



U.S. NUCLEAR REGULATORY COMMISSION
STANDARD REVIEW PLAN

3.9.1 SPECIAL TOPICS FOR MECHANICAL COMPONENTS

REVIEW RESPONSIBILITIES

Primary - Organization responsible for mechanical engineering reviews

Secondary - None

I. AREAS OF REVIEW

This Standard Review Plan (SRP) section addresses information in the safety analysis report (SAR) on methods of analysis for seismic Category I components and supports, including both those designated as American Society of Mechanical Engineers (ASME) Boiler and Pressure Vessel Code, Section III (hereafter "the Code") Class 1, 2, 3, or core support and those not covered by the Code. Certain aspects of dynamic system analysis methods are addressed in SRP Section 3.9.2 as well as this SRP section. Also reviewed is information on design transients for Code Class 1 and core support components and supports.

The specific areas of review are as follow:

1. Transients used in the design and fatigue analyses of all Code Class 1 and core support components, supports, and reactor internals.

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USNRC STANDARD REVIEW PLAN

This Standard Review Plan, NUREG-0800, has been prepared to establish criteria that the U.S. Nuclear Regulatory Commission staff responsible for the review of applications to construct and operate nuclear power plants intends to use in evaluating whether an applicant/licensee meets the NRC's regulations. The Standard Review Plan is not a substitute for the NRC's regulations, and compliance with it is not required. However, an applicant is required to identify differences between the design features, analytical techniques, and procedural measures proposed for its facility and the SRP acceptance criteria and evaluate how the proposed alternatives to the SRP acceptance criteria provide an acceptable method of complying with the NRC regulations.

The standard review plan sections are numbered in accordance with corresponding sections in the Regulatory Guide 1.70, "Standard Format and Content of Safety Analysis Reports for Nuclear Power Plants (LWR Edition)." Not all sections of the standard format have a corresponding review plan section. The SRP sections applicable to a combined license application for a new light-water reactor (LWR) will be based on Regulatory Guide 1.206, "Combined License Applications for Nuclear Power Plants (LWR Edition)," until the SRP itself is updated.

These documents are made available to the public as part of the NRC's policy to inform the nuclear industry and the general public of regulatory procedures and policies. Individual sections of NUREG-0800 will be revised periodically, as appropriate, to accommodate comments and to reflect new information and experience. Comments may be submitted electronically by email to NRR_SRP@nrc.gov.

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2. Description and verification of all computer programs to be used in analyses of seismic Category I Code and non-Code items listed in this SRP section.
3. Description of any experimental stress analysis programs to be used in lieu of theoretical stress analyses.
4. Description of the analysis methods to be used if the applicant elects to use elastic-plastic stress analysis methods in the design of any components.
5. The environmental conditions to which all safety-related components will be exposed over the life of the plant.
6. Inspections, Tests, Analyses, and Acceptance Criteria (ITAAC). For design certification (DC) and combined license (COL) reviews, the applicant's proposed information on the ITAAC associated with the systems, structures, and components (SSCs) related to this SRP section is reviewed in accordance with SRP Section 14.3, "Inspections, Tests, Analyses, and Acceptance Criteria - Design Certification." The review of ITAAC is performed after review of the rest of this portion of the application against acceptance criteria contained in this SRP section. Furthermore, the ITAAC are reviewed to assure that all SSCs in this area of review are identified and addressed as appropriate in accordance with SRP Section 14.3.
7. COL Action Items and Certification Requirements and Restrictions. COL action items may be identified in the NRC staff's final safety evaluation report (FSER) for each certified design to identify information that COL applicants must address in the application. Additionally, DCs contain requirements and restrictions (e.g., interface requirements) that COL applicants must address in the application. For COL applications referencing a DC, the review performed under this SRP section includes information provided in response to COL action items and certification requirements and restrictions pertaining to this SRP section, as identified in the FSER for the referenced certified design.

Review Interfaces

The listed SRP sections interface with this section as follows:

1. SRP 15.0. The staff reviews the acceptability of the listed transients and the number of cycles and events expected over the service lifetime of the plant.
2. Section 3.13. The staff reviews programs for ensuring bolting and threaded fastener adequacy and integrity are reviewed.
3. Section 3.7.3. The staff reviews seismic cyclic ground input loading. The method for determining the seismic cyclic loading used for fatigue analysis of appropriate components.
4. Section 6.1.1. The staff reviews the consideration given to minimize degradation of materials due to corrosion based upon the environmental conditions to which equipment will be exposed.

5. For COL reviews of operational programs, the review of the applicant's implementation plan is performed under SRP Section 13.4, "Operational Review."

