



UNITED STATES
NUCLEAR REGULATORY COMMISSION
REGION V

1450 MARIA LANE, SUITE 210
WALNUT CREEK, CALIFORNIA 94596

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FEB 6 1984

Docket Nos. 50-275 and 50-323

MEMORANDUM FOR: H. Canter, Region V
J. Davis, Region V
R. Fish, Region V
E. Garcia, Region V
C. Heltemes Jr., AEOD
G. Hernandez, Region V
D. Kirsch, Region V
M. Mendonca, Region V
P. Morrill, Region V
M. Padovan, Region V
T. Ross, Region V
D. Schaeffer, Region V
H. Schierling, NRR

FROM: T. W. Bishop, Director, Division of Reactor Safety
and Projects

SUBJECT: SALP BOARD REVIEW OF DIABLO CANYON 1 AND 2
(PERIOD: JANUARY 1, 1983 THROUGH JANUARY 31, 1984, CYCLE 4)

REFERENCE: Memorandum to the Directors of NRR, NMSS, AEOD and IE dated
December 15, 1983 on the subject of the RV SALP Boards
schedules

Pursuant to NRC Manual Chapter MC-0516, "Systematic Assessment of Licensee Performance," a Cycle 4 SALP Review Board is established. Based on current assignments, the board consists of the addressees listed above and myself who will serve as chairperson. The board will convene at 8:30 a.m. on March 13, 1984, at the Region V office. Tentatively the SALP report will be issued April 18, 1984 and the SALP meeting with the licensee will occur on April 26, 1984.

Members of the Diablo Canyon SALP Board are herewith provided a SALP package to be used in preparing performance analyses of the various functional areas. The package consists of the functional areas to be evaluated, the evaluation criteria, the attributes for each evaluation criterion, and data sheets. Based upon review of the enclosed material, the results of

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inspections performed, and your observations of licensee performance during the interval from January 1, 1983 through January 31, 1984, you are requested to prepare a performance analysis that has three subsections: (1) Functional Area Analysis, (2) Conclusion, and (3) Board Recommendations (regarding NRC actions, if appropriate). Please be aware that it is necessary for each functional area to be evaluated using the seven Evaluation Criteria which are based upon the Attributes for Assessment. Also, note that there are two Board Recommendations. One will be issued with the SALP report and it will be the NRCs recommendations for improvement to the licensee. The other will be our in-house recommendations which will be sent to Mr. J. Martin via a memorandum.

Thierry Ross will be tasked to complete the tabulations for Diablo Canyon. He'll follow the format of the enclosed sample data sheets. Several items deserve explanation: (1) the inspection activity and functional area inspection activity/enforcement summaries must be completed, (2) routine and reactive inspection manhours are separately tabulated on the inspection activities table, and (3) your inspection manhours will be broken down by functional area for the functional area inspection activities summary. Examples of the Rancho Seco SALP report are enclosed to show you what to expect for the Diablo Canyon SALP Report.

Responsibilities for preparation of the draft performance analyses and other material are assigned as follows:

- * Compile data, coordinate board and prepare report Canter/Morrill
- * Write description of inspection activities Ross
- * Write description of licensee activities Padovan

Performance Analyses - Operations (Unit 1)

- * Plant Operations Mendonca/Padovan
- * Radiological Controls Garcia
- * Maintenance Padovan/Mendonca
- * Surveillance Padovan/Mendonca
- * Fire Protection Padovan/Mendonca
- * Emergency Preparedness Fish

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- * Security and Safeguards Schaeffer
- * Fuel Loading Mendonca/Padovan
- * Licensing Activities Schierling
- * Quality Assurance Program (OPS) Mendonca/Padovan

Performance Analyses - Construction (Unit 2)

- * Independent Design Verification Program Hernandez
- * Quality Assurance Program (Const) Hernandez
- * Engineering Design and Controls Hernandez

