



NUREG-0800

U.S. NUCLEAR REGULATORY COMMISSION STANDARD REVIEW PLAN

13.5.1.1 ADMINISTRATIVE PROCEDURES - GENERAL

REVIEW RESPONSIBILITIES

Primary - Organization responsible for the review of human performance

Secondary - None

I. AREAS OF REVIEW

Plant administrative procedures, as described in the safety analysis report (SAR), are reviewed. This SAR section should describe the procedures that provide for administrative control over safety-related activities for the operation of the facility. In general, the SAR is not expected to include detailed written procedures. It is recognized that the development of detailed procedures and associated training materials may be beyond the scope of the **combined license application, (COL), but they** are the responsibility of a **construction permit or combined license (COL) applicant licensee**, and will be verified through the Construction Inspection Program. The SAR should contain a target date for completion of operating procedures prior to fuel load to allow sufficient time **to allow** for plant staff familiarization and to allow **U.S. Nuclear Regulatory**

Revision -1, ~~May~~ - XXXX 2010

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 Regulatory Guide 1.70, "Standard Format and Content of Safety Analysis Reports for Nuclear Power Plants (LWR Edition)." Not all sections of Regulatory Guide 1.70 have a corresponding review plan section. The SRP sections applicable to a combined license application for a new light-water reactor (LWR) are based on Regulatory Guide 1.206, "Combined License Applications for Nuclear Power Plants (LWR Edition)."

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.

Requests for single copies of SRP sections (which may be reproduced) should be made to the U.S. Nuclear Regulatory Commission, Washington, DC 20555, Attention: Reproduction and Distribution Services Section, or by fax to (301) 415-2289; or by email to DISTRIBUTION@nrc.gov. Electronic copies of this section are available through the NRC's public Web site at <http://www.nrc.gov/reading-rm/doc-collections/nuregs/staff/sr0800/>, or in the NRC's Agencywide Documents Access and Management System (ADAMS), at <http://www.nrc.gov/reading-rm/adams.html>, under Accession # **ML101349264ML102640317**.

Formatted: Top: 1", Header distance from edge: 1", Footer distance from edge: 1"

Formatted: Font: (Default) Shrutu, Bold

Formatted: Indent: First line: 0", No widow/orphan control, Tab stops: Not at 0" + 0.5" + 1" + 1.5" + 2" + 2.5" + 3" + 3.5" + 4" + 4.5" + 5" + 5.5"

Formatted: Font: Shrutu, 12 pt

Formatted: Font: Shrutu, 12 pt

Formatted: Font: Shrutu, 12 pt, Not Bold

Formatted: Font: Shrutu, 12 pt

Formatted: Font: Shrutu

Formatted: Font: Shrutu, 12 pt

Formatted: Font: Bold

Formatted: Font: Not Bold

Formatted: Font: Not Bold

Formatted: Font: Not Bold

Commission (NRC) staff adequate time to reviewinspect the procedures and to develop operator licensing examinations. The application should describe the nature and content of procedures as detailed below. The specific areas of review are as follow:

Formatted: Font: Times New Roman, 12 pt

Formatted: Header, Line spacing: single

Formatted: Line spacing: single, Adjust space between Latin and Asian text, Adjust space between Asian text and numbers, Tab stops: Not at 0" + 0.5" + 1" + 1.5" + 2" + 2.5" + 3" + 3.5" + 4" + 4.5" + 5" + 5.5"

Formatted: Font: Arial, 10 pt

Formatted: Tab stops: 3.25", Centered + 6.5", Right + Not at 3" + 6"

The specific areas of review are as follows:

Formatted: Font: Times New Roman, 12 pt

Formatted: Header, Line spacing: single

1. Administrative procedures reviewed are those for (A) which provide the administrative controls and (B) those for control of operational activities of the plant staff. Parts (A) and (B) describe the type of procedures that are included in the review.

