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NewYorkPower Authority

James Knubel
Senior Vice President and
Chief Nuclear Officer

December 9, 1998
IPN-98-133
JPN-98-049

U.S. Nuclear Regulatory Commission
ATTN: Document Control Desk
Washington, DC 20555-0001

Subject: Indian Point 3 Nuclear Power Plant
Docket No. 50-286
James A. FitzPatrick Nuclear Power Plant
Docket No. 50-333
Change to the Quality Assurance Program Description
Regarding Audit Frequencies

References:
1. NYPA letter to NRC (IPN-98-073), "Proposed Technical Specification Changes Regarding the Relocation of the SRC Review and Audit Requirements," dated June 16, 1998.
2. NYPA letter to NRC (JPN-98-026), "Proposed Technical Specification Changes Regarding the Relocation of the SRC Review and Audit Requirements (JPTS-98-001)," dated June 16, 1998.

Q004

Dear Sir:

This letter is submitted pursuant to 10 CFR 50.4 and 10 CFR 50.54(a)(3) and requests approval of changes which modify commitments in the Quality Assurance Program description submitted with References 1 and 2. Specifically, the Quality Assurance Program descriptions for Indian Point 3 and James A. FitzPatrick (Chapter 17 of the FSAR for each plant) require audits of various plant activities at specified intervals. The Authority proposes to extend the frequency of several of these audits to a maximum two year period, in accordance with ANSI N18.7-1972.

The Authority realizes that approval of this 10 CFR 50.54(a) request is dependent upon the approval of the proposed Technical Specification changes submitted in References 1 and 2. However, these 10 CFR 50.54(a) changes are being submitted in parallel with these References.

Attachment I provides a description of the proposed changes, the reason for the changes, and the basis for concluding that the revised program incorporating the proposed changes will continue to satisfy the criteria of 10 CFR 50 Appendix B and the Safety Analysis Report Quality Assurance Program description commitments previously accepted by the NRC.

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Attachments II and III provide copies of the pages affected by this change in the Indian Point 3 and James A. FitzPatrick Nuclear Power Plants Final Safety Analysis Reports.

Attachment IV contains the commitments made by the Authority in this submittal. If you have any questions concerning this matter, please contact Ms. C. D. Faison.

Very truly yours,

J. Knubel
Senior Vice President and
Chief Nuclear Officer

Attachments: as stated

cc: Regional Administrator
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Attachment I to IPN-98-133 / JPN-98-049

10 CFR 50.54(a)(3) Review
Proposed Changes to the Quality Assurance Program Description
Regarding Audit Frequencies

NEW YORK POWER AUTHORITY

INDIAN POINT 3 NUCLEAR POWER PLANT
DOCKET NO. 50-286
DPR-64
JAMES A. FITZPATRICK NUCLEAR POWER PLANT
DOCKET NO. 50-333
DPR-59

10 CFR 50.54(a)(3) Review
Proposed Changes to the Quality Assurance Program Description
Regarding Audit Frequencies

Indian Point 3 and James A. FitzPatrick Nuclear Power Plants

A. Description

This 10 CFR 50.54(a)(3) review addresses the extension of the following audit frequencies listed in Appendix 17.2E of the FSAR:

Audit Requirement	Current Audit Frequency	Proposed Audit Frequency
Conformance to the Technical Specifications and License Conditions	Once per 12 months	Once every 24 months
Performance, training, and qualification of the facility staff (requirement to audit plant staff performance is applicable to IP3 only)	Once per 12 months	Once every 24 months
Results of actions taken to correct deficiencies in the facility equipment, structures, systems, or methods of operation	Once per 6 months	Once every 24 months
Radiological environmental monitoring program and the results thereof	Once per 12 months	Once every 24 months
Activities required by QA program to meet provisions of RG 1.21, Rev. 1 and RG 4.1, Rev. 1 (applicable to JAF only)	Once per 12 months	Once every 24 months

B. Reason for the Change

The current audit program contains audit frequencies which were established during the early stages of the QA program to ensure program effectiveness. Currently, the Authority has a mature QA program which has been in place for many years. This is evidenced by the experienced and skilled staff, procedures which yield predictable results, and a stable site work force. Therefore, the Authority proposes to extend the intervals for the audits listed above to two years, consistent with the guidance contained in ANSI N18.7-1972. The extension of audit frequencies will give the QA staff additional time to focus resources more effectively on areas of high risk and/or declining performance.

C. 10 CFR 50.54(a)(3) Review

Extension of Audit Frequencies to 24 Months

Indian Point 3 and James A. FitzPatrick are currently committed to the 1972 version of Regulatory Guide 1.33 which endorses ANSI N18.7-1972. ANSI N18.7-1972 states that "audits of selected aspects of plant operation shall be performed with a frequency commensurate with their safety significance and in such a manner as to assure that an audit of safety-related activities is completed within a period of two years." As such, the Authority is proposing to extend the audit frequency for the audits listed in Section A of this submittal to a two year interval, consistent with the guidance found in ANSI N18.7-1972. The Authority believes that a minimum audit frequency of two years is warranted for the following reasons.