The specific acceptance criteria and review procedures are contained in the referenced SRP sections.

II. ACCEPTANCE CRITERIA

Requirements

Acceptance criteria are based on meeting the relevant requirements of the following Commission regulations:

1. General Design Criterion (GDC) 1, which requires, in part, that components important to safety be designed, fabricated, erected, and, tested to quality standards commensurate with the importance of the safety functions to be performed.
2. GDC 2, which requires, in part, that components important to safety be designed to withstand seismic events without loss of capability to perform their safety functions.
3. GDC 14, which requires that the reactor coolant pressure boundary be designed, fabricated, erected and tested so as to have an extremely low probability of abnormal leakage, of rapidly propagating failure, and of gross rupture.
4. GDC 15, which requires that the reactor coolant system and associated auxiliary, control and protection systems be designed with sufficient margin to assure that the design conditions of the reactor coolant pressure boundary are not exceeded during any condition of normal operation, including anticipated operational occurrences.
5. 10 CFR Part 50, Appendix B Section III, as it relates to design quality control.
6. 10 CFR 52.47(a)(1)(vi), as it relates to ITAAC (for design certification) sufficient to assure that the SSCs in this area of review are built and will operate in accordance with the certification.
7. 10 CFR 52.80(a), as it relates to ITAAC (for combined licenses) sufficient to assure that the SSCs in this area of review have been constructed and will be operated in conformity with the license and the Commission's regulations.
8. 10 CFR Part 50, Appendix S, as it relates to the suitability of the plant design bases for mechanical components established in consideration of site seismic characteristics.

SRP Acceptance Criteria

Specific SRP acceptance criteria acceptable to meet the relevant requirements of the NRC's regulations identified above are as follows for review described in Subsection I of this SRP section. The SRP is not a substitute for the NRC's regulations, and compliance with it is not required. However, an applicant is required to identify differences between the design features,

analytical techniques, and procedural measures proposed for its facility and the SRP acceptance criteria and evaluate how the proposed alternatives to the SRP acceptance criteria provide acceptable methods of compliance with the NRC regulations.

1. To meet the requirements of GDCs 1, 2, 14, 15, and 10 CFR Part 50, Appendix S, the applicant should provide a complete list of transients to be used in the design and fatigue analysis of all Code Class 1 and core support components, supports, and reactor internals within the reactor coolant pressure boundary. The number of events for each transient and the number of load and stress cycles per event and for events in combination should be included. All transients, such as startup and shutdown operations, power level changes, emergency and recovery conditions (including, for new applications, natural convection cooldown), switching operations (i.e., startup or shutdown of one or more coolant loops), control system or other system malfunctions, component malfunctions, transients from single operator errors, inservice hydrostatic tests, seismic events as determined from the criteria specified in Appendix S to 10 CFR Part 50, and design-basis events contained in the Code-required "Design Specifications" for the components of the reactor coolant pressure boundary, should be specified.

The section of the applicant's SAR on transients will be acceptable if the transient conditions selected for equipment fatigue evaluation are based upon a conservative estimate of the magnitude and frequency of the temperature and pressure conditions caused by those transients. To a large extent the selection of these specific transient conditions is based upon engineering judgment and experience. Guidance on the selection of these transients and combinations can be found in References 8 and 9. Transients and consequent loads and load combinations with appropriate specified design and service limits should provide a complete basis for design of the reactor coolant pressure boundary for all conditions and events expected over the service lifetime of the plant.

The staff should consider the number of transients appropriate for the design life of the plant. Also, environmental conditions to which equipment important to safety will be exposed (e.g., chemistry of the coolant water) should be considered to minimize the degradation of materials due to corrosion.

2. To meet the requirements of 10 CFR Part 50, Appendix B, and GDC 1, a list of computer programs to be used in dynamic and static analyses to determine the structural and functional integrity of seismic Category I Code and non-Code items and the analyses to determine stresses should be provided. For each program the following information should be provided to demonstrate applicability and validity:
 - A. The author, source, dated version, and facility.
 - B. A description and the extent and limitation of its application.
 - C. The computer program solutions to a series of test problems demonstrated to be substantially similar to solutions obtained from any one of sources (i) through (iv) and source (v):

- (i) Hand calculations
- (ii) Analytical results published in relevant engineering literature
- (iii) Acceptable experimental tests
- (iv) Results from a similar program within the acceptable margins.
- (v) The benchmark problems prescribed in Reference 10.

