

50-498/499



UNITED STATES  
NUCLEAR REGULATORY COMMISSION  
WASHINGTON, D.C. 20555-0001

October 13, 1998

LICENSEE: STP Nuclear Operating Company  
FACILITY: SOUTH TEXAS PROJECT, UNITS 1 AND 2 (STP)  
SUBJECT: SUMMARY OF SEPTEMBER 15, 1998, AFTERNOON MEETING ON  
RISK-INFORMED OPERATIONS AT STP

On September 15, 1998, the NRC staff met with the licensee in a seminar-type format on the above subject. The presentation was made by S. Rosen of STP Nuclear Operating Company. The bulk of NRC's Office of Nuclear Reactor Regulation was in attendance, as well as NRC representatives from other NRC offices. Attached is a copy of the slides that were presented.

The licensee presented an overview of their probabilistic risk assessment (PRA) program at STP. This included discussion in the areas of the licensee's PRA development, configuration risk management program (CRMP), use of NRC-approved extended allowed outage times (for emergency AC power, essential cooling water and essential chilled water systems), and graded quality assurance. Regarding the CRMP, the licensee uses risk-profiles to assess the cumulative effects of equipment out of service and to manage the risk to keep it below certain thresholds. Regarding the extended allowed outage times discussed above, this permits the licensee to schedule major emergency diesel generator, essential chiller and essential cooling water system maintenance while at power. This has resulted in numerous benefits for the licensee including managing risk levels to acceptably low levels at power with corresponding reductions to risk during refueling outages, reducing refueling outage scope and duration, and improving the time-averaged material condition of the plant.

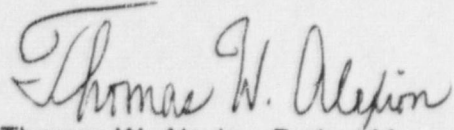
The licensee uses graded quality assurance to combine risk-based, deterministic-based, and performance-based information analyses to establish appropriate levels of programmatic controls for systems, structures and components in order to provide necessary assurance that items will operate safely and activities are accomplished as prescribed (this program was approved by NRC on November 6, 1997). The licensee indicated that implementation of graded quality assurance has shown that of the first 6 systems analyzed, only 5% of the components are highly risk significant and 71% are not risk significant. The licensee stated that in order to be able to fully focus on the risk significant components in these systems, they need to be able to change the classification of the components that are safety-related, but not risk significant, to

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non-safety-related. The licensee's implementation of graded quality assurance and its challenges were discussed in detail in a separate meeting with the NRC staff earlier on the same day. A separate meeting summary will be issued for that meeting.



Thomas W. Alexion, Project Manager  
Project Directorate IV-1  
Division of Reactor Projects III/IV  
Office of Nuclear Reactor Regulation

Docket Nos. 50-498 and 50-499

Attachment: Slides Presented

cc w/att: See next page

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**ORIGINAL SIGNED BY:**

Thomas W. Alexion, Project Manager  
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Office of Nuclear Reactor Regulation

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Attachment: Slides Presented

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Document Name: 091598PM.MTG

OFC	PM/PD4-1	LA/PD4-1	D/PD4-1
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DATE	10/13/98	10/9/98	10/13/98
COPY	YES/NO	YES/NO	YES/NO

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Meeting Summary Memoranda dated October 13, 1998

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Docket File

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PD4-1 Reading

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S. Collins/F. Miraglia (SJC1/FJM)

B. Boger (BAB2)

E. Adensam (EGA1)

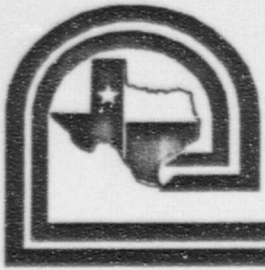
J. Hannon (JNH)

C. Hawes (CMH2)

T. Martin (e-mail to SLM3)

D. Lange (DJL)

T. Gwynn (TPG)



# **RISK-INFORMED OPERATIONS**

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BY

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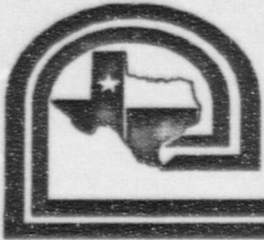
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FOR

NUCLEAR REGULATORY COMMISSION STAFF

SEPTEMBER 15, 1998



# STP PRA PROGRAM

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- **COMPREHENSIVE RISK MANAGEMENT PROGRAM**
- **PRA APPLICATIONS IMPLEMENTED**
  - **Maintenance Rule**
  - **Configuration Risk Management/On-line Maintenance**
  - **Shutdown Risk Management**
  - **Technical Specifications Optimization**
  - **Severe Accident Management Program**
  - **Generation/Engineering Support**
- **PRA APPLICATIONS UNDER DEVELOPMENT**
  - **Graded Quality Assurance**
  - **Motor Operated Valves**
  - **Risk Based Inservice Testing**
  - **NRC Safety Goal Pilot Project**
- **STP RISK MODEL CONFIGURATION CONTROL**
  - **Configuration Control Program**
  - **Configuration Control Program Self-assessment**



# CHRONOLOGY OF PRA DEVELOPMENT AT STP

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- ★ 1982 - Initiated work on PSA Model
- ★ 1989 - Full scope Level 1 PSA including External Events
- ★ 1990 - Risk-based evaluation of Technical Specifications
- ★ 1992 - NRC staff issues SER on the STP Level 1 PSA
- ★ 1992 - STP IPE per Generic Letter 88-20
- ★ 1992 - Level 2 PSA
- ★ 1993 - NRC staff approves revised Tech Spec AOTs and Surveillance Intervals based on PSA
- ★ 1994 - PSA input to satisfy Maintenance Rule requirements
- ★ 1994 - On-line maintenance evaluations
- ★ 1995 - NRC staff approves STP Level 2 PSA / IPE for internal events.
- ★ 1995 - 21 day diesel generator special test exception technical specification submitted to NRC
- ★ 1995 - Shutdown PSA (ORAM and RISKMAN models)
- ★ 1996 - 14 Day DG/7 Day DG/EW AOT Tech Spec Change Approval by NRC
- ★ 1997 - Graded Quality Assurance Safety Evaluation Report Approval by NRC
- ★ CURRENT WORK - IST, AOVs, MOVs, Appendix J, Graded QA Implementation, Improved Technical Specifications, Safety Goal Pilot



