items in abnormal status or configuration (workarounds, temporary modifications, Control Room deficiencies) identified and not corrected have been reviewed and determined to be acceptable: Yes____ or No____   (Attach a list of the above items)

7. Housekeeping issues associated with this system/program have been addressed for Mode _____: Yes____ or No____   (Attach a list of those not resolved)

8. I have the following concerns about my system and its readiness for Mode _____:
    Briefly identify concerns. (The Restart Readiness Review process will not resolve these concerns at the meeting. They should be scheduled for presentation to the Plant Support Center if there is a concern relative to this mode change.)

9. Open CRs, CAs, Work Orders or Engineering modifications required for Mode _____
    (Attach a list).

Name: _____ Extension:_____
                    (Please Print)

Signature: _____ Date:_____

ATTACHMENT 9: ASSESSMENT OF SAFETY CULTURE
Page 1 of 2

ASSESSMENT OF SAFETY CULTURE

Assessment Summary:

Improving safety culture is a long-term activity that will be constantly monitored by Davis-Besse senior management. For Restart Readiness, it is important to show an improving safety culture. The individual indicators that make up the Commitment Areas may be green, white, yellow or red. Some of the Commitment Areas may be yellow (Policy or Corporate Commitment Area, Plant Management Commitment Area or Individual Commitment Area) however restart will not be approved if any of the three are red.

Remedial actions will be taken for any red indicators. Condition Reports will be written for all red and yellow indicators with corrective actions to identify an existing or new plan for improvement. Corrective Actions may take credit for already existing activities. Red indicator corrective actions will be formally presented to the Senior Leadership Team. | 5

The criterion for ratings follows in Appendix A. These criteria are guidelines. Management may consider other factors and adjust the ratings accordingly. If other factors are considered, they shall be documented in an attachment to the Rating sheet. The ratings are based on convergent assessment such as: performance indicators, management observations, demonstrated performance during critical plant conditions ad hoc surveys, training and feedback from independent safety culture reviews and Nuclear Quality Assurance Assessments.

Safety Culture Commitment Area Ratings:

Green: all major areas are acceptable with a few minor indicator deviations

White: all major areas are acceptable with a few indicators requiring management
             attention

Yellow: all major areas are acceptable with several indicators requiring prompt management action

Red: several major areas do not meet acceptable standards and require immediate management
             action

Each Section Manager will provide a Rating sheet (ATTACHMENT 9, Page 19,) with the Final Restart Readiness Indicators. For any individual attribute where only site-wide numbers are available (e.g. 4Cs surveys, ECP etc.), or for any individual attribute not applicable to a section (e.g. operator work-arounds for other than Operations), the Manager will NA that attribute on his backup sheets and that attribute will not be used as part of the site-wide tally for the indicator. At the final Restart Readiness Review meeting for any mode, a site-wide Rating sheet will be prepared by the Management Team using the individual section ratings as a guideline. The final Rating sheet will be signed by the Vice President-Nuclear and maintained with the other Restart Readiness documentation. | 5

Determination of the individual indicator or the commitment area color will be based on the following:

Red=0 points
Yellow=1 point
White=2 points
Green= 3 points

Greater than one red attribute or indicator means the indicator or Commitment Area can be no better than yellow. If more than two or 1/3 (whichever is greater) of the attributes or indicators are red, the indicator or Commitment Area shall be red.

Red = $\leq.75$
Yellow = >.75 to <1.75
White = ≥1.75 to <2.5
Green= ≥2.5

ATTACHMENT 9:   ASSESSMENT OF SAFETY CULTURE

Page 2 of 2

Rating Safety Culture

Mode_____

Item   *Color*

1. Policy or Corporate Commitment Area   ____
    a. Policies on Safety Culture and Safety Conscious Work Environment clearly
       state that safety is a core value and are understood by the organization   ____
    b. Management values are clearly reflected in the Business Plan and are
       understood by the organization   ____
    c. Resources are available or can be obtained to ensure safe, reliable operations ____
    d. Self-Assessment is a tool used to monitor, assess and improve our performance ____
    e. Independent Oversight is a tool used to validate acceptable performance and
       identify areas for improvement or corrective action   ____

2. Plant Management Commitment Area   ____
    a. There is a visible commitment to safety: nuclear, industrial, radiological and
       environmental   ____
    b. Goals and roles are clear and teamwork is reinforced   ____
    c. Ownership and accountability is evident   ____
    d. Training and Qualification are valued   ____
    e. Commitment to continuous improvement is evident   ____
    f. Cross-functional work management and communication   ____
    g. Creating an environment of engagement and commitment   ____

3. Individual Commitment Area   ____
    a. Drive for excellence—nuclear assets of people and plant are continuously
       improved to enhance margins of safety   ____
    b. Questioning attitude—challenges are welcomed   ____
    c. Rigorous work control and prudent approach—performing activities in a quality
       manner is the standard   ____
    d. Open communications—associates are comfortable in voicing opinions, issues
       and concerns   ____
    e. Nuclear Professionalism—persistence and urgency in identification and resolution of
       Problems is prevalent   ____

	I have reviewed the Rating of Safety Culture as indicated above and concur that the current conditions support readiness for mode change.

Section Manager _____
                                    (Please Print Your Name)

Signature: _____ Date_____
                               Section Manager

Adjustments to ratings from the standard criteria should be documented and attached to this page.

APPENDIX A: ASSESSMENT OF SAFETY CULTURE CRITERIA
Page 1 of 38

POLICY COMMITMENT AREA
CRITERIA RELATED TO STATEMENT OF SAFETY POLICY
Policies on Safety Culture and Safety Conscious Work Environment clearly
state that safety is a core value and are understood by the organization

ATTRIBUTE	RED	YELLOW	WHITE	GREEN
*Policy statement on Safety Culture**	There is no policy.	Policy statement is issued but only occasionally reinforced by management.	Policy statement issued and is frequently reinforced by management.	Policy statement is issued and is continuously reinforced by management.
*Policy statement on Safety Conscious Work Environment (SCWE)**	There is no policy.	Policy statement is issued but only occasionally reinforced by management.	Policy statement is issued and is frequently reinforced by management.	Policy statement issued and is strong statement of safety conscious work environment and often reinforced.
*Making employees aware of policy statements**	Policy statements simply issued as part of FENOC Business Plan.	Policy statements distributed separately to employees in memo.	Policy statements are communicated by at least two means. (e.g., hard copy distribution, newsletters, group meetings, training, stand down).	Policy statements are communicated to employees and emphasized regularly in meetings and face to face communication.
Employee understanding of policies	Surveys/interviews indicate less than 70% of employees understand the policies.	Surveys/interviews indicate that 70-80% of the employees understand the policies and consider safety a FE value.	Surveys/interviews indicate that 80-90% of employees understand the policies and consider safety a FE value.	Surveys/interviews indicate that more than 90% of employees understand the policies and consider safety a FE value and the normal way to do business.
Worker understanding of responsibility to raise safety concerns	Surveys indicate that less than 85% of workers understand their responsibility to raise nuclear safety or quality concerns.	Surveys indicate that between 85-90% of workers understand their responsibility to raise nuclear safety or quality concerns.	Surveys indicate that between 90-95% of workers understand their responsibility to raise nuclear safety or quality concerns.	Surveys indicate that more than 95% of workers understand their responsibility to raise nuclear safety or quality concerns.

* Site wide assessment only. Data provided by Senior Management

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POLICY COMMITMENT AREA

CRITERIA RELATED TO MANAGEMENT VALUES

Management values are clearly reflected in the Business Plan and are understood by the organization

ATTRIBUTE	RED	YELLOW	WHITE	GREEN
*Corporate values**	There is no corporate level statement of safety values. FirstEnergy management does not express its safety values to plant personnel.	There is a corporate level statement of commitment to safety. FirstEnergy management meets infrequently with plant personnel to express its safety values.	There is a corporate level statement of commitment to safety. FirstEnergy management meets occasionally with plant personnel to express its safety values.	There is a corporate level statement of commitment to safety. FirstEnergy management meets frequently with plant personnel to express its safety values.
*Statement of mission, vision, and values**	There is no statement of Mission, Vision, and Values and employees believe focus is on production and profits.	The statement of Mission, Vision, and Values places some weight on safety but greater weight on production or profits	The statement of Mission, Vision, and Values places approximately equal weight on safety and production/profits.	The statement of Mission, Vision, and Values emphasizes safety over production and profits.
*FENOC Business Plan**	Business Plan contains no Critical Success Area Initiatives on safety.	Business Plan contains few Critical Success Area Initiatives on safety.	Business Plan contains Critical Success Area Initiatives on safety with implementation plans.	Business Plan contains Critical Success Area Initiatives on safety and all are being fully implemented.
*Incentive program (FENOC Safety Culture Performance Indicator)**	The Safety Culture Assessment value is 40 points or less.	The Safety Culture Assessment value is 40-60 points.	The Safety Culture Assessment value is 60-80 points.	The Safety Culture Assessment Value is above 80 points.