A summary comparison of the solution obtained from sources (i) through (iv) should be provided in either graphical or numerical form. For source (v), the complete computer printout of the input and the solution should be submitted for every benchmark problem. These solutions may be referenced, and need not be resubmitted, in subsequent license applications, provided the information submitted under Items A and B remains unchanged.

- 3. To meet the requirements of GDCs 1, 14, and 15, if experimental stress analysis methods are used in lieu of analytical methods for any seismic Category I Code or non-Code items, the section of the SAR addressing the experimental stress analysis methods is acceptable if the information meets the provisions of Appendix II to Reference 7 and, as in the case of analytical methods, if the information is sufficiently detailed to show the design meeting the provisions of the Code-required "Design Specifications."
- 4. To meet the requirements of GDCs 1, 14, and 15 when Service Level D limits are specified by the applicant for Code Class 1 and core support components and for supports, reactor internals, and other non-Code items, the methods of analysis to calculate the stresses and deformations should conform to the methods outlined in Appendix F to Reference 7, subject to the conditions addressed in subsection III.4 of this SRP section.

Technical Rationale

The technical rationale for application of these criteria to reviews performed under this SRP section is discussed in the following paragraphs:

- 1. GDC 1 requires in part, that SSCs important to safety be designed, fabricated, erected, and tested to quality standards commensurate with the importance of the safety functions to be performed. Appendix B to 10 CFR Part 50 sets forth, in part, provisions to assure that appropriate standards are specified and included in design documents (design methods and computer programs for the design and analysis of seismic Category I Code Class 1, 2, 3, and core support structures and non-Code structures) and that deviation from such standards are controlled.

Special topics for mechanical components encompass items related to design transients like component supports, core supports, and reactor internals designated as Class 1, 2, and 3 under ASME Code, Section III, and those not covered by the Code. The applicability and validity of these criteria are demonstrated by requirements that the

design methods and computer programs in design and analysis be within current state-of-the-art limits and design control measures acceptable to the staff.

The requirements of GDC 1 provide reasonable assurance that the regulatory requirements for design methodology and quality assurance are satisfied so that SSCs important to safety are capable of performing their intended functions.

2. GDC 2 requires, in part, that SSCs important to safety be designed to withstand the effects of natural phenomena, such as earthquakes, tornadoes, hurricanes, floods, tsunami, and seiches without loss of capability to perform their safety functions. The related requirements in Appendix S to 10 CFR Part 50 specify that applicants include seismic events in the design basis and in their postulated design transients.

Pursuant to GDC 2, the reviewer evaluates whether mechanical components are designed to withstand the loads generated by natural phenomena. The reviewer also verifies whether the applicant has provided a list of postulated design transients with consideration of seismic events.

The requirements of GDC 2 provide reasonable assurance that SSCs important to safety have the capability to withstand the effects of natural phenomena and to perform their intended functions.

3. GDC 14 requires that the reactor coolant pressure boundary be designed, fabricated, erected, and tested so as to have an extremely low probability of abnormal leakage, rapidly propagating failure, and of gross rupture.

GDC 15 requires that the reactor coolant system and its auxiliary, control, and protection systems be designed with sufficient margin to assure that the design conditions of the reactor coolant pressure boundary are not exceeded during any condition of normal operation, including anticipated operational occurrences.

GDC 14 and GDC 15 apply to this review because SSCs important to safety are exposed to postulated transients anticipated during the design life of the plant. If SSCs are to perform their design functions there must be adequate assurance that mechanical components will remain functional under all postulated combinations of normal operating conditions, anticipated operational occurrences, postulated pipe breaks, and seismic events.

Compliance with the requirements of GDC 14 and GDC 15 provides reasonable assurance that the design transients and consequent loads and load combinations (with the appropriate specific design and service limits for ASME Code Class 1 and core support components, supports, and reactor internals form a complete basis for the design of the reactor coolant pressure boundary for all anticipated conditions and extremely low-probability events expected during the service life of the plant.

III. REVIEW PROCEDURES

The reviewer will select and emphasize material from the procedures described below, as may be appropriate for a particular case.

For each area of review specified in subsection I of this SRP section, the review procedure is identified below. These review procedures are based on the identified SRP acceptance criteria. For deviations from these specific acceptance criteria, the staff should review the applicant's evaluation of how the proposed alternatives to the SRP criteria provide an acceptable method of complying with the relevant NRC requirements identified in subsection II.