**“In the end, I believe it will be this industry--hopefully with the assistance of a risk-informed regulatory fabric--that will raise safety-related performance up to the point that it will be above the margins of safety that we would like to have, and far above what is required. And the only way that we will be able to tell the difference is with the support of quantitative risk information. Let us also remember that ultimately what we create has to be usable and used by the men and women who work every day at this country’s nuclear installations.” (emphasis added)**

**Commissioner Nils J. Diaz  
U. S. Nuclear Regulatory Commission**

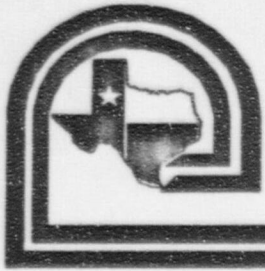
Remarks before the  
1998 NRC Regulatory Information Conference  
Washington, D.C.  
April 14, 1998



## What are the Elements of “Quantitative Risk Information”?

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- The frequency of accident or transient initiators and the readiness of safety systems to respond if challenged are the elements of Quantitative Risk Information.
- At STP, we use our Configuration Risk Management Program to control and monitor the readiness of our safety systems



# South Texas Project Configuration Risk Management Program

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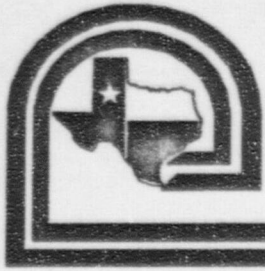
- **History:**
  - **Late 1994 -First configurations generated**
  - **Mid 1995 - Risk Assessment Calculator (RAsCal) software developed and used to generate risk profiles**
  - **January 1996 - Actual component out-of-service data based on “functional” collected**
  - **July 1996 - RAsCal 1.0 approved under Station Software Quality Assurance Program**
  - **January 1997 - On-Line Maintenance Risk becomes monthly Station Performance Indicator**
  - **January 1998 - On-Line Maintenance Risk included in Station Incentive Compensation Plan**



# **South Texas Project Configuration Risk Management Program**

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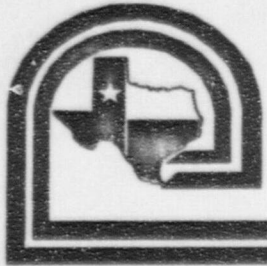
- **Establishes potentially risk-significant threshold for weekly planned on-line maintenance activities**
  - **1E-06 weekly threshold based on EPRI PSA Applications Guide**
  - **If threshold is exceeded, increased management oversight and compensatory measures implemented, as appropriate**
  - **Weekly threshold provides adequate barrier for implementation of corrective actions**



# **South Texas Project Configuration Risk Management Program**

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- **Risk Profiles:**
  - Meets 50.65(a)(3) portion of the Maintenance Rule for assessing the cumulative effects of equipment out of service
  - Communicated every Monday morning in Daily Communication & Teamwork (DC&T) meeting
  - Control Room staff (Shift Technical Advisor) enters Functional status on a train/system level into RAsCal
  - Previous week's risk communicated every Wednesday morning in DC&T meeting