Supporting Data and Summaries

- * License Event Reports Morrill
- * Construction Deficiency Reports (Unit 2) Hernandez
- * Special Reports Ross
- * Part 21 Reports Ross
- * Investigations and Allegations Ross
- * Escalated Enforcement Actions Ross
- * Management Conferences Ross

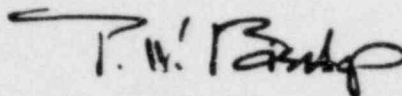
The responsible individuals listed above should consult with predecessors and other inspectors involved in inspection of the functional area during the SALP period. Draft performance analyses, supporting analyses and text, tabulations, and manhour data must be provided to Phil Morrill (who will serve as Board Secretary) no later than February 17, 1984, so that a compiled draft can be provided to the SALP Board. Questions regarding the completion of the above items should also be directed to either Phil Morrill (FTS 463-3740) or Harvey Canter (FTS 463-3719).

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By copy of this memorandum, the Director of the Office of Investigations, San Francisco Field Office, is also requested to provide (by February 24, 1984) a summary of major investigative activities conducted during the SALP period and their results.



T. W. Bishop, Director
Division of Reactor Safety
and Projects

Enclosures:
As Stated

cc w/o enclosures:
O. Shackleton, Jr., OISFFO

GUIDANCE AND WORKSHEETS

SALP SEQUENCE

1. ASSIGN BOARD: JANUARY 31, 1984.
2. GATHER DATA (REGION, NRR, NMSS, AEOD): FEBRUARY 17, 1984.
3. PROVIDE RELEVANT DATA TO BOARD MEMBERS FOR INDIVIDUAL EVALUATION AND CATEGORIZATION: MARCH 6, 1984.
4. PRELIMINARY ANALYSIS BY KNOWLEDGEABLE STAFF MEMBER.
5. BOARD MEETING - CONSENSUS ON CATEGORIZATIONS: MARCH 13, 1984.
6. SALP REPORT TO LICENSEE: APRIL 10, 1984.
7. SALP MEETING WITH LICENSEE: APRIL 26, 1984.
8. RECEIPT/EVALUATION OF LICENSEE COMMENTS: MAY 16, 1984.
9. ISSUE SALP REPORT/LICENSEE COMMENT WITH REGIONAL ADMINISTRATORS CHARACTERIZATION OF LICENSEE PERFORMANCE: JUNE 6, 1984.

SALP PERFORMANCE CATEGORIES

CATEGORY 1. A combination of attributes which demonstrates achievement of superior safety performance; i.e., licensee management attention and involvement are aggressive and oriented toward nuclear safety; licensee resources are ample and effectively used such that a high level of performance with respect to operational safety or construction is being achieved.

CATEGORY 2. A combination of attributes which demonstrates achievement of satisfactory safety performance; i.e., licensee management attention and involvement are evident and are concerned with nuclear safety; licensee resources are adequate and are reasonably effective such that satisfactory performance with respect to operational safety or construction is being achieved.

CATEGORY 3. A combination of attributes which demonstrates achievement of only minimally satisfactory safety performance; i.e., licensee management attention or involvement is acceptable and considers nuclear safety, but weaknesses are evident; licensee resources appear to be strained or not effectively used such that minimally satisfactory performance with respect to operational safety or construction is being achieved.

EVALUATION CRITERIA WITH ATTRIBUTES FOR ASSESSMENT OF LICENSEE PERFORMANCE

1. MANAGEMENT INVOLVEMENT AND CONTROL IN ASSURING QUALITY

<u>Category 1</u>	<u>Category 2</u>	<u>Category 3</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 non-existent policies
decision making consistently at a level that ensures adequate management review	decision making usually at a level that ensures adequate management review	decision making 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
audits complete, timely and thorough	audits generally complete, and thorough	audits frequently not timely, incomplete or not thorough
committees properly staffed and functioning in almost all cases	committees usually properly staffed and functioning	committees not properly staffed or functioning
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 systems promptly and consistently recognize and address non-reportable concerns	corrective action systems generally recognize and address non-reportable concerns	corrective action systems rarely recognize and address non-reportable concerns
procurement well controlled and documented	procurement generally well controlled and documented	repetitive breakdown in procurement control
design well controlled and verified	rare breakdowns of minor significance in design control or verification	repetitive breakdown in design control or verification