A. Category (A) - Controls

- (i) Procedure review and approval
- (ii) Equipment control procedures
- (iii) Control of maintenance and modifications
- (iv) Fire protection procedures
- (v) Crane operation procedures
- (vi) Temporary changes to procedures
- (vii) Temporary procedures
- (viii) Special orders of a transient or self-cancelling character

B. Category (B) - Specific Procedures

- (i) Standing orders to shift personnel including the authority and responsibility of the shift supervisor, senior operator in the control room, control room operator, and shift technical advisor.
- (ii) Assignment of shift personnel to duty stations and definition of "surveillance area"
- (iii) Shift relief and turnover
- (iv) Fitness for duty (FFD)
- (v) Control room access
- (vi) Limitations on working hours
- (vii) Feedback of design, construction, and applicable important industry and operating experience
- (viii) Shift supervisor administrative duties
- (ix) Verification of correct performance of operating activities

Formatted: Font: Arial, 10 pt

Formatted: Tab stops: 3.25", Centered + 6.5", Right + Not at 3" + 6"

13.5.1.1-3

March 2007

13.5.1.1-3

Revision 1 – XXXX 2010

-
2. COL Action Items and Certification Requirements and Restrictions. For a **design certification (DC)** application, the review will also address COL action items and requirements and restrictions (e.g., interface requirements and site parameters).

For a COL application referencing a DC, a COL applicant must address COL action items (referred to as COL license information in certain DCs) included in the referenced DC. Additionally, a COL applicant must address requirements and restrictions (e.g., interface requirements and site parameters) included in the referenced DC.

Review Interfaces

Other **Standard Review Plan (SRP)** sections interface with this section as follows:

1. The reviewer coordinates as necessary to ensure that any special criteria for procedural controls governing testing and operational procedures are met.

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

II. ACCEPTANCE CRITERIA

Requirements

The acceptance criteria for a staff finding of reasonable assurance that an applicant meets the Commissions regulations are as follows:

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

~~Acceptance criteria are based on the relevant requirements of Title 10 of the Code of Federal Regulations (CFR), Paragraph 50.40(a) and 10 CFR 50.40(b), as to administrative procedures in the determination whether the applicant is technically qualified to engage in ~~licensing~~ licensed activities, and 10 CFR 50.54(l) as to the ~~applicant's~~ designation of individuals responsible for directing the activities of licensed operators.~~

Administrative Procedures - General. The available staff positions subject to this SRP section are as ~~follow~~ follows. (Note: where regulatory guides (RGs) are referenced, the current issue of the guide at the time of the review is used).

1. 10 CFR **Part 26**
2. 10 CFR 50.34(f)(3)(i)
3. 10 CFR 50.40(a) and (b)
4. 10 CFR 50.54(l) (**see 13**)
5. 10 CFR 73.58

Formatted: Font: Times New Roman, 12 pt

Formatted: Header, Line spacing: single

Formatted: Indent: Left: 0"

Formatted: Indent: Left: 0"

Formatted: Indent: Left: 0"

Formatted: Indent: Left: 0"

Formatted: Font: Arial, 10 pt

Formatted: Left

Revision 1 – XXXX 2010

13.5.1.1-13.5.1.1-4

March 2007

SRP Acceptance Criteria

Specific SRP acceptance criteria acceptable to meet the relevant requirements of the NRC's regulations are identified within the Requirements 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.

Formatted: Font: Times New Roman, 12 pt

Formatted: Header, Line spacing: single

Formatted: Font: Arial, 10 pt

Formatted: Page Number, Font: Times New Roman, 12 pt

Field Code Changed

Formatted: Font: Times New Roman, 12 pt

Formatted: Footer, Tab stops: Not at 3.25" + 6.5"

Technical Rationale

The technical rationale for application of these acceptance criteria to the areas of review addressed by this SRP section is discussed in the following paragraphs:

1. 10 CFR 50.40(a) and 10 CFR 50.40(b) require that the applicant adhere to **ertain** established **standardsrequirements** and be technically qualified to engage in proposed activities.

10 CFR 50.40(a) and 10 CFR 50.40(b) apply to this section as the administrative procedures program contributes to the determination whether an applicant is technically qualified by putting in place necessary controls, policies, and programs for appropriate and controlled activities as required by 10 CFR **Part** 50, Appendix A, Criterion 1, and Appendix B, Criterion XI.