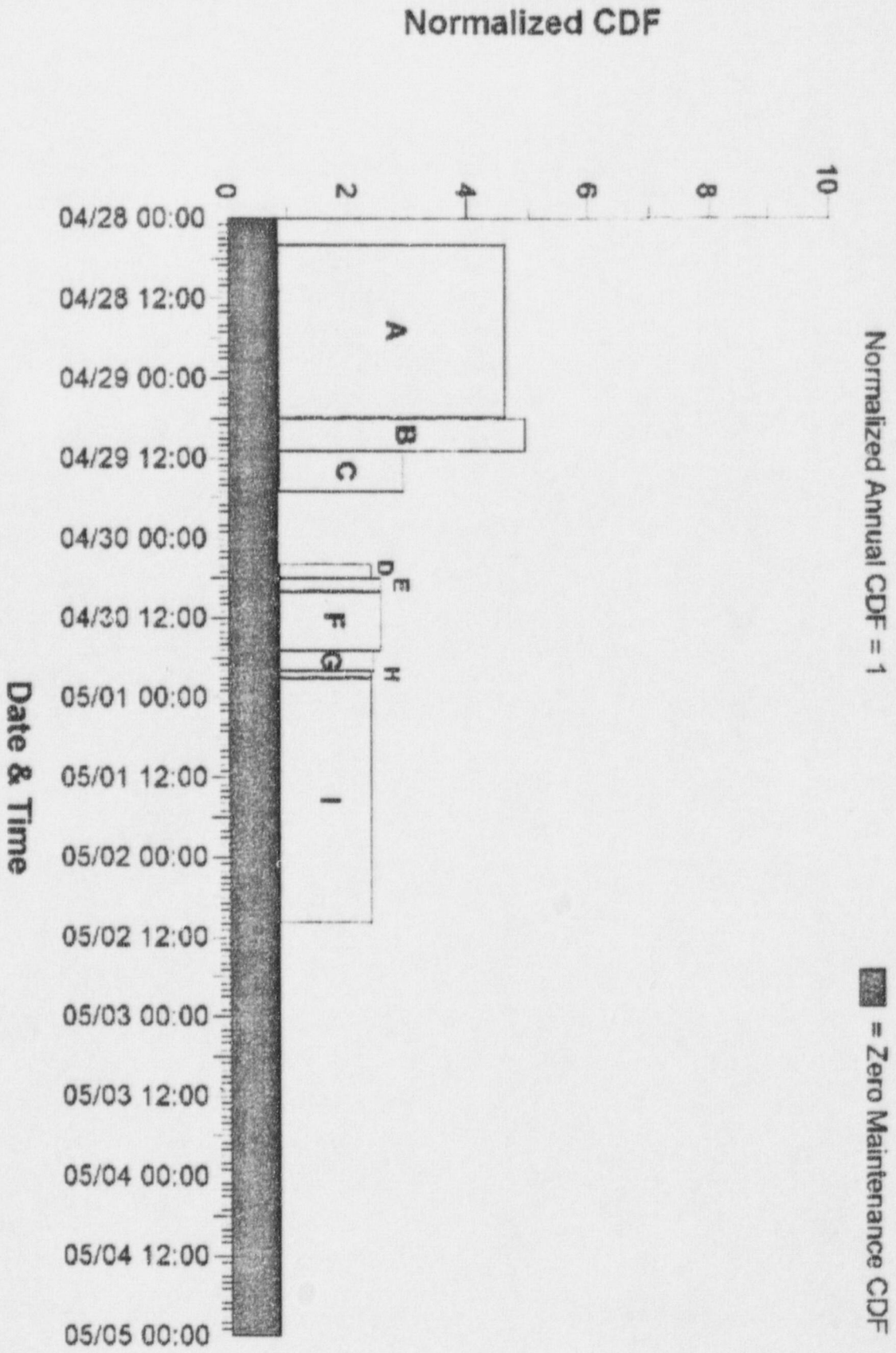


# **South Texas Project Configuration Risk Management Program**

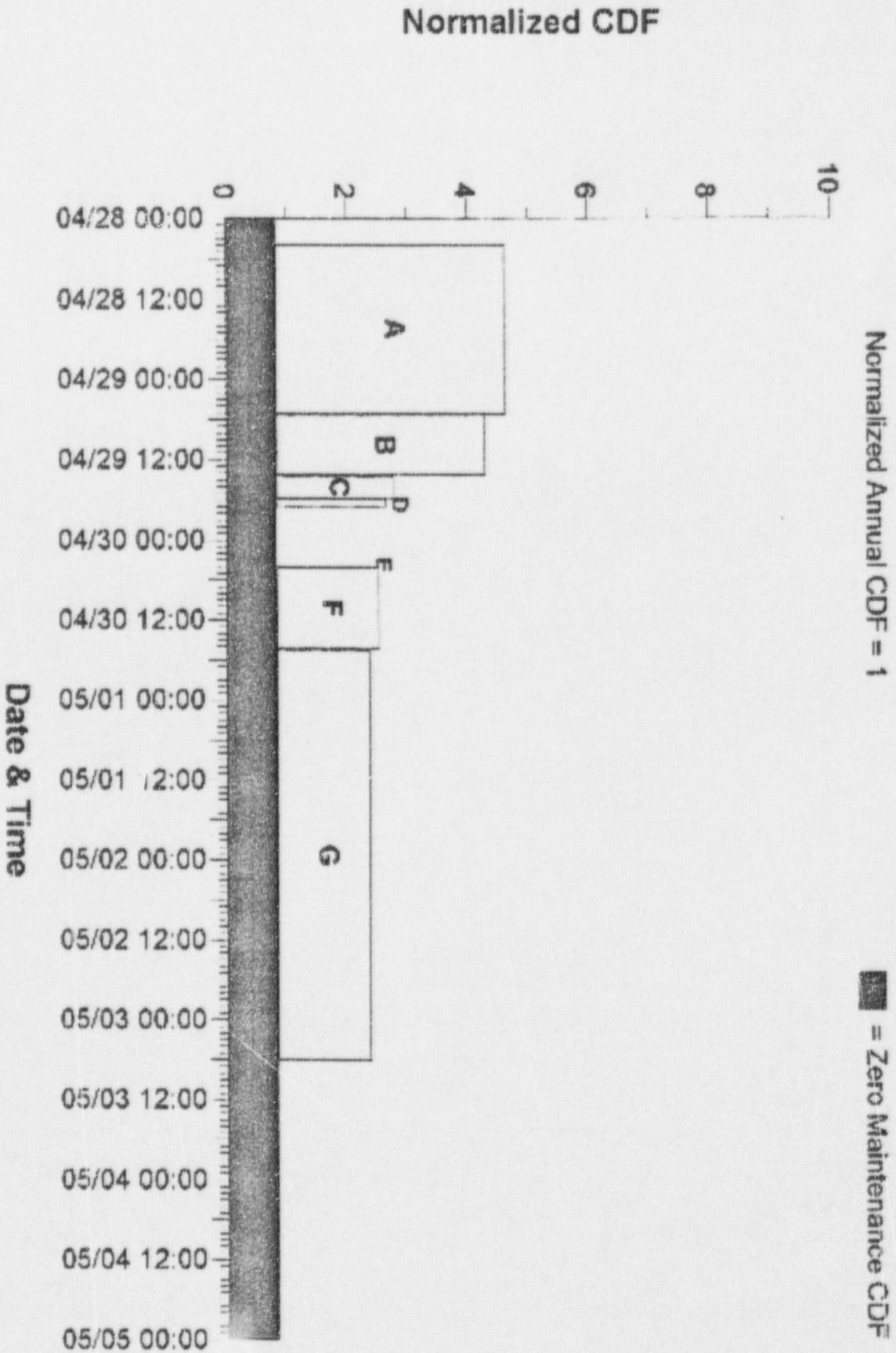
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- **PRA Interface:**
  - **Over 12,000 maintenance states in current database**
  - **5500+ Single Train Maintenance States**
  - **6900+ Cross Train Maintenance States to support Extended AOT for Essential Cooling Water System (7 days) and Standby Diesel Generators (14 days)**
- **Results:**
  - **Monthly, Three Month Average, Quarterly, and Annual risk are represented graphically**
  - **Actual risk is adjusted by availability factor and normalized annually to determine risk in “pure” units of events/year**