1. The list of transients, the number of events estimated for each transient presented in the applicant's SAR, and the method for determining this number are compared to the same information on similar and previously licensed applications and to the acceptance criteria outlined in subsection II of this SRP section. Any deviations from previous accepted practice are noted and the applicant should justify them. For Code Class 1 and core support components and supports, the reviewer verifies whether for each transient loading condition or combination an acceptable Code service limit is specified (i.e., Design, Level A, Level B, Level C, or Level D as specified in Reference 7).
2. The information on computer programs presented in the applicant's SAR is reviewed as follows:
 - A. The list of programs is evaluated to determine whether the applicant adequately describes each program with respect to the type of analysis performed and the specific components to which the program is applied.
 - B. The submitted computer test problem solutions recommended in subsection II.2.C of this SRP section are reviewed and compared to the test solutions. Satisfactory agreement of computer and test solutions, usually within a ± 5 percent error band, verifies the quality and adequacy of the computer programs for the functions for which they were designed.
3. If the applicant elects to use experimental stress analysis techniques in lieu of theoretical stress analyses, sufficient information should be presented in the SAR to demonstrate that the requirements of Appendix II to Reference 7 applicable to the conditions in the "Design Specifications" have been met.
4. If the applicant employs an elastic or an elastic-plastic method of analysis to evaluate the design of safety-related Code or non-Code items for which Service Level D limits have been specified (NB-3225 and Appendix F to Reference 7), the review considers the following points:
 - A. The applicant should demonstrate that the stress-strain relationship for component materials to be used in the analysis is valid. The ultimate strength values at service temperature should be justified.

- B. The analytical procedures to be used in the analysis are reviewed to determine the validity of the analysis. Any computer program used should meet the applicable requirements of subsection II.2.C of this SRP section.
 - C. If elastic system analysis is used, its application may require detailed review and justification if applied to the analysis of systems which contain active components with close tolerances or systems in which the sequence of load application could significantly affect the actual stress distribution.
 - D. If elastic, elastic-plastic or limit analysis methods are used for components with elastic or elastic-plastic system analyses, the bases for these procedures are reviewed. The applicant should provide assurance that the calculated item or item support deformations and displacements do not violate the corresponding limits and assumptions on which the methods for the system analysis are based.
5. For reviews of DC and COL applications under 10 CFR Part 52, the reviewer should follow the above procedures to verify that the design set forth in the safety analysis report, and if applicable, site interface requirements meet the acceptance criteria. For DC applications, the reviewer should identify necessary COL action items. With respect to COL applications, the scope of the review is dependent on whether the COL applicant references a DC, an ESP, or other NRC-approved material, applications, and/or reports.

After this review, SRP Section 14.3 should be followed for the review of Tier I information for the design, including the postulated site parameters, interface criteria, and ITAAC.

IV. EVALUATION FINDINGS

The reviewer verifies that the applicant has provided sufficient information and that the review and calculations (if applicable) support conclusions of the following type to be included in the staff's safety evaluation report (SER). The reviewer also states the bases for those conclusions.

- 1. The applicant has met the relevant requirements of 10 CFR Part 50, Appendix B, and GDC 1 by submitting information that demonstrates the applicability and validity of the design methods and computer programs for the design and analysis of seismic Category I Code Class 1, 2, 3, and core support structures, and non-Code structures within the present state-of-the-art limits and by acceptable design control measures to ensure the quality of the computer programs.
- 2. The applicant has met the relevant requirements of GDC 2 and 10 CFR Part 50, Appendix S, by including in design transients seismic events as part of the design basis for withstanding the effects of natural phenomena.
- 3. The applicant has met the relevant requirements of GDC 14 and 15 by demonstrating that the design transients and consequent loads and load combinations with appropriately specified design and service limits for Code Class 1 and core support components, supports, and reactor internals provide a complete basis for design of the reactor coolant pressure boundary for all conditions and events expected over the service lifetime of the plant.

For DC and COL reviews, the findings will also summarize (to the extent that the review is not discussed in other SER sections) the staff's evaluation of the ITAAC, including design acceptance criteria, as applicable, and interface requirements, and combined license action items relevant to this SRP section.

V. IMPLEMENTATION

The staff will use this SRP section in performing safety evaluations of DC applications and license applications submitted by applicants pursuant to 10 CFR Part 50 or 10 CFR Part 52. Except when the applicant proposes an acceptable alternative method for complying with specified portions of the Commission's regulations, the staff will use the method described herein to evaluate conformance with Commission regulations.

The provisions of this SRP section apply to reviews of applications docketed six months or more after the date of issuance of this SRP section, unless superseded by a later revision.