*Site wide assessment only. Data provided by Senior Management

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POLICY COMMITMENT AREA

CRITERIA RELATED TO RESOURCES

Resources are available or can be obtained to ensure safe, reliable operations

ATTRIBUTE	RED	YELLOW	WHITE	GREEN
*Adequacy of management resources**	More than five manager or above positions are not filled with ANSI qualified FENOC individuals.	More than five supervisor or above positions are not filled with ANSI qualified FENOC individuals.	Five or less supervisor or above positions are filled with ANSI qualified FENOC individuals.	All management positions are filled with ANSI qualified FENOC individuals.
Adequacy of personnel resources	More than four sections do not have sufficient personnel to perform their assigned responsibilities.	Three or four sections do not have sufficient personnel to perform their assigned responsibilities.	One or two sections do not have sufficient personnel to perform their assigned responsibilities.	Each section has a full complement of personnel (minus normal attrition) to perform its assigned responsibilities.
*Adequacy of funding***	Necessary activities, to improve nuclear safety, as defined by the Senior Leadership Team and Project Review Committee (PRC) are not being completed in a timely manner due to lack of funding that was requested and rejected by FENOC Executive Management.	A number of identified improvements to nuclear safety, as identified by the PRC in the plant, programs, or other activities, are not completed in a timely manner due to lack of funding.	Several identified improvements to nuclear safety, as identified by the PRC in the plant, programs, or other activities, are not completed in a timely manner due to lack of funding.	Sufficient funding exists to perform improvements, as identified by the PRC in plant, programs and other activities to improve nuclear safety.

* Site wide assessment only. Data provided by Human Resources

**Site wide assessment only. Data provided by the chairman of the PRC

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POLICY COMMITMENT AREA

CRITERIA RELATED TO RESOURCES (continued)

Resources are available or can be obtained to ensure safe, reliable operations

Adequacy of tools, material and equipment	Many necessary tasks (PMs, Work Orders, ECRs and projects) are not being completed in a timely manner due to lack of tools, material or equipment.	A number of scheduled tasks (PMs, Work Orders, ECRs and projects) are not being completed in a timely manner due to lack of tools, material or equipment.	Several scheduled tasks (PMs, Work Orders, ECRs and projects) are not being completed in a timely manner due to lack of tools, material or equipment.	Sufficient tools and equipment exist to perform assigned tasks for PMs, Work Orders, ECRs and projects.

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POLICY COMMITMENT AREA

CRITERIA RELATED TO SELF-ASSESSMENT

Self-Assessment is a tool used to monitor, assess and improve our performance

ATTRIBUTE	RED	YELLOW	WHITE	GREEN
*Use of Nuclear Quality Assurance as part of the self-assessment process**	Less than 60% of the sections have used NQA as part of the self-assessment process.	Between 60-75% of the sections have used NQA as part of the self-assessment process.	Between 75-90% of the sections have used NQA as part of the self-assessment process.	More than 90% of the sections have used NQA as part of the self-assessment process.
Self-assessments	Less than 50% of sections have scheduled self-assessments for 2003 and 2004.	Between 50-65% of sections have scheduled self-assessments for 2003-2004.	Between 65-80% of sections have scheduled self-assessments for 2003-2004.	More than 80% of sections have scheduled self-assessments for 2003-2004.
Performance Indicators	Performance indicators related to safety and quality do not exist.	A number of performance indicators do not exist (or need to be improved) for important activities affecting quality and safety.	Several performance indicators do not exist (or need to be improved) for important activities affecting quality and safety.	Performance indicators exist and are being regularly updated for important activities affecting safety and quality.
*Personnel Performance Appraisals***	The performance appraisal program does not include assessments of safety or quality of performance.	The performance appraisal program includes assessments of safety or quality of performance but most employee appraisals have not been performed.	The performance appraisal program includes assessments of safety or quality of performance but some appraisals have not been performed in timely manner and some employees do not have a current appraisal.	The performance appraisal program includes assessments of safety and quality of performance and the appraisals are being performed in timely manner and all employees have a current appraisal.

*Site wide assessment only. Data provided by NQA

**Site wide assessment only. Data provided by Human Resources

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POLICY COMMITMENT AREA
CRITERIA RELATED TO OVERSIGHT
Oversight is a tool used to show acceptable performance and identify areas for improvement and corrective actions.

ATTRIBUTE	RED	YELLOW	WHITE	GREEN
*Nuclear Committee of Board of Directors**	The Nuclear Committee of the Board has little focus on safety in the agenda.	The Nuclear Committee occasionally discusses safety as a topic in the agenda.	The Nuclear Committee has safety as a part of the agenda at least once per quarter.	The Nuclear Committee has safety as a part of the agenda every meeting.
Company Nuclear Review Board (CNRB)+	The CNRB has not implemented any of the recommendations from the independent assessment of the CNRB. The CNRB rarely has a safety assessment discussion on the agenda.	The CNRB has not implemented a number of the recommendations from the independent assessment of the CNRB. The CNRB agenda has a safety discussion only once per year.	The CNRB has implemented all but one or two of the recommendations from the independent assessment of the CNRB. The CNRB agenda has a safety discussion two out of three meetings per year.	The CNRB has implemented the recommendations from the independent assessment of the CNRB. The CNRB agenda has a safety discussion every meeting.
*Nuclear Quality Assurance (NQA)***	NQA is not performing audits or assessments of important safety activities.	A number of NQA audits or assessments were not performed when required or a number of important safety activities were not subject to audits or assessments.	NQA audits or assessments were performed when required, but several important safety activities were not subject to audits or assessments.	NQA is regularly performing audits and assessments of important safety activities and identifying key issues for finding.

*Site wide assessment only. Data provided by Senior Management

+Site wide assessment only. Data provided by NQA Manager or VP Oversight

**This item is assessed by NQA only.

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MANAGERS' COMMITMENT AREA

CRITERIA RELATED TO COMMITMENT TO SAFETY
There is a visible commitment to safety: nuclear, industrial, radiological and environmental

ATTRIBUTE	RED	YELLOW	WHITE	GREEN	
*Management observations performed as scheduled**	There is no management observation program.	There is a management observation program and more than 65% of management observations are performed as scheduled.	There is a management observation program and more than 75% are performed as scheduled.	There is a management observation program and more than 90% are performed as scheduled.	5
*Management observations are self critical**	Most management observations are not self-critical.	More than 50% of the management observations performed are self-critical and corrective actions implemented.	More than 75% of the management observations performed are self-critical and corrective actions implemented.	More than 90% of the management observations performed are self-critical and corrective actions implemented.	
Management emphasis on safety to employees; questioning attitude	No method has been used in the last month to provide emphasis on safety to employees (e.g., town hall meetings, 4 Cs meetings, newsletters, and training).	One method has been used in the last month to provide emphasis on safety to employees (e.g., town hall meetings, 4 Cs meetings, newsletters, and training).	Two means have been used in the last month to provide emphasis on safety to employees (e.g., town hall meetings, 4 Cs meetings, newsletters, and training).	Multiple means have been used by management in the last month to provide emphasis on safety to employees (e.g., town hall meetings, 4 Cs meetings, newsletters, and training).	
*Leadership in Action***	Leadership in Action does not include discussions on safety culture Leadership in Action training has not been available for most supervisors and above.	Leadership in Action includes discussions on safety culture Leadership in Action training has been completed for more than 50% of supervisors and above within 12 months of new appointment.	Leadership in Action includes discussions on safety culture Leadership in Action training has been completed for more than 75% of supervisors and above within 12 months of new appointment.	Leadership in Action includes discussions on safety culture Leadership in Action training has been completed for more than 90% of supervisors and above within 12 months of new appointment.	5

*Site wide assessment only. Data provided by Management Observation Program
** Site wide assessment only. Data provided by Human Resources