# Planned Risk Profiles for Unit 1 Week of 04/28/97



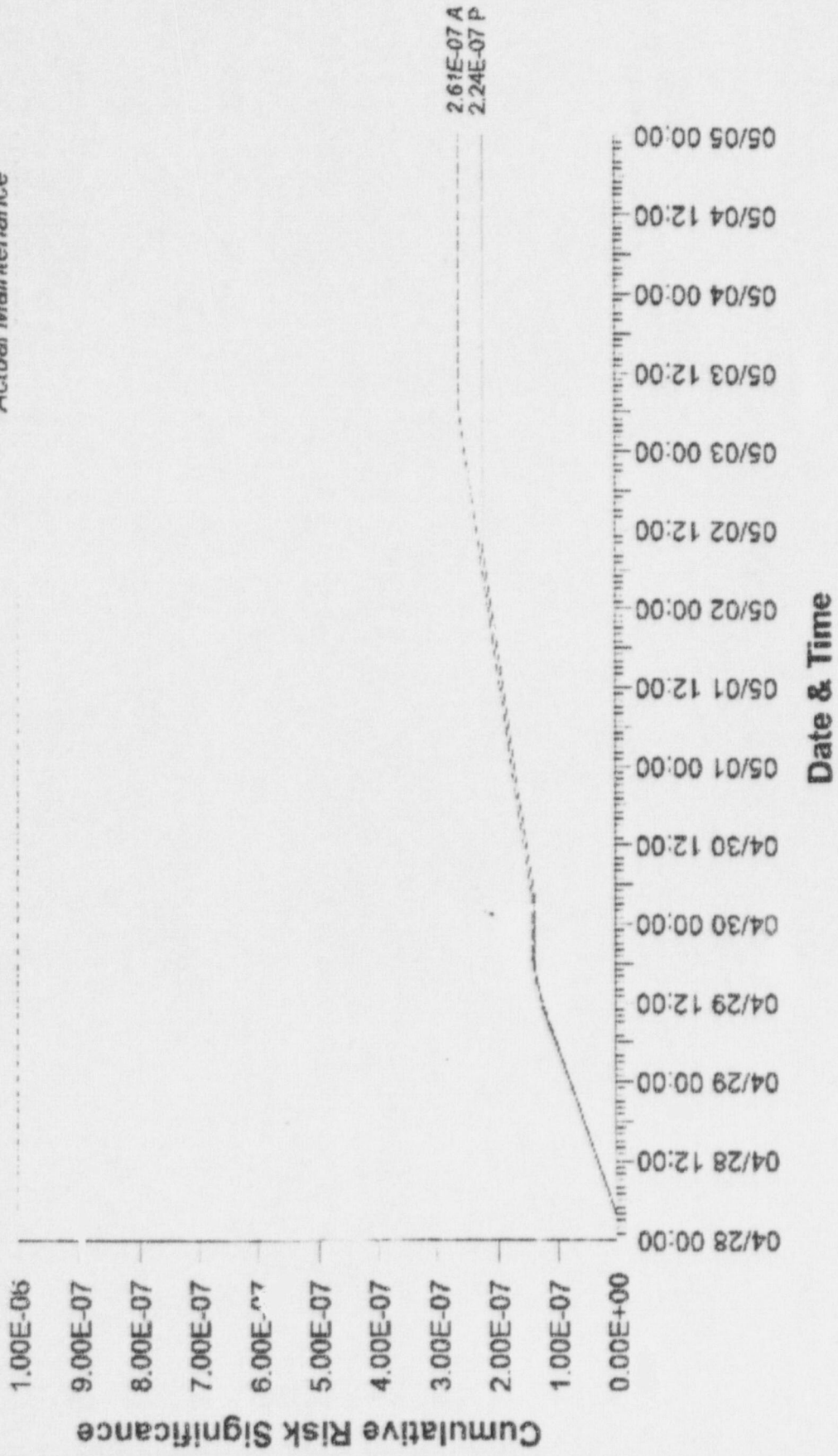
# Actual Risk Profiles for Unit 1 Week of 04/28/97