2. APPROACH TO RESOLUTION OF TECHNICAL ISSUES FROM A SAFETY STANDPOINT

<u>Category 1</u>	<u>Category 2</u>	<u>Category 3</u>
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

<u>Category 1</u>	<u>Category 2</u>	<u>Category 3</u>
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
acceptable resolutions proposed initially in most cases

viable and generally sound and thorough responses
acceptable resolutions generally proposed

often viable responses, but lacking in thoroughness or depth
considerable NRC effort or repeated submittals needed to obtain acceptable resolutions

4. ENFORCEMENT HISTORY

Category 1

major violations are rare and are not indicative of programmatic breakdown
minor violations are not repetitive and not indicative of programmatic breakdown
corrective action is prompt and effective

Category 2

major violations are rare and may indicate minor programmatic breakdown
multiple minor violations or minor programmatic breakdown indicated
corrective action is timely and effective in most cases

Category 3

multiple major violations or programmatic breakdown indicated
minor violations are repetitive and indicative of programmatic breakdown
corrective action is delayed or not effective

5. REPORTING AND ANALYSIS OF REPORTABLE EVENTS

Category 1

events promptly and completely reported
events are properly identified and analyzed
corrective action is effective as indicated by lack of repetition

Category 2

events are reported in a timely manner, some information may be lacking
events are accurately identified, some analyses are marginal
corrective action is usually taken but may not be effective as indicated by occasional repetition

Category 3

event reporting is frequently late or incomplete
events are poorly identified or analyses are marginal, events are associated with programmatic weaknesses
corrective action is not timely nor effective, events are repetitive

6. STAFFING (INCLUDING MANAGEMENT)

Category 1

positions are identified, authorities and responsibilities are well defined
vacant key positions are filled on priority basis
staffing is ample as indicated by control over backlog and overtime

Category 2

key positions are identified, and authorities and responsibilities are defined
key positions usually filled in a reasonable time
staffing is adequate, occasional difficulties with backlog or overtime

Category 3

positions are poorly identified, or authorities and responsibilities are ill-defined
key positions are left vacant for extended periods of time
staffing is weak or minimal as indicated by excessive backlog and overtime

7. TRAINING AND QUALIFICATION EFFECTIVENESS

Category 1

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

Category 2

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

Category 3

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 feed back 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

Operating Reactors (SALP Evaluation Form)

Evaluation Criteria	Functional Areas												
	Plant Operations	Radiological Controls				Maintenance	Surveillance	Fire Protection	Emergency Preparedness	Security & Safeguards	Refueling Loading	Licensing Activities	Quality Assurance (OPS)
Management Involvement in Assuring Quality													
Approach to Resolution of Technical Issues from Safety Standpoint													
Responsiveness to NRC Initiatives													
Enforcement History													
Reporting and Analysis of Reportable Events													
Staffing (Including management)													
Training Effectiveness and Qualification													

Construction Phase Reactors (SALP Evaluation Form)

	Functional Areas	Soils and Foundation	Containment and Other Safety-Related Structures	Piping Systems and Supports	Safety-Related Components	Support Systems	Electrical Power Supply and Distribution	Instrumentation and Control Systems	IDVP	Quality Assurance (Const)	Engineering Design and Controls						
Valuation Criteria																	
Management Involvement in Assuring Quality																	
Approach to Resolution of Technical Issues from Safety Standpoint																	
Responsiveness to NRC Initiatives																	
Enforcement History					NA												
Reporting and Analysis of Reportable Events																	
Staffing (including management)																	
Training Effectiveness and Qualification																	