APPENDIX A: ASSESSMENT OF SAFETY CULTURE CRITERIA

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MANAGERS' COMMITMENT AREA

CRITERIA RELATED TO COMMITMENT TO SAFETY (continued)

There is a visible commitment to safety: nuclear, industrial, radiological and environmental

Problem solving	A problem solving process exists but there is no use of the document.	In several cases, the problem solving process NOP-EN-3001 has not been properly implemented for applicable conditions.	With one or two exceptions, the problem solving process, NOP-EN-3001 has been properly implemented for applicable conditions.	The problem solving process, NOP-EN-3001 has been properly implemented for applicable conditions.
Decision making	Safety significant decisions are made in isolation without adequate information, oversight, involvement and peer checking.	Safety significant decisions are made with minimal information, oversight, involvement and peer checking.	Safety significant decisions, with few exceptions, are made with adequate information, oversight, involvement and peer checking.	Safety significant decisions are made with adequate information, oversight, involvement and peer checking.
Improvements in safety margin*	None of the improvements in safety margin are complete (e.g. emergency sump, cavity seal, decay heat pit modification, refurbishment of reactor coolant pumps, Flus monitors, diesel air starting system).	Most of the improvements in safety margin are not complete (e.g. emergency sump, cavity seal, decay heat pit modification, refurbishment of reactor coolant pumps, Flus monitors, diesel air starting system).	Most of the improvements in safety margin are complete (e.g. emergency sump, cavity seal, decay heat pit modification, refurbishment of reactor coolant pumps, Flus monitors, diesel air starting system).	All improvements in safety margin are complete (e.g. emergency sump, cavity seal, decay heat pit modification, refurbishment of reactor coolant pumps, Flus monitors, diesel air starting system).
Plant activities receive proper management attention and safety focus	Significant plant event occurs due to lack of management attention or safety focus.	Condition Adverse to Quality CR written due to lack of management attention or lack of safety focus.	Significant plant activities have management oversight scheduled for the duration of the activity.	Significant plant activities have a management plan with a management sponsor and management oversight scheduled for the duration of the activity.

*Site wide assessment only. Data provided by Outage Management and Work Control

APPENDIX A: ASSESSMENT OF SAFETY CULTURE CRITERIA
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MANAGERS' COMMITMENT AREA
CRITERIA RELATED TO ROLES AND TEAMWORK
Goals and roles are clear and teamwork is reinforced

ATTRIBUTE	RED	YELLOW	WHITE	GREEN
Understanding that safety is highest priority	Ad hoc surveys show that less than 70% of employees understand that safety is the highest priority.	Ad hoc surveys show that 70-80% of employees understands that safety is the highest priority.	Ad hoc surveys show that 80-90% of employees understands that safety is the highest priority.	Ad hoc surveys show that more than 90% of employees understand that safety is the highest priority.
Program ownership	The majority of programs do not have assigned owners and program owners are not implementing their assigned responsibilities.	Some programs do not have assigned owners and many program owners are not implementing their assigned responsibilities.	With one or two exceptions, all programs have assigned owners. With several exceptions, program owners are implementing their assigned responsibilities.	All programs have assigned owners. In general, program owners are implementing their assigned responsibilities.
Ownership of corrective actions	More than 5% of SCAQ remedial and preventive corrective actions and more than 10% of CAQ remedial and preventive corrective actions are overdue for the previous quarter.	Between 2-5% of SCAQ remedial or preventive corrective actions and 5-10% of CAQ remedial and preventive corrective actions are overdue for the previous quarter.	Less than 2% of SCAQ remedial or preventive corrective actions and between 2-5% of CAQ remedial and preventive corrective actions are overdue for the previous quarter.	There are no SCAQ remedial and preventive corrective actions overdue and less than 2% of CAQ remedial and preventive corrective actions are overdue for the previous quarter.
*Ownership of engineering products as measured by the Engineering Assessment Board (EAB)**	The quality of engineering products as measured by the EAB is greater than 3.0.	The quality of engineering products as measured by the EAB is between 3.0 and 2.1.	The quality of engineering products as measured by the EAB is between 2.0 and 1.1.	The quality of engineering products as measured by the EAB is 1.0 or less.

*Site wide assessment only. Data provided by Director-Nuclear Engineering

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APPENDIX A: ASSESSMENT OF SAFETY CULTURE CRITERIA
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MANAGERS' COMMITMENT AREA

CRITERIA RELATED TO ROLES AND TEAMWORK (continued)

Goals and roles are clear and teamwork is reinforced

*Effectiveness of supervision of individuals**	The individual error rate is >0.30 individual errors per 10,000 hours worked.	The individual error rate is <0.31 individual errors per 10,000 hours worked.	The individual error rate is<0.29 individual errors per 10,000 hours worked.	The individual error rate is<0.26 individual errors per 10,000 hours worked.	5
Intra-department teamwork and alignment	Ad hoc survey indicates there is no alignment and little teamwork among managers.	Ad hoc survey indicates there is minimal alignment and some teamwork among managers.	Ad hoc survey indicates alignment is improving and teamwork can be seen in some key activities.	Ad hoc survey indicates alignment and teamwork are obvious in all activities at the site.	
Expectations	There are statements of expectations for individual sections but employees routinely ignore them.	Although there are statements of expectations for some sections, they are weakly implemented.	There are statements of expectations for most sections, and they are being implemented.	There are statements of expectations for each section and managers are reinforcing and ensuring employees understand and implement them.	
*Trust, openness and focused commitment***	4Cs surveys show less than 50% of employees feel that work groups display high levels of trust, openness and commitment.	4Cs surveys show 50-70% of employees feel that work groups display high levels of trust, openness and commitment.	4Cs surveys show 70-90% of employees feel that work groups display high levels of trust, openness and commitment.	4Cs surveys show more than 90% of employees feel that work groups display high levels of trust, openness and commitment.	5

*Site wide assessment only. Data provided by Human Performance
** Site wide assessment only. Data provided by Chief Operating Officer

APPENDIX A: ASSESSMENT OF SAFETY CULTURE CRITERIA

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MANAGERS' COMMITMENT AREA

CRITERIA RELATED TO ROLES AND TEAMWORK (continued)

Goals and roles are clear and teamwork is reinforced

Clear goals and priorities	No clear goals and priorities have been established.	Goals and priorities exist but are not adequately understood and owned by employees.	Goals and priorities exist at most levels and some employees understand and own them.	Most employees are clear about goals and priorities as well as how their role contributes to achieving them.
Input and involvement	No employee input and involvement occurs in the development of department business plans, setting goals and establishing work priorities.	Only managers and supervisors are involved in the development of department business plans, setting goals and establishing work priorities.	Managers and supervisors occasionally request input/involvement in the development of department business plans, setting goals and establishing work priorities.	Employees are appropriately involved in developing the department business plans, setting goals and establishing work priorities.

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MANAGERS' COMMITMENT AREA

CRITERIA RELATED TO OWNERSHIP AND ACCOUNTABILITY
Ownership and accountability is evident

ATTRIBUTE	RED	YELLOW	WHITE	GREEN
Performance appraisals	Less than 70% of performance appraisals are completed on schedule.	Between 70-80% of performance appraisals are completed on schedule.	Between 80-90% of performance appraisals are completed on schedule.	More than 90% of performance appraisals are completed on schedule.
Development plans	Less than 70% of managers and supervisors have development plans.	Between 70-80% of managers and supervisors have development plans.	Between 80-90% of managers and supervisors have development plans.	More than 90% of managers and supervisors have development plans.
Restart Readiness Reviews	There is no restart readiness review process.	A restart readiness review process exists but implementation is poor as shown by lack of management participation.	A restart readiness review process exists and is implemented with the majority of management participation.	A restart readiness review process exists and is implemented efficiently and with strong management participation.
Worker understanding of their responsibility to raise safety concerns	Surveys indicate that less than 80% of workers understand their responsibility to raise nuclear safety or quality concerns.	Surveys indicate that between 80-90% of workers understand their responsibility to raise nuclear safety or quality concerns.	Surveys indicate that between 90-95% of workers understand their responsibility to raise nuclear safety or quality concerns.	Surveys indicate that more than 95% of workers understand their responsibility to raise nuclear safety or quality concerns.