VI. REFERENCES

1. 10 CFR Part 50, Appendix A, GDC 1, "Quality Standards and Reports."
2. 10 CFR Part 50, Appendix A, GDC 2, "Design Bases for Protection Against National Phenomena."
3. 10 CFR Part 50, Appendix A, GDC 14, "Reactor Coolant Pressure Boundary."
4. 10 CFR Part 50, Appendix A, GDC 15, "Reactor Coolant System Design."
5. 10 CFR Part 50, Appendix B, "Quality Assurance Requirements for Nuclear Power Plants and Fuel Reprocessing Plants."
6. 10 CFR Part 50, Appendix S, "Earthquake Engineering Criteria for Nuclear Power Plants."
7. Regulatory Guide 1.68, "Initial Test Programs for Water-Cooled Reactor Power Plants."
8. SRP Section 3.9.3, "ASME Code Class 1, 2, 3 Components, Component Supports, and Core Support Structures."
9. NRC Inspection Manual Chapter IMC-2504, "Construction Inspection Program - Non-ITAAC Inspections," issued April 25, 2006.
10. Report NUREG/CR-1677, "Piping Benchmark Problems."
11. ASME Boiler and Pressure Vessel Code, Section III, Division I, "Nuclear Power Plant Components," American Society of Mechanical Engineers."

PAPERWORK REDUCTION ACT STATEMENT

The information collections contained in the draft Standard Review Plan are covered by the requirements of 10 CFR Part 50 and 10 CFR Part 52, which were approved by the Office of Management and Budget, approval number 3150-0011 and 3150-0151.

PUBLIC PROTECTION NOTIFICATION

The NRC may not conduct or sponsor, and a person is not required to respond to, a request for information or an information collection requirement unless the requesting document displays a currently valid OMB control number.

SRP Section 3.9.1 Description of Changes

This SRP section affirms the technical accuracy and adequacy of the guidance previously provided in Revision 3, dated April 2006, of this SRP section. See ADAMS accession number ML052070335.

In addition, this SRP section was administratively updated in accordance with NRR Office Instruction LIC-200, Revision 1, "Standard Review Plan (SRP) Process." The revision also adds standard paragraphs to extend application of this updated SRP section to prospective applicant submissions pursuant to 10 CFR Part 52.

The technical changes are incorporated in Revision 3, date [Month] 2007:

Review Responsibilities - Reflects changes in review branches resulting from reorganization and branch consolidation. Change is reflected throughout the SRP.

- Established the organization responsible for the review mechanical engineering issues of as primary reviewer of SRP Section 3.9.1.

I. AREAS OF REVIEW

- Added a review area for inspections, tests, analyses, and acceptance criteria (ITAAC).
- Added a subsection detailing review interfaces with other SRP sections.
- Added a review interface with SRP Section 15.0 regarding verification of the acceptability of listed transients and corresponding number of cycles.
- Added a review interface with SRP Section 3.7.3 for verification of the seismic ground input loading.

II. ACCEPTANCE CRITERIA

- Replaced references to 10 CFR Part 100, Appendix A with references to 10 CFR Part 50, Appendix S.
- Added 10 CFR 52.47(a)(1)(vi), which provides the requirements for ITAAC for design certification reviews
- Added 10 CFR 52.97(b)(1), which provides the requirements for ITAAC for combined license reviews
- Added extended design life review responsibility.
- Added "Technical Rationale" subsection, which includes technical rationales for 10 CFR 50, Appendix S and 10 CFR 50, Appendix A, GDC 1, GDC 2, GDC 14 and GDC 15.

III. REVIEW PROCEDURES

- Added standard paragraph to address application of Review Procedures in design certification reviews (implementation of 10 CFR Part 52.)

IV. EVALUATION FINDINGS

- Replaced references to 10 CFR Part 100, Appendix A with references to 10 CFR Part 50, Appendix S.
- Added a new paragraph to the end of the evaluation findings, to address design certification reviews. The paragraph addresses design certification specific items including ITAAC, DAC, site interface requirements, and combined license action items relevant to the SRP section. (Implementation of 10 CFR Part 52 related changes.)

V. IMPLEMENTATION

- Added standard sentence to indicate application of SRP 3.9.1 to reviews of applications filed under 10 CFR Part 50 and 10 CFR Part 52.
- Added standard sentence to indicate that the provisions of this SRP section apply to reviews of applications docketed six months or more after the date of issuance of this SRP section.
- Added standard Paperwork Reduction Statement.
- Added standard Public Protection Notification statement.

VI. REFERENCES

- Reference 6: Deleted 10 CFR Part 100, Appendix A, and replaced with 10 CFR Part 50, Appendix S - "Earthquake Engineering Criteria for Nuclear power Plants."