- The Authority has noted overall significant performance improvements at both IP3 and JAF in all functional areas. These improvements have resulted in QA audits identifying few, if any, examples of ineffective program implementation.

- Both IP3 and JAF line organizations have a self-assessment program in place which requires an examination of important aspects of station activities for the purpose of identifying strengths and weaknesses and facilitating continuous improvements. Deviation event reports (DERs) are issued for problems identified during the performance of self-assessments and corrective actions are implemented to resolve the deficiencies. At a minimum, these self assessment programs require the preparation of an annual summary report of the self evaluation activities performed.

- The Authority's QA program is a mature program which has been in place for many years. The original audit frequencies were set to less than two years because the QA program and the programs being audited were in their beginning phases. More frequent audits were needed to ensure that the programs were operating successfully. The QA program and the programs being audited are now well established and such frequent audits are not needed to ensure program effectiveness.

- Plant performance is reviewed regularly by station management utilizing the station weekly performance indicators and the monthly performance indicators. Examples of some of these indicators include:

  - human performance error rate;
  - corrective maintenance backlog;
  - number of installed temporary modifications;
  - number of operator work arounds;
  - number and severity of NRC violations;
  - number of significant events; and
  - number of licensee event reports.

In addition, QA and ORG provide quarterly trending and assessment reports to station management. The scope of the trending report encompasses the review and analysis of documents such as a summary of QA observations, Quarterly Integrated Self-Assessment and Trend Reports, Nuclear Generation Monthly Performance Indicator Reports, SRC Meeting Minutes, NRC Inspection Reports/Notice of Violations, and Root Cause Analysis Reports. This report is distributed to nuclear senior management and Safety Review Committe (SRC) members and discussed at SRC meetings.

Review of these reports provides station management with a continual description of plant performance and trends, thus allowing for timely corrective actions and/or an adjustment to the surveillance or audit schedule.

- In addition to the regularly scheduled QA audits, QA also performs numerous surveillances which are used to supplement the existing audit program. Quality surveillances involve actual observation (monitoring) and/or documentation review to verify that an activity is being performed in accordance with specified requirements or practices. In addition, the activity evaluated is assessed for adequacy, effectiveness, and technical correctness. The results of the surveillances are documented and are considered quality records.

- The majority of deficiencies (consistently greater than approximately 85%) are identified by the first and second level of defense (worker and supervisor).

D. Conclusion

The change, as described, will continue to satisfy 10 CFR 50, Appendix B, Criterion XVIII, "Audits", which requires that:

> "A comprehensive system of planned and periodic audits shall be carried out to verify compliance with all aspects of the quality assurance program and to determine the effectiveness of the program."

This requirement continues to be met through the performance of the aforementioned audits on a two year frequency. This two year frequency is in accordance with the guidance contained in ANSI N18.7-1972.

This change is a reduction in commitment and requires NRC approval prior to implementation. This change maintains the NYPA commitment to quality and NYPA's QA Program will remain in compliance with 10 CFR 50, Appendix B and the Safety Analysis Report Quality Assurance Program description commitments previously accepted by the NRC.

Attachment II to IPN-98-133 / JPN-98-049

Proposed Revisions to IP3 FSAR - Appendix 17.2E

(Additions are shown in **bold** and deletions are shown in ~~strikeout~~.)

NEW YORK POWER AUTHORITY
INDIAN POINT 3 NUCLEAR POWER PLANT
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Appendix E

QA Reviews and Audits

17.2E.1 REVIEW

The SRC shall review:

a. The safety evaluations for 1) changes to procedures, equipment or systems and 2) tests or experiments completed under the provision of Section 50.59, 10CFR, to verify that such actions did not constitute an unreviewed safety question.

b. Proposed changes to procedures, equipment or systems which involve an unreviewed safety question as defined in Section 50.59, 10 CFR.

c. Proposed tests or experiments which involve an unreviewed safety question as defined in Section 50.59, 10 CFR.

d. Proposed changes to Technical Specifications of this Operating License.

e. Violations of codes, regulations, orders, Technical Specifications, license requirements, or of internal procedures or instructions having nuclear safety significance.

f. Significant operating abnormalities or deviations from normal and expected performance of plant equipment that affect nuclear safety.

g. All REPORTABLE EVENTS.

h. All recognized indications of an unanticipated deficiency in some aspect of design or operation of safety related structures, systems, or components.

i. Reports and meetings minutes of the Plant Operating Review Committee.

17.2E.2 AUDITS

The following audits shall be performed under the cognizance of the SRC.

a. The conformance of facility operation to provisions contained within the Technical Specifications and applicable license conditions at least once per ~~12 months~~ **24 months**.

b. The performance, training and qualifications of the entire facility staff at least once per ~~12 months~~ **24 months**.

c. The results of actions taken to correct deficiencies occurring in facility equipment, structures, systems or methods of operation that affect nuclear safety at least once per ~~6 months~~ **24 months**.

d. The performance of activities required by the Operational Quality Assurance Program to meet the criteria of Appendix "B," 10 CFR 50, at least once per 24 months.

e. Any other area of facility operation considered appropriate by the SRC or the Chief Nuclear Officer.

f. The Facility Fire Protection Program and implementing procedures at least once per two years.

g. A fire protection and loss prevention inspection and audit shall be performed annually utilizing either qualified offsite licensee personnel or an outside fire protection firm.

h. An inspection and audit of the fire protection and loss prevention program shall be performed by an outside qualified fire consultant at intervals no greater than 3 years.

i. The radiological environmental monitoring program and the results thereof at least once per ~~12 months~~ **24 months.**

j. The OFFSITE DOSE CALCULATION MANUAL and implementing procedures at least once per 24 months.

k. The PROCESS CONTROL PROGRAM and implementing procedures for processing and packaging of radioactive wastes at least once per 24 months.