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MANAGERS' COMMITMENT AREA

CRITERIA RELATED TO OWNERSHIP AND ACCOUNTABILITY
Ownership and accountability is evident

Willingness to raise safety concerns	Surveys show that less than 85% of personnel are willing to raise safety concerns through their supervisor, a CR or ECP.	Surveys show that between 85-90% of personnel are willing to raise safety concerns through their supervisor, a CR or ECP.	Surveys show that between 90-95% of personnel are willing to raise safety concerns through their supervisor, a CR or ECP.	Surveys show that more than 95% of personnel are willing to raise safety concerns through their supervisor, a CR or ECP.
*SRO reviews for Operability are performed in a timely manner**	Less than 80 % were completed within 24 hours.	Between 80-85% were completed within 24 hours.	Between 85-95% were completed within 24 hours.	More than 95% were completed within 24 hours.

*This item assessed by Operations only

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MANAGERS' COMMITMENT AREA

CRITERIA RELATED TO OWNERSHIP AND ACCOUNTABILITY (continued)
Ownership and accountability is evident

*System assessments**	None of the improvements in safety are complete (e.g. emergency sump, cavity seal, decay heat pit modification, refurbishment of reactor coolant pumps, Flus monitors, diesel air starting system).	Most of the improvements in safety are not complete (e.g. emergency sump, cavity seal, decay heat pit modification, refurbishment of reactor coolant pumps, Flus monitors, diesel air starting system).	Most of the improvements in safety are complete (e.g. emergency sump, cavity seal, decay heat pit modification, refurbishment of reactor coolant pumps, Flus monitors, diesel air starting system).	The improvements in safety are complete (e.g. emergency sump, cavity seal, decay heat pit modification, refurbishment of reactor coolant pumps, Flus monitors, diesel air starting system).
*NQA field assessments***	NQA field assessments show that managers and supervisors are generally ineffective.	NQA field assessments show that managers and supervisors are generally effective, with several noteworthy exceptions.	NQA field assessments show that managers and supervisors are generally effective, with a few exceptions.	NQA field assessments show that managers and supervisors are generally effective.
Management observations leading to coaching	Less than 50% of management has held a coaching session in the last month.	Between 50-74% of management has held a coaching session in the last month.	Between 75-89% of management has held a coaching session in the last month.	More than 90% of management has held a coaching session in the last month.
Timeliness of corrective actions	Less than 50% of my section's corrective actions designated as required for restart are complete.	Between 50% and 74% of my section's corrective actions designated as required for restart are complete.	Between 75% and 89% of my section's corrective actions designated as required for restart, are complete.	More than 90% of my section's corrective actions designated as required for restart, are complete.

*Site wide assessment only. Data provided by Outage Management and Work Control
** This item assessed by NQA only

APPENDIX A: ASSESSMENT OF SAFETY CULTURE CRITERIA
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MANAGERS' COMMITMENT AREA

CRITERIA RELATED TO TRAINING AND QUALIFICATION
Training and Qualification are valued

ATTRIBUTE	RED	YELLOW	WHITE	GREEN
*Supervisory evaluations**	Most supervisors and managers have not been evaluated to assess their competence for their current positions.	Between 50-74% of supervisors and managers have been evaluated to assess their competence for their current positions.	Between 75-89% of supervisors and managers have been evaluated to assess their competence for their current positions.	More than 90% of supervisors and managers have been evaluated to assess their competence for their current positions.
Restart training	Most required restart training is not complete.	Between 50-74% of required restart training is complete.	Between 75-99% of required restart training is complete.	100% of required restart training is complete.
*Initial Operator training***	Less than 70% of new operators passed their initial license examination for the most recent class.	Between 70-84% of new operators passed their initial license for the most recent class examination.	Between 85-95% of new operators passed their initial license examination for the most recent class.	More than 95% of new operators passed their initial license examination for the most recent class.
*Requalification training***	Less than 70% of licensed operators have passed their requalification training.	Between 70-84% of the licensed operators have passed their requalification training.	Between 85-95% of the licensed operators have passed their requalification training.	More than 95% of the licensed operators have passed their requalification training.
Root cause training	Less than 50% of root cause evaluation personnel have received training on TapRoot.	Between 50% and 74% of root cause evaluation personnel have received training on TapRoot.	Between 75% and 89% of root cause evaluation personnel have received training on TapRoot.	More than 90% of root cause evaluation personnel have received training on TapRoot.

* Site wide assessment only. Data provided by Human Resources

**This item assessed by Operations only

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MANAGERS' COMMITMENT AREA

CRITERIA RELATED TO TRAINING AND QUALIFICATION (continued)
Training and Qualification are valued

Operability determination training*	Less than 50% of applicable operators and engineers have received training on operability determinations.	Between 50-74% of applicable operators and engineers have received training on operability determinations.	Between 75-90% of applicable operators and engineers have received training on operability determinations.	More than 90% of applicable operators and engineers have received training on operability determinations.	5
Training on SCWE **	Less than 70% of managers, supervisors, and operators have received training on SCWE.	Between 70-79% of managers, supervisors, and operators have received training on SCWE.	Between 80-89% of managers, supervisors, and operators have received training on SCWE.	More than 90% of managers, supervisors, and operators have received training on SCWE.	
Training on decision making process**	Less than 70 % of applicable personnel have received training on the decision making process.	Between 70-80% of applicable personnel have received training on the decision making process.	Between 80-90% of applicable personnel have received training on the decision making process.	More than 90% of applicable personnel have received training on the decision making process.	
Training on standards and expectations	Less than 70% of applicable personnel have received training on standards and expectations.	Between 70-80% of applicable personnel have received training on standards and expectations.	Between 80-90% of applicable personnel have received training on standards and expectations.	More than 90% of applicable personnel have received training on standards and expectations.	
Continuing training identified by Curriculum Review Committee (CRC)**	Less than 70% of scheduled training identified by the CRC is completed in a timely manner.	Between 70-80% of scheduled training identified by the CRC is completed in a timely manner.	Between 80-90%of scheduled training identified by the CRC is completed in a timely manner.	More than 90% of scheduled training identified by the CRC is completed in a timely manner.	5

*This item assessed by Operations and Engineering only

**Site wide assessment only. Data provided by Nuclear Training

APPENDIX A: ASSESSMENT OF SAFETY CULTURE CRITERIA
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MANAGERS' COMMITMENT AREA
CRITERIA RELATED TO COMMITMENT TO CONTINUOUS IMPROVEMENT
Commitment to continuous improvement is evident

ATTRIBUTE	RED	YELLOW	WHITE	GREEN
*Improvements in management staffing**	Most requisitions for management positions have not been filled in the past month.	About 50% of open requisitions for management positions have been filled in the past month.	About 75% of open requisitions for management positions have been filled in the past month.	At least 85% of open requisitions for management positions have been filled in the past month.
*Restart Overview Panel (ROP)***	The ROP does not believe DB is ready to restart.	The ROP has expressed concerns over DB restart.	The ROP has expressed some minor concerns and believes DB can restart.	The ROP is satisfied with DB progress to restart.
Corrective Action Review Board (CARB)+	There are no directors on the CARB. The backlog of documents awaiting CARB review is more than four weeks.	The CARB has been enhanced with director-level personnel. The backlog of documents awaiting CARB review is less than four weeks.	The CARB has been enhanced with director-level personnel. The backlog of documents awaiting CARB review is less than two weeks.	The CARB has been enhanced with director-level personnel. The backlog of documents awaiting CARB review is less than one week.
Engineering Assessment Board (EAB)++	The backlog of documents awaiting EAB review is greater than four weeks.	The backlog of documents awaiting EAB review is less than four weeks.	The backlog of documents awaiting EAB review is less than two weeks.	The backlog of documents awaiting EAB review is less than one week.
Benchmarking against industry standards	Less than 60% of the programs have been benchmarked against industry standards.	Between 60-74% of the programs have been benchmarked against industry standards.	Between 75-89% of the programs have been benchmarked against industry standards.	More than 90% of the programs have been benchmarked against industry standards.