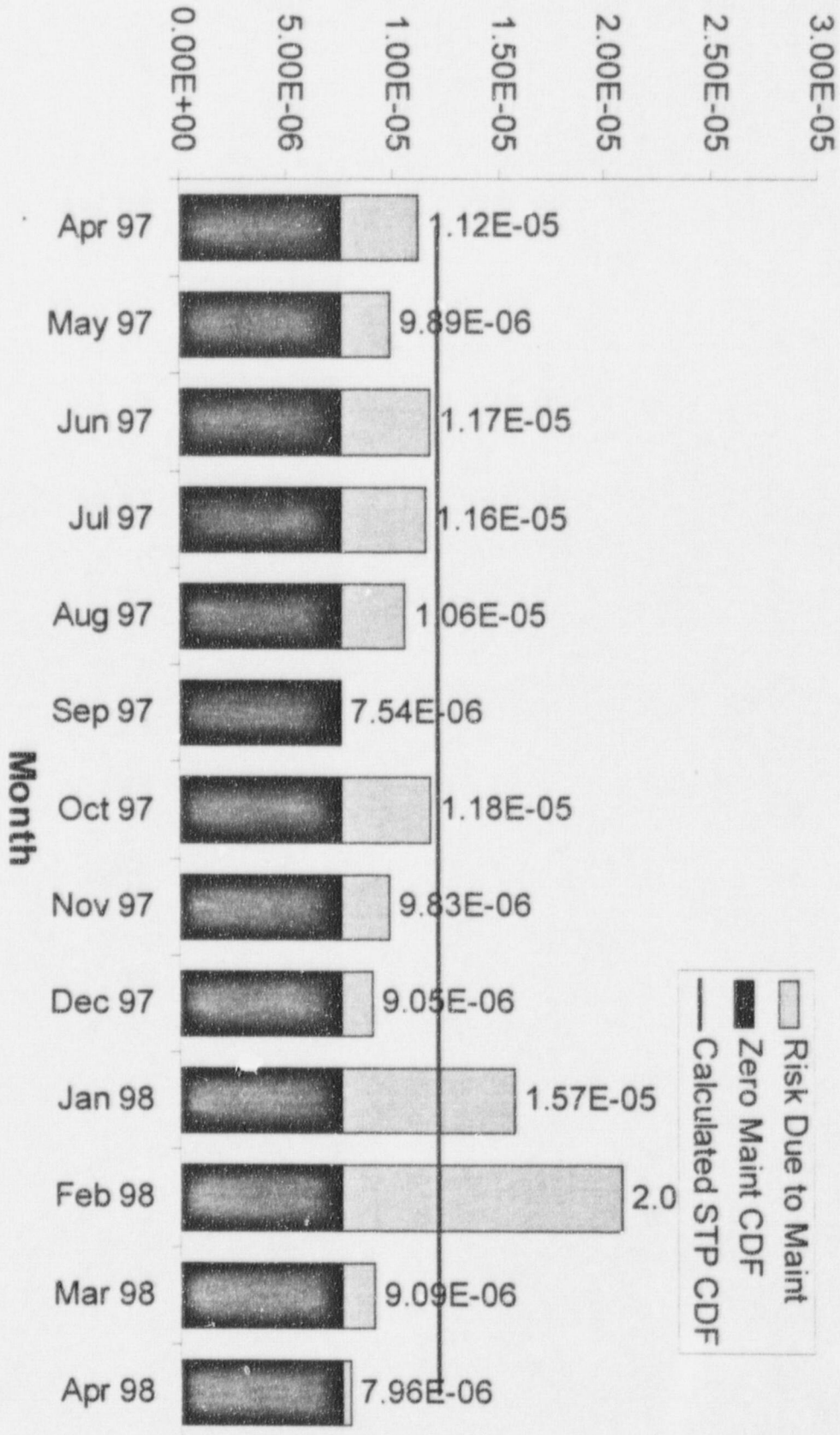


# Actual Risk Profiles for Unit 1 Week of 04/28/97

Planned Maintenance  
Actual Maintenance

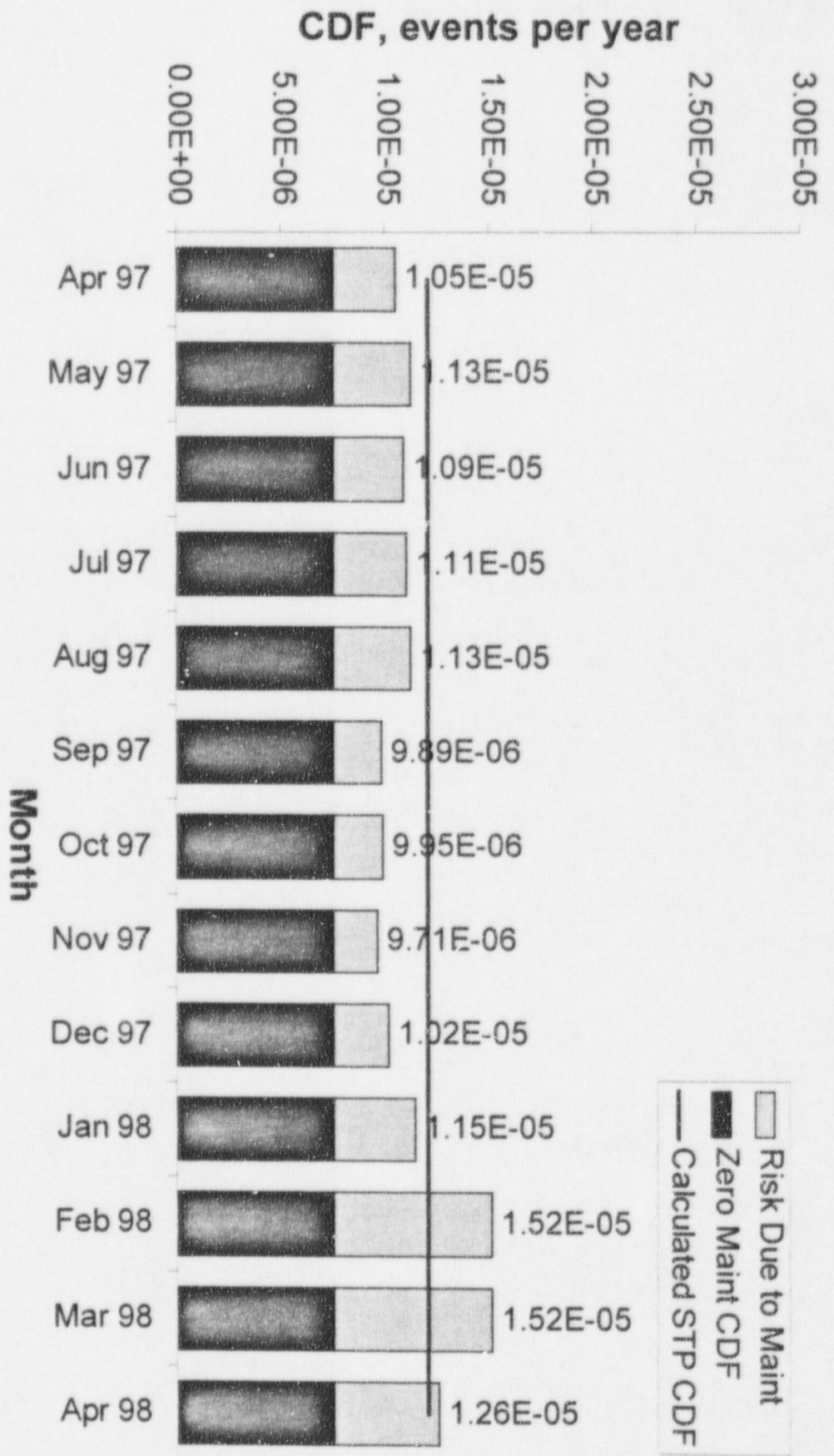


### CDF, events per year

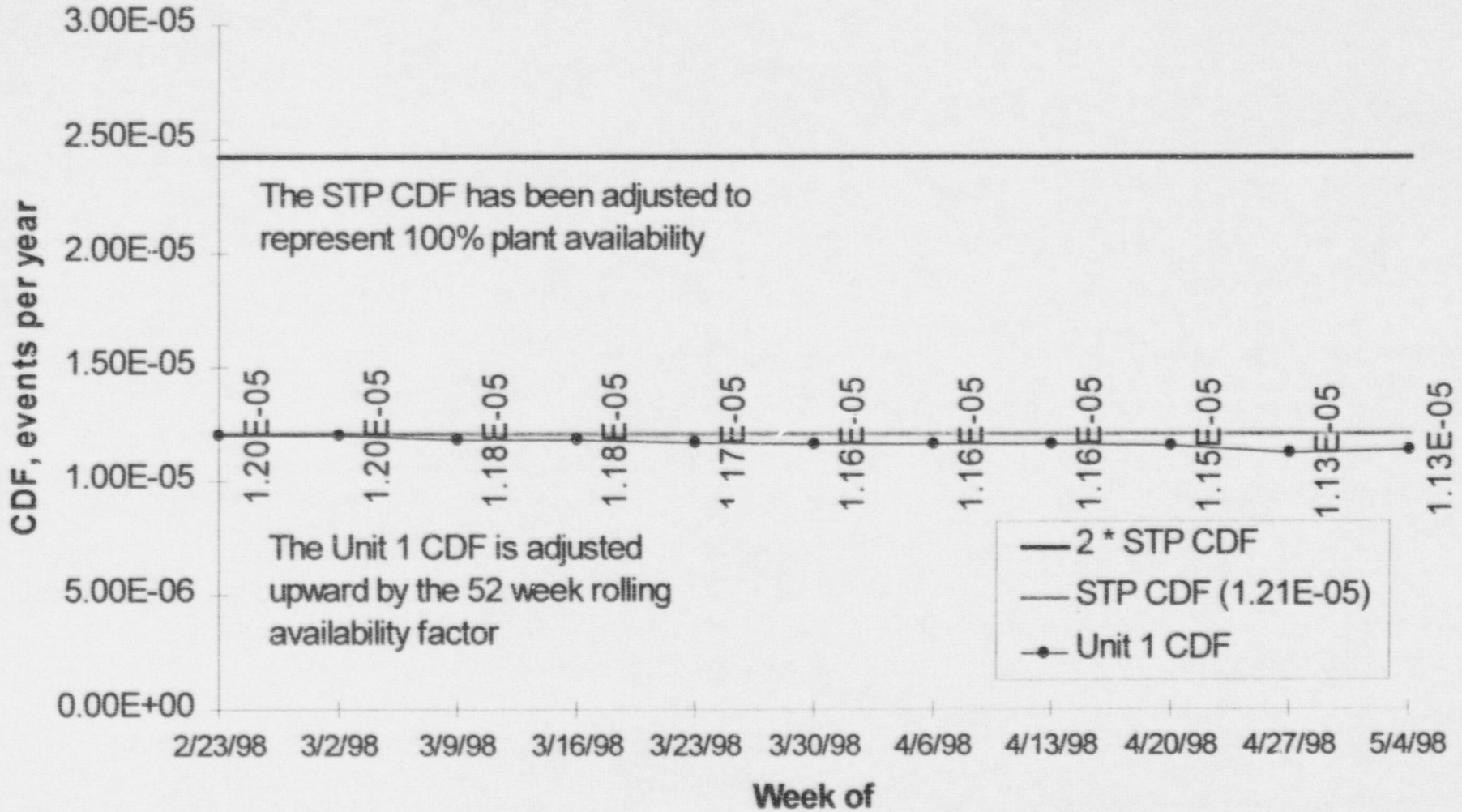


### STP Unit 1 Monthly Risk Due to On-Line Maintenance

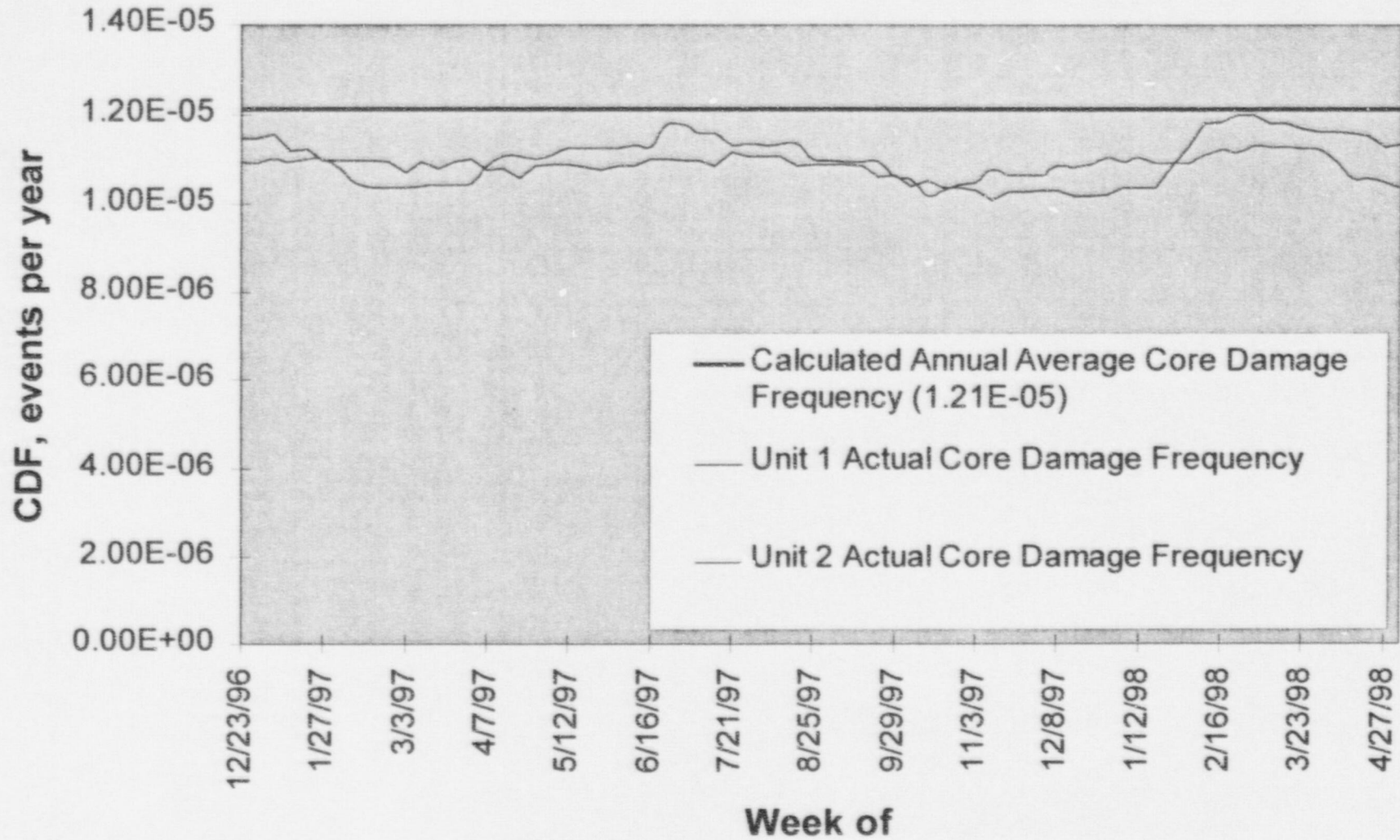
## STP Unit 1 Three Month Average Risk Due to On-Line Maintenance



## Unit 1 52 Week Cumulative CDF STP\_1996 Model



### STP Annual Average Risk Due to On-Line Maintenance



Commissioner Diaz  
suggested that the industry develop  
and use “quantitative risk  
information”.

The STP

**Configuration Risk  
Management Program**  
is fully responsive to this  
challenge.

# STP Use of Extended Allowed Outage Times (EAOTs) for Emergency AC Power, Essential Cooling Water and Essential Chilled Water Systems

- **A Technical Specification change was approved by NRC in late 1996 that extended allowed outage times from 72 hours to 14 days for emergency AC power and 7 days for Essential Cooling Water and Essential Chilled water systems. Outage durations for maintenance on these systems have been less than 5 days**
- **The Technical Specification also adds a requirement for a Configuration Risk Management Program to the administrative section of the specifications.**
- **Permits scheduling of major emergency diesel, essential chiller and essential cooling water system maintenance while at-power**
- **Scheduling these maintenance activities at-power allows them to be conducted when defense-in-depth is maximized**
- **Allows maintenance to be performed by experienced utility crews without requiring contractor staff augmentation**

- **Allows maintenance to be performed with enhanced supervisory and management focus compared to availability of these resources during refueling outages**
- **Risk levels are managed to acceptably low levels while at-power with corresponding reductions to risk while in refueling outages**
- **Refueling outage scope, complexity and duration are reduced by performing these significant maintenance tasks at-power**
- **Time-averaged material condition of the plant is improved with enhanced maintenance scheduling flexibility**
- **Nine EAOTs have been conducted at STP since approval by NRC of this key operational flexibility in 1996**