17.2E.3 RECORDS

a. Reports of the reviews encompassed by 17.2E.1 shall be prepared and forwarded to the Chief Nuclear Officer within 30 days following completion of the review.

b. Audit reports encompassed by 17.2E.2 shall be forwarded to the Chief Nuclear Officer and to the management positions responsible for the areas audited within 30 days after the completion of the audit.

Attachment III to IPN-98-133 / JPN-98-049

Proposed FSAR Revisions to JAF - Appendix 17.2E

(Additions are shown in **bold** and deletions are shown in ~~strikeout~~.)

NEW YORK POWER AUTHORITY
JAMES A. FITZPATRICK NUCLEAR POWER PLANT
DOCKET NO. 50-333
DPR-59

Appendix E

QA Reviews and Audits

17.2E.1 REVIEW

The SRC shall review:

a. The safety evaluations for 1) changes to procedures, equipment or systems and 2) tests or experiments completed under the provision of Section 50.59, 10 CFR, to verify that such actions did not constitute an unreviewed safety question.

b. Proposed changes to procedures, equipment or systems which involve an unreviewed safety question as defined in Section 50.59, 10 CFR.

c. Proposed tests or experiments which involve an unreviewed safety question as defined in Section 50.59, 10 CFR.

d. Proposed changes to Technical Specifications of this Operating License.

e. Violations of codes, regulations, orders, Technical Specifications, license requirements, or of internal procedures or instructions having nuclear safety significance.

f. Significant operating abnormalities or deviations from normal and expected performance of plant equipment that affect nuclear safety.

g. All Reportable Events.

h. All recognized indications of an unanticipated deficiency in some aspect of design or operation of safety related structures, systems, or components.

i. Reports and meetings minutes of the Plant Operating Review Committee.

j. Plant staff performance.

17.2E.2 AUDITS

The following audits shall be performed under the cognizance of the SRC.

a. The conformance of facility operation to provisions contained within the Technical Specifications and applicable license conditions at least once per ~~12 months~~ **24 months.**

b. The training and qualifications of the entire facility staff at least once per ~~12 months~~ **24 months.**

c. The results of actions taken to correct deficiencies occurring in facility equipment, structures, systems or method of operation that affect nuclear safety at least once per ~~6 months~~ **24 months.**

d. The performance of activities required by the Operational Quality Assurance Program to meet the criteria of Appendix "B," 10 CFR 50, at least once per 24 months.

e. Any other area of facility operation considered appropriate by the SRC or the Chief Nuclear Officer.

f. The Facility Fire Protection Program and implementing procedures at least once per two years.

g. An independent fire protection and loss of prevention inspection and audit shall be performed annually utilizing either qualified offsite licensee personnel or an outside fire protection firm.

h. An inspection and audit of the fire protection and loss prevention program shall be performed by an outside qualified fire consultant at intervals no greater than 3 years.

i. The Radiological Environmental Monitoring Program and the results thereof at least once per ~~12 months~~ **24 months.**

j. The Offsite Dose Calculation Manual and implementing procedures at least once per 24 months.

k. The Process Control Program and implementing procedures for processing and packaging of radioactive wastes at least once per 24 months.

l. The performance of activities required by the Quality Assurance Program to meet the provisions of Regulatory Guide 1.21, Revision 1, June 1974 and Regulatory Guide 4.1, Revision 1, April 1975 at least once per ~~12 months~~ **24 months.**

17.2E.3 RECORDS

a. Reports of the reviews encompassed by 17.2E.1 shall be prepared and forwarded to the Chief Nuclear Officer within 30 days following completion of the review.

b. Audit reports encompassed by 17.2E.2 shall be forwarded to the Chief Nuclear Officer and to the management positions responsible for the areas audited within 30 days after the completion of the audit.

Attachment IV to IPN-98-133 / JPN-98-049

Commitments

NEW YORK POWER AUTHORITY

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Commitment List

Indian Point 3

Commitment Number	Commitment	Due Date
IPN-98-133-01	Revise FSAR to incorporate the draft version of FSAR Appendix 17.2E submitted with this letter.	Next FSAR Update which is issued at least 6 months after NRC approval of this submittal.

James A. FitzPatrick

Commitment Number	Commitment	Due Date
JPN-98-049-01	Revise FSAR to incorporate the draft version of FSAR Appendix 17.2E submitted with this letter.	Next FSAR Update which is issued at least 6 months after NRC approval of this submittal.