*Site wide assessment only. Data provided by Human Resources

**Site wide assessment only. Data provided by Chief Operating Officer or Executive Vice President

+Site wide assessment only. Data provided by Performance Improvement

++Site wide assessment only. Data provided by Director-Nuclear Engineering

APPENDIX A: ASSESSMENT OF SAFETY CULTURE CRITERIA

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MANAGERS' COMMITMENT AREA

CRITERIA RELATED TO COMMITMENT TO CONTINUOUS IMPROVEMENT (continued)

Commitment to continuous improvement is evident

*Operator crew benchmarking**	Less than 50% of the operators have visited other plants to benchmark Davis-Besse operations.	Between 50 - 74% of the operators have visited other plants to benchmark Davis-Besse operations.	Between 75 - 90% of the operators have visited other plants to benchmark Davis-Besse operations.	More than 90% of the operators have visited other plants to benchmark Davis-Besse operations.
*Management observations***	A management observation program has been established. Less than 70% of management observations are performed as scheduled, and observations are weak.	A management observation program has been established. More than 70% of management observations are performed as scheduled, and observations are weak.	A management observation program has been established. More than 80% of management observations are performed as scheduled and most are considered acceptable.	A management observation program has been established. More than 90% of management observations are performed as scheduled and contain quality information.
Temporary modifications+	There are more than 11 temporary modifications.	There are 11 or less temporary modifications.	There are 8 or less temporary modifications.	There are 5 or less temporary modifications.
*Number of Operator work-arounds**	There are more than 2 operator workarounds.	There are 2 operator workarounds.	There is 1 operator workarounds.	There are no operator workarounds.
*Number of Control Room deficiencies**	There are more than 4 Control Room deficiencies.	There are 4 Control Room deficiencies.	There are 1-3 Control Room deficiencies.	There are no Control Room deficiencies.

*This item assessed by Operations only

**Site wide assessment only. Data provided by Management Observation program

+Site wide assessment only. Data provided by Engineering

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MANAGERS' COMMITMENT AREA

CRITERIA RELATED TO COMMITMENT TO CONTINUOUS IMPROVEMENT(continued)
Commitment to continuous improvement is evident

Training on SCWE*	Less than 70% of managers, supervisors and operators have received training on SCWE.	Between 70-79% of managers, supervisors and operators have received training on SCWE.	Between 80-90% of managers, supervisors and operators have received training on SCWE.	More than 90% of managers, supervisors and operators have received training on SCWE.
Licensed operator pipeline**	Less than 70% of new operators passed their initial license examination for the most recent class.	Between 70-84% of new operators passed their initial license for the most recent class examination.	Between 85-95% of new operators passed their initial license examination for the most recent class.	More than 95% of new operators passed their initial license examination for the most recent class.

*Site wide assessment only. Data provided by Nuclear Training

**This item assessed by Operations only.

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MANAGERS' COMMITMENT AREA

CRITERIA RELATED TO COMMITMENT TO CONTINUOUS IMPROVEMENT(continued)

Commitment to continuous improvement is evident

SAFETY CONSCIOUS WORK ENVIRONMENT (SCWE)

CRITERIA RELATED TO SCWE REVIEW TEAM (SCWERT)

ATTRIBUTE	RED	YELLOW	WHITE	GREEN
Use of SCWERT*	More than 4 CRs issued within the past year related to failure to properly conduct SCWERT review of Davis-Besse work disciplinary actions prior to the action.	Between 4-2 CRs issued within the past year related to failure to properly conduct SCWERT review of Davis-Besse work disciplinary actions prior to the action.	Less than 2 CRs issued within the past year related to failure to properly conduct SCWERT review of Davis-Besse work disciplinary actions prior to the action.	No CRs issued within the past year related to failure to properly conduct SCWERT review of Davis-Besse work disciplinary actions prior to the action.
Effectiveness of SCWERT in avoiding discrimination claims*	There are more than 5 NRC allegations or ECP concerns of discrimination submitted within the past year.	There are 5 NRC allegations or ECP concerns of discrimination submitted within the past year.	There are 4 NRC allegations or ECP concerns of discrimination submitted within the past year.	There are 2 or fewer NRC allegations or ECP concerns of discrimination submitted within the past year.
Effectiveness in avoiding NRC or ECP substantiated discrimination claims*	There is more than one substantiated NRC or ECP discrimination claim within the past year.	There is one substantiated NRC or ECP discrimination claim within the past year.	There are no substantiated NRC or ECP discrimination claims within the past year.	There are no substantiated NRC or ECP discrimination claims within the past 2 years.

*Site wide assessment only. Data provided by Employee Concerns Program

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MANAGERS' COMMITMENT AREA

CRITERIA RELATED TO COMMITMENT TO CROSS-FUNCTIONAL WORK MANAGEMENT AND COMMUNICATION

Commitment to cross functional work management and communication is evident

ATTRIBUTE	RED	YELLOW	WHITE	GREEN
Cross-functional teamwork	No cross-functional teamwork is evident.	Some cross-functional teamwork exists but work is sub-optimized.	Cross-functional teamwork frequently occurs, enabling efficient and effective workflow.	Cross-functional teams are constantly forming/reforming around the best way to get work done.
Department interfaces	Many process breakdowns occur with extensive amounts of rework needed.	Some process breakdowns occur with frequent amounts of rework needed.	Minimal process breakdowns and rework occur with effective and efficient resolution of emergency issues.	Department interfaces are seamless; work flows efficiently between departments throughout the entire organization.
Performance to schedule*	Less than 70% of work is completed on time, as scheduled, causing major consequences to overall site performance.	Between 70-80% of work is completed on time, as scheduled, with major adjustments to resource capacity required to improve performance.	Between 80 -90% of work is completed on time, as scheduled, with minimal adjustments to resource capacity required to improve performance.	More than 90% of work is completed on time, as scheduled, within current resource capacity.
Interdepartmental communication	Information that impacts downstream implementation is not shared, causing significant negative consequences to other departments.	Information that impacts downstream implementation is inconsistently shared, which keeps departments in a reactive mode.	Information that impacts downstream implementation is frequently shared on a timely basis, enabling department to proactively plan and respond.	Information that impacts downstream implementation is communicated as soon as it's known, enabling all departments to work proactively on a consistent basis.

*Site wide assessment only. Data provided by Outage Management and Work Control

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MANAGERS' COMMITMENT AREA

CRITERIA RELATED TO COMMITMENT TO CROSS-FUNCTIONAL WORK MANAGEMENT AND COMMUNICATION (continued)

Commitment to cross functional work management and communication is evident

Interdepartmental problem solving and decision making	Problem solving and decision making occurs in isolation; non-involvement of other department stakeholders.	Cross-functional stakeholders are seldom involved when problems are being solved and decisions are made.	Cross-functional stakeholders are frequently involved when problems are being solved and decisions are made.	Cross-functional stakeholders are consistently involved when problems are being solved and decisions are made.
Systemic learning	Things are broken down, focus is on the pieces and discrete problems are fixed with no understanding of interdependencies.	Discrete problems are fixed with minimal understanding of interdependencies	Attention is focused on learning and discovering fundamental solutions to resolving long-standing and/or complex problems.	Streamlining and improving systems and process is constant to resolve long-standing and/or complex problems.
Incorporating industry Operating Experience*	Industry operating experience is not actively evaluated and used to enhance site performance.	There is less than full implementation and minimal compliance to our Operating Experience Program.	There is full compliance with the Operating Experience Program.	Operating Experience is consistently and fully utilized in every department and is well integrated into everyday activities to enhance plant performance.

*Site wide assessment only. Data provided by Operating Experience Program

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MANAGERS' COMMITMENT AREA

CRITERIA RELATED TO COMMITMENT TO CREATING AN ENVIRONMENT OF ENGAGEMENT AND COMMITMENT

An environment of engagement and commitment is evident

ATTRIBUTE	RED	YELLOW	WHITE	GREEN
FENOC values, basic principles and leadership strategies	FENOC values, basic principles and leadership strategies are not used by management personnel.	FENOC values, basic principles and leadership strategies are inconsistently demonstrated by some management personnel.	FENOC values, basic principles and leadership strategies are frequently demonstrated by some management personnel.	Most management personnel have internalized and are living the FENOC values, basic principles and leadership strategies as demonstrated in their day to day actions.
*Quality of management and employee relationships**	Employee Concerns Program, Quality Assessment and 4Cs survey data indicates that employees openly express fear of retaliation and will not raise safety concerns with management.	Employee Concerns Program, Quality Assessment and 4Cs survey data indicates that more than 70% of employees will bring safety concerns to management.	Employees Concerns Program, Quality Assessment and 4Cs survey data indicates that more than 80% of employees will bring concerns to management.	Employee Concerns Program, Quality Assessment and 4Cs survey data indicate more than 90% of employees raise issues directly with management, work collaboratively to resolves issues and reflect favorable improvement.
Organizational commitment and shared success criteria	Management focuses on what is in the best interest of their department at the expense of what is in the best interest of the whole organization.	Management occasionally supports what is in the best interest of their department without consideration to what is in the best interest of the whole organization.	Management frequently supports doing what is in the best interest of the whole organization rather than what is in the best interest of their department.	Management consistently supports doing what is in the best interest for the whole organization rather than what is in the best interest for their department.