## GRADED QUALITY ASSURANCE

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**he process by which a risk-based methodology, deterministic and performance-based information analyses are combined to establish appropriate levels of programmatic controls for systems, structures, and components in order to provide necessary assurance that items will operate safely and activities are accomplished as prescribed.**



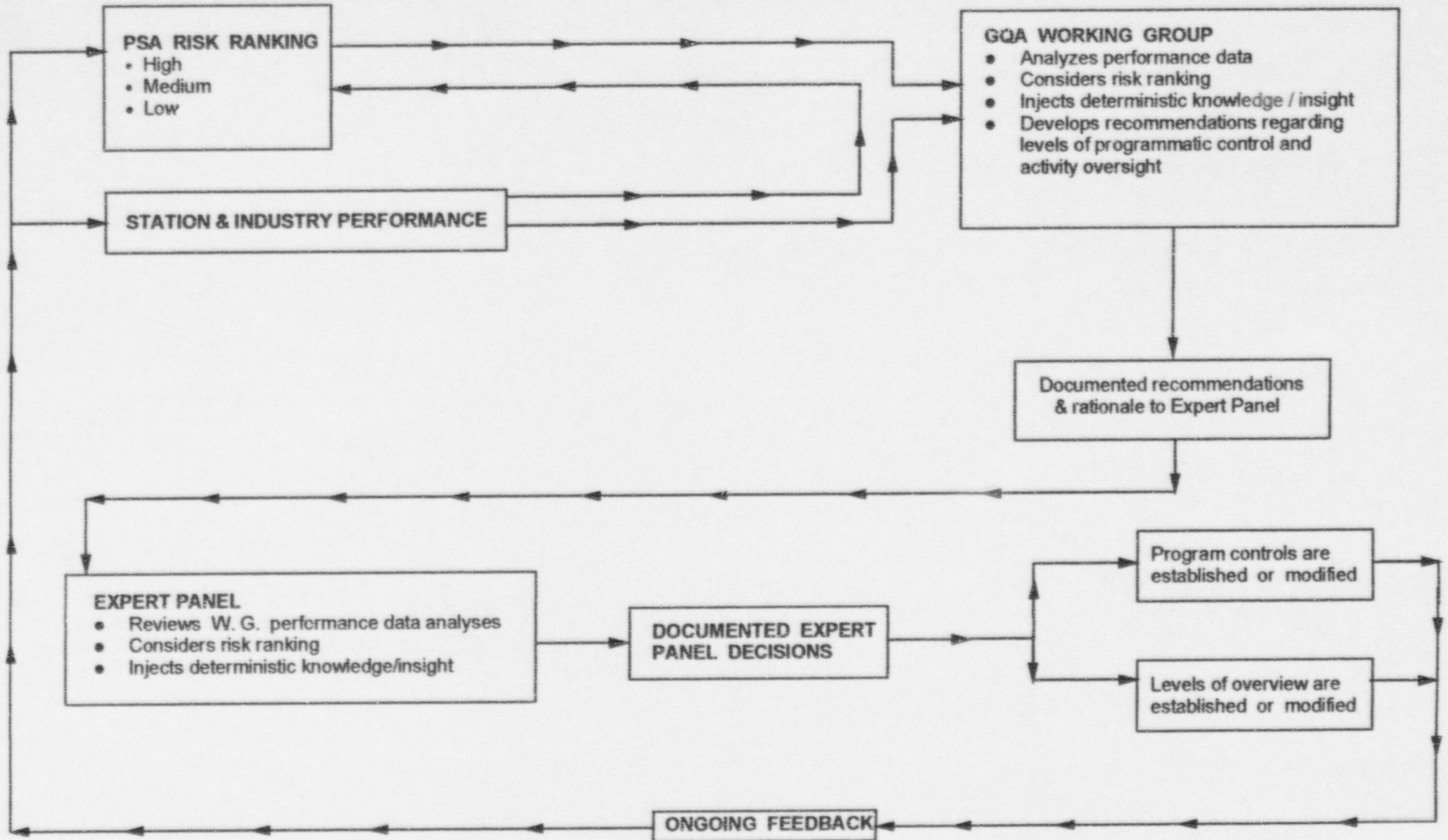
## GQA WORKING GROUP ACTIVITIES

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- ❖ **Purpose** - Evaluate Station commitments and obligations against the relative risk significance of the function/activity.
- ❖ **Technical Approach** - Blending of risk, performance, and deterministic analyses using working groups and Expert Panel
- ❖ **Results** - Component-level Risk Significance Basis Documents are developed and issued for Station use.
- ❖ **Benefits** - Appropriately focus Station resources/processes based on risk significance



# GRADED QUALITY ASSURANCE PROCESS





## ESSENTIAL ELEMENTS OF GQA

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- ✓ **Probabilistic Safety Assessment (PSA)**
- ✓ **Deterministic insight**
- ✓ **GQA Working Group**
- ✓ **CRM Expert Panel**
- ✓ **Continuous Performance Feedback**
- ✓ **Full QA Program**
- ✓ **Targeted QA Program**
- ✓ **Basic QA Program**



## DETERMINISTIC INSIGHTS

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All the knowledge and experience gained/retained related to design bases, Technical Specifications, plant operations, safety analyses, accident analyses, etc. that have no quantification as to likelihood of occurrence.



## **GQA WORKING GROUP MEMBERS**

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- Systems Engineering**
- Design Engineering**
- Risk & Reliability Analysis**
- Maintenance / Work Control**
- Operations**
- Nuclear Licensing**
- Quality Assurance**
- Operating Experience**