These requirements provide assurance that the applicant will adhere to the **standardsprovisions** established in the **regulationregulations**, that the applicant is technically qualified to engage in and support proposed activities, and that safety-related activities are controlled administratively by adequate procedures.

2. 10 CFR 50.54(l) requires that the **applicantlicensee** designate individuals licensed as senior operators to be responsible for the activities of licensed operators.

10 CFR 50.54(l) applies to this section because the administrative procedures program provides control and guidance for individuals who conduct licensed activities and ensures that they are qualified **and fit** for these duties.

These requirements provide assurance that only licensed individuals who are qualified **and fit** are assigned to, and conduct, licensed activities.

3. 10 CFR **Part** 26 requires that the **applicantlicensee** adhere to the requirements and standards for the establishment and maintenance of the **fitness-for-dutyFFD** program.

10 CFR **Part** 26 applies to this section because the administrative procedures program contributes to the determination **of** whether an applicant is technically qualified by putting in place necessary controls, policies, and programs to ensure that individuals performing work are fit to perform the task assigned.

4. 10 CFR 73.58 requires that the **applicantlicensee** adhere to the requirements and standards for reviewing the interface between safety and security, including the site emergency plan, before implementing **modifications or** changes to plant configurations, facility conditions or security **programs**.

10 CFR 73.58 applies to this section because the administrative procedures program provides control and guidance for physical modifications, procedural changes, changes to operator actions or security assignments, maintenance activities, system reconfiguration-, access modification or restrictions and changes to the security plan and its implementation.

III. REVIEW PROCEDURES

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

Formatted: Font: Times New Roman, 12 pt

Formatted: Header, Line spacing: single

Formatted: Font: Arial, 10 pt

Formatted: Page Number, Font: Times New Roman, 12 pt

Field Code Changed

Formatted: Font: Times New Roman, 12 pt

Formatted: Footer, Tab stops: Not at 3.25" + 6.5"



Formatted: Font: Times New Roman, 12 pt

Formatted: Header, Line spacing: single



13.5.1.1-8

March 2007

Formatted: Font: Arial, 10 pt

Formatted: Page Number, Font: Times New Roman, 12 pt

Field Code Changed

Formatted: Font: Times New Roman, 12 pt

Formatted: Footer, Tab stops: Not at 3.25" + 6.5"

Revision 1 – XXXX 2010

These review procedures are based on the identified SRP acceptance criteria. For deviations from these acceptance criteria, the staff should review the applicant's evaluation of how the proposed alternatives provide an acceptable method of complying with the relevant NRC requirements identified in Subsection II.

Formatted: Font: Times New Roman, 12 pt

Formatted: Header, Line spacing: single

Review the applicant's program for the development of administrative procedures to ensure application of accepted human factors principles and practices for the design of the operating procedures. NUREG-0711, "Procedure Development," describes an acceptable method for developing operating procedures. The procedure development method is an integral part of the human factors engineering (HFE) program. The HFE program is more fully described in Chapter 18 of the SRP.

The review under this SRP section consists of a detailed comparison of the information submitted with the acceptance criteria of ~~subsection~~ Subsection II of this SRP section as applicable to the SAR. When the reviewer determines, from the applicant's SAR statements, that each of these criteria has been satisfied, the review under this SRP section is complete.

This detailed comparison form of review applies to items for which acceptance criteria are defined in ~~subsection~~ Subsection II of this SRP section. For items remaining (primarily those providing operational controls), the reviewer must use ~~judge~~ judgment whether the applicant provides adequate controls.

For review of a DC application, the reviewer should follow the above procedures to verify that the design set forth in the final safety analysis report (FSAR) meets the acceptance criteria. DCs have referred to the FSAR as the design control document (~~DCD~~). The reviewer should also consider the appropriateness of identified COL action items. The reviewer may identify additional COL action items; however, to ensure these COL action items are addressed during a COL application, they should be added to the DC FSAR.

For review of a COL application, the scope of the review is dependent on whether the COL applicant references a DC, an early site permit (~~ESP~~) or other NRC approvals (e.g., manufacturing license, site suitability report or topical report).