*Site wide assessment only. Data provided by ECP, NQA and 4Cs

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MANAGERS' COMMITMENT AREA

CRITERIA RELATED TO COMMITMENT TO CREATING AN ENVIRONMENT OF ENGAGEMENT AND COMMITMENT (continued)

An environment of engagement and commitment is evident

Ownership for Excellence Performance Appraisals	Less than 70% of performance appraisals are completed on schedule.	Between 70-80% of performance appraisals are completed on schedule.	Between 80-90% of performance appraisals are completed on schedule.	More than 90% of performance appraisals are completed on schedule.
Ownership for Excellence Development Plans	Less than 70% of managers and supervisors have development plans.	Between 70-80% of managers and supervisors have development plans.	Between 80-90% of managers and supervisors have development plans.	More than 90% of managers and supervisors have development plans.

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INDIVIDUALS' COMMITMENT AREA

CRITERIA RELATED TO DRIVE FOR EXCELLENCE

Nuclear assets of people and plant are continuously improved to enhance margins of safety

ATTRIBUTE	RED	YELLOW	WHITE	GREEN
*Maintenance Rule (a)(1) Systems**	There are more than 3 Red (a)(1) systems.	There are 2 Red (a)(1) systems.	There is one Red (a)(1) system.	There are zero Red (a)(1) systems.
*Number of Operator workarounds***	There are more than 2 operator workarounds.	There are 2 operator workarounds.	There is 1 operator workarounds.	There are no operator workarounds.
*Number of Control Room deficiencies***	There are more than 4 Control Room deficiencies.	There are 4 Control Room deficiencies.	There are 1-3 Control Room deficiencies.	There are no Control Room deficiencies.
Number of temporary modifications+	There are more than 11 temporary modifications.	There are 11 or less temporary modifications.	There are 8 or less temporary modifications.	There are 5 or less temporary modifications.
Individual Error Rate++	The individual error rate is > 0.30 individual errors per 10,000 hours worked.	The individual error rate is <0.31individual errors per 10,000 hours worked.	The individual error rate is <0.29 individual errors per 10,000 hours worked.	The individual error rate is <0.26 individual errors per 10,000 hours worked.

*Site wide assessment only. Data provided by Plant Engineering
**This item assessed by Operations only
+Site wide assessment only. Data provided by Engineering
++Site wide assessment only. Data provided by Human Performance

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INDIVIDUALS' COMMITMENT AREA
CRITERIA RELATED TO DRIVE FOR EXCELLENCE (continued)
Nuclear assets of people and plant are continuously improved to enhance margins of safety

*Percent of self-identified Condition Reports (CRs)**	Less than 80% of the CRs originated are self-identified.	80% or more of the CRs originated are self-identified.	90% or more of the CRs originated are self-identified.	95% or more of the CRs originated are self-identified.	5
*Number of open Condition Report evaluations**	Less than 80% of SCAQ evaluations and less than 70% of CAQ evaluations were completed on schedule for the previous quarter.	At least 80-90% of SCAQ evaluations and 70-80% of CAQ evaluations were completed on schedule for the previous quarter.	At least 90% of SCAQ evaluations and 80-90% of CAQ evaluations were completed on schedule for the previous quarter.	All SCAQ evaluations and 90% of CAQ evaluations were completed on schedule for the previous quarter.	
*Engineering Assessment Board (EAB) index***	The quality of engineering products as measured by the EAB is greater than 3.0.	The quality of engineering products as measured by the EAB is 3.0 or less.	The quality of engineering products as measured by the EAB is 2.0 or less.	The quality of engineering products as measured by the EAB is 1.0 or less.	
Performance during major plant evolutions+	More than one significant event has occurred during a plant evolution in the past month	One significant event has occurred during a plant evolution in the past month	Major plant evolutions have been performed in the past month with some less than significant challenges or transients.	Major plant evolutions have been performed in the past month as planned.	

Operational transient is defined by INPO as a plant transient that occurs (reactor critical or while shutdown) and results in significant changes in primary or secondary plant parameters or results in significant changes in mechanical or electrical lineups.
Significant is defined by INPO as an event which caused or had the potential to cause an appreciable reduction in plant safety or reliability, excessive radiation exposure, the discharge of radioactivity offsite or serious harm to individuals. The significance of a particular event (including the discovery of a serious deficiency, lies in the actual or potential consequences of the event or in the likelihood that it is a precursor to a more serious event.

*Site wide assessment only. Data provided by Performance Improvement
+Site wide assessment only. Data provided by Director-Nuclear Engineering
+Site wide assessment only. Data provided by Operations

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INDIVIDUALS' COMMITMENT AREA

CRITERIA RELATED TO QUESTONING ATTITUDE
Challenges are welcomed

ATTRIBUTE	RED	YELLOW	WHITE	GREEN
*Quality of pre-job briefs**	Management observations and QA field observations show that most pre-job briefs are not acceptable.	Management observations and QA field observations show that most pre-job briefs are acceptable.	Management observations and QA field observations show that, with some exceptions, pre-job briefs are acceptable.	Management observations and QA field observations show that pre-job briefs in general are acceptable.
*Percent of CRs per person per group***	Less than 13% of individuals wrote CRs during the past 30 days.	Between 13-15% of individuals wrote CRs during the past 30 days.	Between 15-17% of individuals wrote CRs during the past 30 days.	More than 17% of individuals wrote CRs during the past month.
*Number of programmatic CRs***	The number of programmatic CRs indicates that individuals in general are reluctant to write CRs on programmatic and management issues.	The number of programmatic CRs indicates that most individuals are willing to write CRs on programmatic and management issues.	The number of programmatic CRs indicates that a large majority of individuals are willing to write CRs on programmatic and management issues.	The number of programmatic CRs indicates that individuals in general are willing to write CRs on programmatic and management issues.
Program and process error rate+	>0.48 program and process errors per 10,000 hours worked.	<0.48 program and process errors per 10,000 hours worked.	<0.30 program and process errors per 10,000 hours worked.	<0.27 program and process errors per 10,000 hours worked.
*Raising problems**	Management observations and NQA field observations show that most individuals are not raising problems encountered in the field.	Management observations and NQA field observations show that most individuals are raising problems encountered in the field.	Management observations and NQA field observations show that a large majority of individuals are raising problems encountered in the field.	Management observations and NQA field observations show that individuals in general are raising problems encountered in the field.

*Site wide assessment only. Data provided by Management Observation Program and NQA.
**Site wide assessment only. Data provided by Performance Improvement
+Site wide assessment only. Data provided by Human Performance

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APPENDIX A: ASSESSMENT OF SAFETY CULTURE CRITERIA
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INDIVIDUALS' COMMITMENT AREA

CRITERIA RELATED TO RIGOROUS WORK CONTROL AND PRUDENT APPROACH

Performing activities in a quality manner is the standard

ATTRIBUTE	RED	YELLOW	WHITE	GREEN
*Event Free Clock**	The event free clock is less than 20 days on average.	The event free clock is between 20 and 30 days on average.	The event free clock is 30 to 39 days on average.	The event free clock is greater than 40 days on average.
*Industrial safety performance***	There are more than 10 OSHA recordables per year.	There are between 10 and 8 OSHA recordables per year.	There are 7 OSHA recordables per year.	There are no more than 3 OSHA recordables per year.
*Individual error rate**	The individual error rate is >0.30 individual errors per 10,000 hours worked.	The individual error rate is <0.31 individual errors per 10,000 hours worked.	The individual error rate is <0.29 individual errors per 10,000 hours worked.	The individual error rate is <0.26 individual errors per 10,000 hours worked.
*Program and process error rate**	>0.48 program and process errors per 10,000 hours worked.	<0.48 program and process errors per 10,000 hours worked.	<.30 program and process errors per 10,000 hours worked.	<0.27 program and process errors per 10,000 hours worked.
*Significant human performance errors resulting in plant transients (see page 43 for definition of transient)**	There are more than 3 significant human performance errors per year resulting in plant transients.	There are fewer than 3 significant human performance errors per year resulting in plant transients.	There are fewer than 2 significant human performance errors per year resulting in plant transients.	There were no significant human performance errors per year resulting in plant transients.
Backlog of procedure change requests (PCRs)+	There are more than 200 open PCRs.	There are less than 200 open PCRs.	There are less than 150 open PCRs.	There are less than100 open PCRs.

