

MAR 7 1986

MEMORANDUM FOR: SALP Board Members
FROM: J. C. Linville, Chief, Reactor Projects Section 2C, DRP
SUBJECT: DRAFT NINE MILE POINT UNIT 2 SALP BOARD REPORT

Attached for your review prior to the March 17, 1986 SALP Board Meeting is the draft Nine Mile Point Unit 2 report without proposed category ratings or board recommendations. Also enclosed, to aid you in reaching your own conclusion about the appropriate functional area ratings based on your assessment of the draft functional area analyses, is a copy of the evaluation criteria and matrices from draft NRC manual chapter Q516

~~Original~~ Signed By:

J. C. Linville, Jr., Chief
Reactor Projects Section 2C

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TABLE 1 EVALUATION CRITERIA WITH ATTRIBUTES FOR ASSESSMENT OF LICENSEE PERFORMANCE

<u>Category 1</u>	<u>Category 2</u>	<u>Category 3</u>	
<u>1. Management Involvement in Assuring Quality</u>			
consistent evidence of prior planning and assignment of priorities; well stated, controlled and explicit procedures for control of activities	evidence of prior planning and assignment of priorities; stated, defined procedures for control of activities	little evidence of prior planning and assignment of priorities; poorly stated or ill understood procedures for control of activities	
well stated, disseminated, and understandable policies	adequately stated and understood policies	poorly stated, poorly understood or nonexistent policies	
decisionmaking consistently at a level that ensures adequate management review	decisionmaking usually at a level that ensures adequate management review	decisionmaking seldom at a level that ensures adequate management review	
corporate management frequently involved in site activities	corporate management usually involved in site activities	corporate management seldom involved in site activities	
reviews timely, thorough, and technically sound	reviews generally timely, thorough, and technically sound	reviews not timely, thorough or technically sound	
records complete, well maintained, and available	records generally complete, well maintained, and available	records not complete, not well maintained, or unavailable	
procedures and policies strictly adhered to	procedures and policies rarely violated	procedures and policies occasionally violated	
corrective action is effective, as indicated by lack of repetition	corrective action is usually taken but may not be effective at correcting the root cause of the problem, as indicated by occasional repetition	corrective action is not timely or effective and generally addresses symptoms rather than root causes, events are repetitive	R R R R R

Category 1

Category 2

Category 3

2. Approach to the Resolution of Technical Issues from a Safety Standpoint

clear understanding of issues demonstrated

understanding of issues generally apparent

understanding of issues frequently lacking

conservatism routinely exhibited when potential for safety significance exists

conservatism generally exhibited

meets minimum requirements

technically sound and thorough approaches in almost all cases

viable and generally sound and thorough approaches

often viable approaches; but lacking in thoroughness or depth

timely resolutions in almost all cases

generally timely resolutions

resolutions often delayed

3. Responsiveness to NRC Initiatives

meets deadlines

generally timely responses

frequently requires extensions of time

timely resolution of issues

few longstanding regulatory issues attributable to licensee

longstanding regulatory issues attributable to licensee

technically sound and thorough responses in almost all cases

viable and generally sound and thorough responses

often viable responses, but lacking in thoroughness or depth

acceptable resolutions proposed initially in most cases

acceptable resolutions generally proposed

considerable NRC effort or repeated submittals needed to obtain acceptable resolutions

4. Enforcement History

major violations are rare and are not indicative of programmatic breakdown

major violations are rare and may indicate minor programmatic breakdown

multiple major violations or programmatic breakdown indicated

Category 1

Category 2

Category 3

4. Enforcement History (Continued)

minor violations are not repetitive and not indicative of programmatic breakdown

multiple minor violations or minor programmatic breakdown indicated

minor violations are repetitive and indicative of programmatic breakdown

corrective action is prompt and effective

corrective action is timely and effective in most cases

corrective action is delayed or not effective

5. Operational and Construction Events

few significant operational or construction events, attributable to causes under the licensee's control, have occurred that are relevant to this functional area

occasional significant operational or construction events, attributable to causes under the licensee's control, have occurred that are relevant to this functional area

frequent significant operational or construction events, attributable to causes under the licensee's control, have occurred that are relevant to this functional area R
R
R
R

events are promptly and completely reported

events are reported in a timely manner, some information may be lacking

event reporting is frequently late or incomplete R
R
R

events are properly identified and analyzed

events are accurately identified, some analyses are marginal

events are poorly identified or analyses are marginal, events are associated with programmatic weaknesses R
R
R
R

6. Staffing (Including Management)

positions are identified, authorities and responsibilities are well defined

key positions are identified, and responsibilities are defined

positions are poorly identified, or authorities and responsibilities are ill defined

vacant key positions are filled on a priority basis

key positions usually filled in a reasonable time

key positions are left vacant for extended periods of time

Category 1

Category 2

Category 3

6. Staffing (Including Management) (Continued)

staffing is ample as indicated by control over backlog and overtime

staffing is adequate, occasional difficulties with backlog or overtime

staffing is weak or minimal as indicated by excessive backlog and overtime

experience levels for management and operations personnel exceed commitments made by licensee at time of licensing

experience levels for management and operations personnel meet commitments made by licensee at time of licensing

experience levels for management and operations personnel are below commitments made by licensee at time of licensing

7. Training and Qualification Effectiveness

training and qualification program makes a positive contribution, commensurate with procedures and staffing, to understanding of work and adherence to procedures with few personnel errors

training and qualification program contributes to an adequate understanding of work and fair adherence to procedure with a modest number of personnel errors

training and qualification program is found to be the major contributing factor to poor understanding of work, as indicated by numerous procedure violations or personnel errors

training program is well defined and implemented with dedicated resources and a means for feedback experience; program is applied to nearly all staff

a defined program is implemented for a large portion of the staff

program may be either lacking, poorly defined, or ineffectively applied for a significant segment of the staff

inadequate training could rarely be traced as a root cause of major or minor events or problems occurring during the rating period

inadequate training could occasionally be traced as a root cause of major or minor events or problems occurring during the rating period

inadequate training could regularly be traced as a root cause of major or minor events or problems occurring during the rating period

TABLE 2

EVALUATION MATRIX FOR OPERATING
PHASE FUNCTIONAL AREAS

	Management Involvement In Assuring Quality	Approach to the Resolution of Technical Issues from a Safety Standpoint	Responsiveness to NRC Initiatives	Enforcement History	Operational and Construction Events	Staffing (Including Management)
Plant Operations						
Radiological Controls						
Maintenance						
Surveillance						
Fire Protection						
Emergency Preparedness						
Security						
Outages						
Quality Programs and Administrative Controls Affecting Quality						
Licensing Activities						
Training and Qualification Effectiveness						

TABLE 3
EVALUATION MATRIX FOR CONSTRUCTION
PHASE FUNCTIONAL AREAS

	Management Involvement In Assuring Quality	Approach to the Resolution of Technical Issues from a Safety Standpoint	Responsiveness to NRC Initiatives	Enforcement History	Operational and Construction Events	Staffing (Including Management)
Soils and Foundation						
Containment, Safety-Related Structures, and Major Steel Supports						
Piping Systems and Supports						
Safety-Related Components-Mechanical						
Auxiliary Systems						
Electrical Equipment and Cables						
Instrumentation						
Quality Programs and Administrative Controls Affecting Quality						
Licensing Activities						
Training and Qualification Effectiveness						