For review of both DC and COL applications, SRP Section 14.3 should be followed for the review of ~~ITAAC inspection, test, analysis, and acceptance criteria (ITAAC)~~. The review of ITAAC cannot be completed until after the completion of this section.

IV. EVALUATION FINDINGS

Formatted: Indent: Left: 0", Hanging: 0.5"

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. The reviewer also states the bases for those conclusions.

The staff concludes that the administrative procedures are acceptable and contribute to meeting the requirements of 10 CFR Part 26, 10 CFR 50.40(a), ~~10~~ and 10 CFR 50.40(b), ~~and 10 CFR Part 50.54(l),~~).

Formatted: Font: Arial, 10 pt

Formatted: Page Number, Font: Times New Roman, 12 pt

Field Code Changed

Formatted: Font: Times New Roman, 12 pt

Formatted: Footer, Tab stops: Not at 3.25" + 6.5"

These conclusions are based on the following findings:

The applicant has described the program and procedures for administrative controls over safety-related activities including the preparation, review, and approval of plant operating procedures, the responsibility and duties of shift personnel, shift relief and turnover procedures, ~~fitness for duty~~FFD program, limitations on working hours, access to the control room, feedback of operating information to plant personnel, and the procedure for verifying correct performance of operating activities. We have reviewed these provisions and find they meet the staff guidance described in ANSI/ANS 3.2, ~~section~~Section 5.2, in RG 1.33, and Task Action Plan Items I.A.1.2, I.A.1.3, I.C.2, I.C.3, I.C.4, I.C.5, and I.C.6, and the guidelines of ANSI B30.2.

In addition, the implementation of the administrative procedures program supports the finding required by 10 CFR 50.40(b), i.e., that the applicant is technically qualified to operate a nuclear power plant.

For DC ~~and COL~~ reviews, the findings will also summarize the ~~staff~~staff's evaluation of the COL action/information items ~~proposed by the DC applicant that are~~ relevant to this SRP section.

For COL reviews, the findings will also summarize the staff's evaluation of the how the COL applicant addressed those COL action/information items included in the DCD referenced in its application that are 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 submitted ~~six~~6 months or more after the date of issuance of this SRP section, unless superseded by a later revision.

VI. REFERENCES

1. 10 CFR 50.34, "Contents of Applications; Technical Information"
1. 10 CFR 50.40, "Common Standard."
2. 10 CFR 50.54, "Conditions of Licenses."
3. 10 CFR Part 26, "Fitness for Duty Programs."
4. ~~Regulatory Guide~~RG 1.33, "Quality Assurance Program Requirements (Operation)."
5. ~~Regulatory Guide~~RG 1.114, "Guidance to Operators at the Controls and to Senior Operators in the Control Room of a Nuclear Power Unit."
6. NUREG-0694, "TMI-Related Requirements for New Operating Licenses."

Formatted: Font: Times New Roman, 12 pt

Formatted: Header, Line spacing: single

Formatted: Indent: Left: 0", Hanging: 0.5"

Formatted: Indent: Left: 0", Hanging: 0.5"

Formatted: Font: Arial, 10 pt

Formatted: Page Number, Font: Times New Roman, 12 pt

Field Code Changed

Formatted: Font: Times New Roman, 12 pt

Formatted: Footer, Tab stops: Not at 3.25" + 6.5"

-
7. NUREG-0711, "Human Factors Engineering Program Review Model."
 8. NUREG-0737, "Clarification of TMI Action Plan Requirements."
 9. ANS 3.2, "Administrative Controls and Quality Assurance for the Operational Phase of Nuclear Power Plants."
 10. Generic Letter 82-02, "Nuclear Power Plant Staff Working Hours," February 8, 1982.
 11. ~~Generic Letter 82-12, "Nuclear Power Plant Staff Working Hours," June 15, 1982.~~
 12. ~~Generic Letter 83-14, "Definition of 'Key Maintenance Personnel' (Clarification of Generic Letter 82-12)," March 7, 1983.~~
 13. ~~Generic Letter 89-23, "NRC Staff Responses to Questions Pertaining to Implementation of 10 CFR Part 26," October 23, 1989.~~
 14. ~~Generic Letter 90-03, "Relaxation of Staff Position in Generic letter 83-28," March 20, 1990.~~
 15. ~~Generic Letter 91-16, "Licensed Operators' and other Nuclear Facility Personnel Fitness for Duty," October 3, 1991.~~
 16. ~~NRC Policy Statement, "Nuclear Plant Staff Working Hours" (46 FR 23836), June 1, 1982.~~