*Site wide assessment only. Data provided by Human Performance
**Site wide assessment only. Data provided by Industrial Safety

+Site wide assessment only. Data provided by Performance Improvement

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INDIVIDUALS' COMMITMENT AREA

CRITERIA RELATED TO RIGOROUS WORK CONTROL AND PRUDENT APPROACH (continued)
Performing activities in a quality manner is the standard

Deficiency rate for QC holds*	Deficiency rate for QC hold points is more than 25%.	The deficiency rate for QC hold points is less than 25%.	The deficiency rate for QC holds point is less than 15 %.	The deficiency rate for QC hold points is less than 7 %.
Rework rate**	Rework rate is more than 3%.	The rework rate is 2.5-3.0%.	The rework rate is 2.1-2.5%.	The rework rate is ≤2.0%.
Ratio of completed to scheduled works orders per week+	Less than 50% of scheduled work orders are completed.	More than 50% of scheduled work orders are completed.	More than 75% of scheduled work orders are completed.	More than 90% of scheduled work orders are completed.
Number of late preventive maintenance (PM) activities+	Less than 50% of scheduled work orders are completed.	More than 50% of scheduled PMs are completed.	More than 75% of scheduled PM are completed.	More than 90% of scheduled PMs are completed.
Backlog of corrective maintenance (CM) activities+	There are more than 230 CM activities outstanding.	There are between 229 and 150 CM activities outstanding.	There are between 149 and 134 CM activities outstanding.	There are less than 134 CM activities outstanding.
Number of Maintenance Rule (a)(1) systems++	There are more than 3 Red (a)(1) systems.	There are 2 Red (a)(1) systems.	There is one Red are one or two (a)(1) systems.	There are zero Red (a)(1) systems.
Performance during major plant evolutions.(see page 43 for definitions)@	More than one significant event has occurred during a plant evolution in the past month. There are more than three transients during major plant evolutions prior to restart.	One significant event has occurred during a plant evolution in the past month. There are three or fewer transients during major plant evolutions prior to restart.	Major plant evolutions have been performed with some transients or one significant event during major plant evolutions prior to restart.	Major plant evolutions have been performed as planned. There are no transients or significant events during major plant evolutions prior to restart.

*This item assessed by QC only.

**This item assessed by Maintenance only

+Site wide assessment only. Data provided by Outage Management and Work Control

++Site wide assessment only. Data provided by Plant Engineering

@ Site wide assessment only. Data provided by Operation

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INDIVIDUALS' COMMITMENT AREA

CRITERIA RELATED TO RIGOROUS WORK CONTROL AND PRUDENT APPROACH (continued)

Performing activities in a quality manner is the standard

Use of procedures and work orders*	Management observations and NQA field observations show that most individuals are not using procedures or work orders.	Management observations and NQA field observations show that most individuals are using procedures or work orders.	Management observations and NQA field observations show that a large majority of individuals are using procedures or work orders.	Management observations and NQA field observations show that individuals in general are using procedures or work orders.	5

*Site wide assessment only. Data provided by Management Observation Program and NQA

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INDIVIDUALS' COMMITMENT AREA
CRITERIA RELATED TO OPEN COMMUNICATIONS
Associates are comfortable in voicing opinions, issues and concerns

ATTRIBUTE	RED	YELLOW	WHITE	GREEN
*Number of CRs per person per group**	Less than 13% of individuals wrote CRs during the past 30 days.	Between 13-15% of individuals wrote CRs during the past 30 days.	. Between 15-17% of individuals wrote CRs during the past 30 days.	More than 17% of individuals wrote CRs during the past 30 days.
*Ratio of concerns submitted to Employee Concerns Program (ECP) vs. NRC allegations***	There are more NRC allegations than ECP concerns.	There are more ECP concerns than NRC allegations.	There are at least 4 times more ECP concerns than NRC allegations.	There are at least 8 times more ECP concerns than NRC allegations.
Worker confidence in raising safety concerns	Surveys indicate that less than 80% of workers believe they can raise nuclear safety or quality concerns without fear of retaliation.	Surveys indicate that between 80-90% of workers believe they can raise nuclear safety or quality concerns without fear of retaliation.	Surveys indicate that between 90-95% of workers believe they can raise nuclear safety or quality concerns without fear of retaliation.	Surveys indicate that more than 95% of workers believe they can raise nuclear safety or quality concerns without fear of retaliation.
Feedback from 4Cs meetings+	Feedback from the 4Cs meetings indicates that most individuals are not willing to raise concerns to management.	Feedback from the 4Cs meetings indicates that more than 70% of individuals are willing to raise concerns to management.	Feedback from the 4Cs meetings indicates that more than 80% of individuals are willing to raise concerns to management.	Feedback from the 4Cs meetings indicates that more than 90% of individuals are willing to raise concerns to management.
Keep Improving Performance (KIP) program++	Each month's total Safe behavior is 59% or less.	Each month's total Safe behavior is 60% to 69%.	Each month's total Safe behavior is 70% to 79%.	Each months total Safe behavior is 80% or higher.
Pre-job briefings@	Management observations and QA field observations show that most pre-job briefs are not acceptable.	Management observations and QA field observations show that most pre-job briefs are acceptable.	Management observations and QA field observations show that, with some exceptions, pre-job briefs are acceptable.	Management observations and QA field observations show that pre-job briefs in general are acceptable.

*Site wide assessment only. Data provided by Performance Improvement
**Site wide assessment only. Data provided by Employee Concerns Program
+Site wide assessment only. Data provided by Chief Operating Officer
++Site wide assessment only. Data provided by Industrial Safety
@Site wide assessment only. Data provided by Management Observation Program and NQA

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APPENDIX A: ASSESSMENT OF SAFETY CULTURE CRITERIA
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INDIVIDUALS' COMMITMENT AREA

CRITERIA RELATED TO OPEN COMMUNICATIONS (continued)
Associates are comfortable in voicing opinions, issues and concerns

Intra-department information sharing	No formal communication structures exist for sharing information within departments.	Infrequent information sharing exists within departments.	Formal communication structures exist and are occasionally used to share information within departments.	Formal communication structures exist and are consistently used to share information within departments.
Quality of communication*	4Cs surveys indicate less than 40% believe communication is good.	4Cs surveys indicate 40-70% believe communication is good.	4Cs surveys indicate 70-90% believe communication is good.	4Cs surveys indicate more than 90% believe communication is good.

*Site wide assessment only. Data provided by Chief Operating Officer

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INDIVIDUALS' COMMITMENT AREA
CRITERIA RELATED TO OPEN COMMUNICATIONS

SAFETY CONSCIOUS WORK ENVIRONMENT (SCWE)
CRITERIA RELATED TO RAISING CONCERNS WITHOUT FEAR OF RETALIATION

ATTRIBUTE	RED	YELLOW	WHITE	GREEN
Employee awareness of SCWE policy	Surveys/interviews indicate that less than 80% of employees are aware of policy.	Surveys/interviews indicate that 80-90% of employees are aware of policy and consider it a FE value.	Surveys/interviews indicate that 90-95% of employees are aware of policy and consider it an FE value.	Surveys/interviews indicate that more than 95% of employees are aware of policy and consider it an FE value and the normal way to do business.
Training on SCWE *	Less than 70% of managers, supervisors, and operators have received training on SCWE.	Between 70-79% of managers, supervisors, and operators have received training on SCWE.	Between 80-89% of managers, supervisors, and operators have received training on SCWE.	More than 90% of managers, supervisors, and operators have received training on SCWE.
*Ratio of concerns submitted to ECP vs. NRC allegations** *	There are less than 2 times more NRC allegations than ECP concerns.	There are at least 2 times more ECP concerns than NRC allegations.	There are at least 4 times more ECP concerns than NRC allegations.	There are at least 8 times more ECP concerns than NRC allegations.
NQA interviews+	NQA interviews indicate that less than 85% of individuals are willing to raise concerns to their supervisors or ECP.	NQA interviews indicate that between 85-90% of individuals are willing to raise concerns to their supervisors or ECP.	NQA interviews indicate that between 90-95% of individuals are willing to raise concerns to their supervisors or ECP.	NQA interviews indicate that more than 95% of individuals are willing to raise concerns to their supervisors or ECP.
Worker confidence in raising safety concerns	Surveys indicate that less than 80% of workers believe they can raise nuclear safety or quality concerns without fear of retaliation.	Surveys indicate that between 80-90% of workers believe they can raise nuclear safety or quality concerns without fear of retaliation.	Surveys indicate that between 90-95% of workers believe they can raise nuclear safety or quality concerns without fear of retaliation.	Surveys indicate that more than 95% of workers believe they can raise nuclear safety or quality concerns without fear of retaliation.