Formatted: Font: Times New Roman, 12 pt

Formatted: Header, Line spacing: single

Formatted: Font: Arial, 10 pt

Formatted: Page Number, Font: Times New Roman, 12 pt

Field Code Changed

Formatted: Font: Times New Roman, 12 pt

Formatted: Footer, Tab stops: Not at 3.25" + 6.5"

Revision 1 – XXXX 2010

Formatted: Font: Times New Roman, 12 pt
Formatted: Header, Line spacing: single

PAPERWORK REDUCTION ACT STATEMENT

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

Formatted: Font: Bold
Formatted: Centered, Line spacing: single, No widow/orphan control, Tab stops: Not at 3.25" + 3.5" + 4" + 4.5" + 5" + 5.5"

PUBLIC PROTECTION NOTIFICATION

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

Formatted: Line spacing: single, No widow/orphan control, Tab stops: Not at 0" + 0.5" + 1" + 1.5" + 2" + 2.5" + 3" + 3.5" + 4" + 4.5" + 5" + 5.5"

Formatted: Header distance from edge: 0.5"

Formatted: Font: Bold

Formatted: Font: Times New Roman, 8 pt

Formatted: Line spacing: single, No widow/orphan control, Border: Top: (No border), Bottom: (Single solid line, Auto, 1.5 pt Line width), Tab stops: Not at 0" + 0.5" + 1" + 1.5" + 2" + 2.5" + 3" + 3.5" + 4" + 4.5" + 5" + 5.5"

Formatted: Border: Top: (No border)

Formatted: Font: Arial, 10 pt

Formatted: Page Number, Font: Times New Roman, 12 pt

Field Code Changed

Formatted: Font: Times New Roman, 12 pt

Formatted: Footer, Tab stops: Not at 3.25" + 6.5"

SRP Section 13.5.1.1

~~ADMINISTRATIVE PROCEDURES – GENERAL~~
“Administrative Procedures – General”
Description of Changes

This revision was ~~neccisitated~~necessitated to satisfy the regulations at 10 CFR 73.558 and to manage the potential for adverse effects on safety and security, including the site emergency plan, before implementing changes to plant configurations, facility conditions, or security.

Revision 1- to SRP Section 13.5.1.1 updates Revision 0 of this section, dated March 2007, to reflect the following changes:

1. ~~4. Under ACCEPRANCE~~Section II. ACCEPTANCE CRITERIA, Administrative Procedure ~~0~~ General, added code ~~sections~~Section 10 CFR 73.58.
2. ~~2.~~Renumbered rest of the section to accommodate this addition to serial numbering.
3. ~~3.~~Under ~~SPECIFIC ACCEPTANCE CRITERIA~~Technical Rationale, added justification for the additional requirement.

Formatted: Line spacing: single, No widow/orphan control, Border: Top: (No border), Tab stops: Not at 0" + 0.5" + 1" + 1.5" + 2" + 2.5" + 3" + 3.5" + 4" + 4.5" + 5" + 5.5"

Formatted: Line spacing: single, No widow/orphan control, Border: Top: (No border), Tab stops: Not at 0" + 0.5" + 1" + 1.5" + 2" + 2.5" + 3" + 3.5" + 4" + 4.5" + 5" + 5.5"

Formatted: Line spacing: single, No widow/orphan control, Border: Top: (No border), Tab stops: Not at 0" + 0.5" + 1" + 1.5" + 2" + 2.5" + 3" + 3.5" + 4" + 4.5" + 5" + 5.5"

Formatted: Underline

Formatted: Border: Top: (No border)

Formatted: Tab stops: 3.25", Centered + 6.5", Right + Not at 3" + 6"

Formatted: Font: Arial, 10 pt