*Site wide assessment only. Data provided by Nuclear Training
**Site wide assessment only. Data provided by Employee Concerns Program
+Site wide assessment only. Data provided by NQA

APPENDIX A: ASSESSMENT OF SAFETY CULTURE CRITERIA

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INDIVIDUALS' COMMITMENT AREA

CRITERIA RELATED TO OPEN COMMUNICATIONS

SAFETY CONSCIOUS WORK ENVIRONMENT (SCWE)

CRITERIA RELATED TO EMPLOYEE CONCERNS PROGRAM (ECP)

ATTRIBUTE	RED	YELLOW	WHITE	GREEN
*Ratio of concerns submitted to ECP vs. NRC allegations**	There are more NRC allegations than ECP concerns.	There are more ECP concerns than NRC allegations.	There are at least 4 times more ECP concerns than NRC allegations.	There are at least 8 times more ECP concerns than NRC allegations.
*Satisfaction of employees using the ECP**	Less than 70% of employees that use the ECP report being satisfied with the process.	Between 70-80 % of employees that use the ECP report being satisfied with the process.	Between 80-90% of employees that use the ECP report being satisfied with the process.	More than 90% of employees that use the ECP report being satisfied with the process.
*Complaints of breach of confidentiality of ECP**	There are more than 2 complaints per year.	There are 2 complaints per year.	There is 1 complaint per year.	There are zero complaints per year.
*Management support for ECP**	Employee surveys indicate less than 70% of individuals believe management supports ECP.	Employee surveys indicate between 70-80% of individuals believe management supports ECP.	Employee surveys indicate between 80-90% of individuals believe management supports ECP.	Employee surveys indicate more than 90% of individuals believe management supports ECP.

*Site wide assessment only. Data provided by Employee Concerns Program

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INDIVIDUALS' COMMITMENT AREA
CRITERIA RELATED TO NUCLEAR PROFESSIONALISM
Persistence and urgency in identification and resolution of problems is prevalent

ATTRIBUTE	RED	YELLOW	WHITE	GREEN
Ownership for Excellence	Less than 70% of applicable employees have completed the Ownership for Excellence development plans.	Between 70-80 % of applicable employees have completed the Ownership for Excellence development plans.	Between 80-90% of applicable employees have completed the Ownership for Excellence development plans.	More than 90% of applicable employees have completed the Ownership for Excellence development plans.
Training attendance*	Training attendance is less than 85%.	Training attendance is between 85-90%.	Training attendance is between 91-98%.	Training attendance is greater than 98%.
Rework rate+	The rework rate is more than 3%.	The rework rate is 2.5-3.0%.	The rework rate is 2.1-2.5%.	The rework rate is ≤2.0%.
Results of EAB assessments++	The quality of engineering products as measured by the EAB is greater than 3.0.	The quality of engineering products as measured by the EAB is 3.0 or less.	The quality of engineering products as measured by the EAB is 2.0 or less.	The quality of engineering products as measured by the EAB is 1.0 or less.
Red and Yellow windows in training**	There are more than 19 yellow or red windows in training. (Less than 70%).	There are 13-19 yellow or red windows in training. (70-80%).	There are 6-13 yellow or red windows in training. (80-90%).	There are less than 6 yellow or red windows in training. (90% or better).
Radiation Protection events @	There are more than 3 radiation protection events per quarter.	There are 1-3 radiation protection events per quarter.	There is 1 radiation protection event per quarter.	There are no radiation protection events per quarter.
Chemistry Performance Index***	The index is greater than 1.036.	The index is equal to or less than 1.036.	The index is equal to or less than 1.004.	The index is equal to or less than 1.000.

*Site wide assessment only. Data provided by Nuclear Training
+This item assessed by Maintenance only
++This item assessed by Engineering only. Data provided by Director-Nuclear Engineering
**This item assessed by Nuclear Training only
@Site wide assessment only. Data provided by Radiation Protection
***Site wide assessment only. Data provided by Chemistry

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INDIVIDUALS' COMMITMENT AREA

CRITERIA RELATED TO NUCLEAR PROFESSIONALISM (continued)

Persistence and urgency in identification and resolution of problems is prevalent

*Procedure compliance**	Management observations and NQA field observations show that most individuals are not complying with procedures.	Management observations and NQA field observations show that most individuals are complying with procedures.	Management observations and NQA field observations show that a large majority of individuals are complying with procedures.	Management observations and NQA field observations show that individuals in general are complying with procedures.
Personal initiative	Few employees routinely express why work can't be done or improved.	Employees work hard to do what's expected.	Employees do what it takes to get the job done.	Employees at all levels take personal initiative to invent methods to achieve higher quality and greater efficiency.
Ownership	Employees don't follow through on assigned commitments and seldom volunteer for ownership.	Employees are inconsistent in following through to meet quality and timing of assigned commitments.	Employees follow through and do what is asked of them and do what is defined within their job description.	Most employees regularly volunteer to own/lead project, develop plans, coordinate efforts and see work through to completion.

*Site wide assessment only. Data provided by Management Observation Program

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INDIVIDUALS' COMMITMENT AREA

CRITERIA RELATED TO NUCLEAR PROFESSIONALISM (continued)

Persistence in identification and resolution of problems is prevalent

CRITERIA RELATED TO THE CORRECTIVE ACTION PROGRAM

ATTRIBUTE	RED	YELLOW	WHITE	GREEN
Implementation of CAP improvements*	Implementation of the CAP improvements designated for restart has not started.	Implementation of the CAP improvements designated for restart is started but none are completed.	Implementation of the CAP improvements for restart is completed but the associated training is not completed.	The CAP improvements designated for restart are completed and associated training is completed.
Root cause evaluation quality*	The root cause evaluation approval rate as determined by the CARB is less than 50%.	The root cause evaluation approval rate as determined by the CARB is between 50-74%.	The root cause evaluation approval rate as determined by the CARB is between 75-90%.	The root cause evaluation approval rate as determined by the CARB is 90% or greater.
CR category accuracy*	The CR category accuracy rate is less than 70% or greater.	The CR category accuracy rate is between 70-80%.	The CR category accuracy rate is between 80-90%.	The CR category accuracy rate is 90% or greater.
CR self-identification rate*	Less than 80% of the CRs originated are self-identified.	80% or more of the CRs originated are self-identified.	90% or more of the CRs originated are self-identified.	95% or more of the CRs originated are self-identified.
Employee survey+	Employee surveys indicate that more than 10 % of individuals are not willing to use the CAP.	Employee surveys indicate that between 10-5% of individuals are not willing to use the CAP.	Employee surveys indicate that between 5-2% of individuals are not willing to use the CAP.	Employee surveys indicate that less than 2% of individuals are not willing to use the CAP.

*Site wide assessment only. Data provided by Performance Improvement
+Site wide assessment only. Data provided by Employee Concerns Program

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APPENDIX A: ASSESSMENT OF SAFETY CULTURE CRITERIA

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INDIVIDUALS' COMMITMENT AREA

CRITERIA RELATED TO NUCLEAR PROFESSIONALISM (continued)

Persistence in identification and resolution of problems is prevalent

CRITERIA RELATED TO THE CORRECTIVE ACTION PROGRAM

NQA interviews*	NQA interviews indicate that more than 10% of individuals are not willing to use the CAP.	NQA interviews indicate that between 10-5% of individuals are not willing to use the CAP.	NQA interviews indicate that between -5-2% of individuals are not willing to use the CAP.	NQA interviews indicate that less than 2 % of individuals are not willing to use the CAP.	5
Timeliness of corrective actions	Less than 50% of corrective actions are completed on schedule without extensions.	Between 50-74% of corrective actions are completed on schedule without extensions.	Between 75-89%of corrective actions are completed on schedule without extensions.	More than 90% of corrective actions are completed on schedule without extensions.	

*Site wide assessment only. Data provided by NQA   5