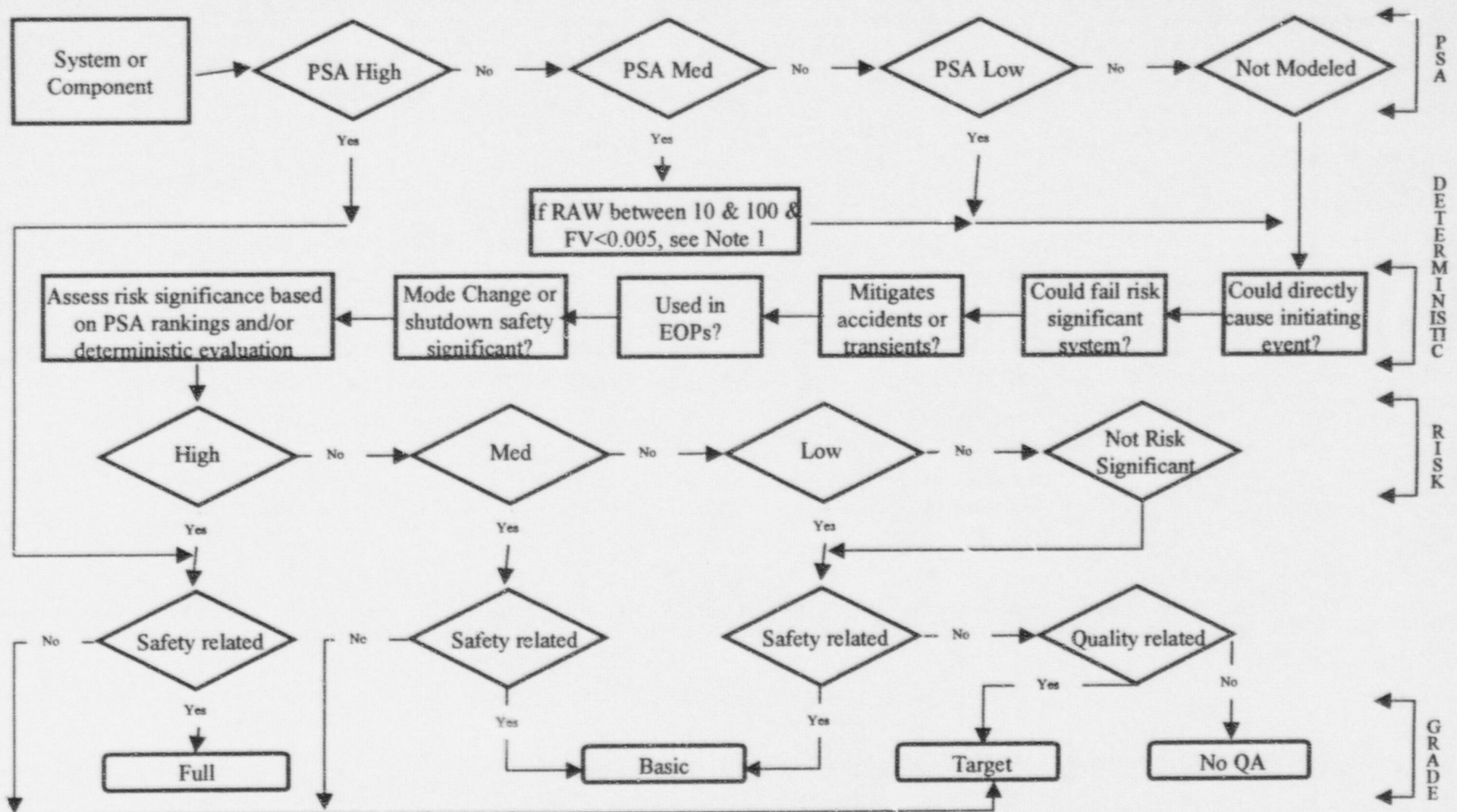
## **GQA WORKING GROUP ACTIVITIES**

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- ★ **ANALYZES PERFORMANCE DATA**
  - Reviews plant/equipment performance history
  - Reviews industry performance history
- ★ **CONSIDERS RISK RANKING**
  - Formal documentation on risk role, as applicable
  - Discussion of PSA assumptions, failure modes, etc.
- ★ **INJECTS DETERMINISTIC KNOWLEDGE / INSIGHT**
  - Design Basis multi-disciplinary involvement
  - Document dissenting opinions
- ★ **DEVELOPS RECOMMENDATIONS REGARDING LEVELS OF PROGRAMMATIC CONTROL AND ACTIVITY OVERSIGHT**
  - Documented in Risk Significance Basis Documents

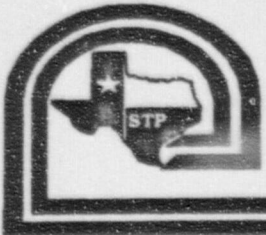


# GQA PROCESS



**Note 1:** SR Components with a Risk Achievement Worth (RAW) between 10 and 100 and a Fussell-Vesely (FV) value < 0.005 are to have Full QA applied to the critical attributes associated with that RAW and/or FV





## EXPERT PANEL REVIEW ACTIVITIES

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### **THE COMPREHENSIVE RISK MANAGEMENT EXPERT PANEL**

- PANEL COMPRISED OF SENIOR-LEVEL MANAGERS**
  
- BLENDS DETERMINISTIC AND PROBABILISTIC INSIGHTS**
  
- INCORPORATES FACTORS OUTSIDE SCOPE OF PSA/DETERMINISTIC ANALYSIS**
  
- CONSIDERS THE USE OF EXPERT SOLICITATION (DELPHI METHODS)**
  
- ASSESSES AGGREGATE AFFECTS OF ALL RISK INFORMED, PERFORMANCE BASED PROGRAMS**



## EXPERT PANEL FUNCTIONS

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- STRUCTURES processes, MAKES decisions in accordance with its responsibilities under its charter, and MAINTAINS cognizance to ensure that its decisions are implemented
  
- COMPENSATES for the limitations of the PSA:
  - Uncertainties caused by model assumptions
  - Common cause or common mode failure rates
  - Treatment of support systems
  - Level of definition of cut sets, cut set truncation
  - Inclusion of repair and restoration of failed equipment
  - Human error rates
  - Limitations in the meaning of the importance measures.
  
- DIRECTS the activities of the Working Groups
  - Information gathering
  - Recommendation development
  
- **ADVOCATES / COMMUNICATES the Comprehensive Risk Management Program Functions to advance STP Personnel, NRC Staff and Public Understanding of and Support for the Comprehensive Risk Management Program.**



## HOW IT IS APPLIED

**Full Program** - applied to high risk/safety significant SSCs and activities - Full program controls are the highest levels of controls and oversight, as prescribed in the OQAP.

**Target Program** - applied to non-safety related SSCs, for which 10 CFR50 Appendix B is not applicable, categorized as "high" or "medium" safety significant/risk importance. Specific program controls consistent with applicable portions of the full and basic program controls are applied to those items in a selected manner, "targeted" at those characteristics or critical attributes that render the SSC significant or important.

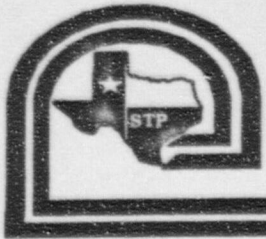
**Basic Program** - applied to SSCs and activities not "high" risk/safety significant or significant for other reasons, yet subject to 10 CFR 50 Appendix B



# UPDATED MASTER EQUIPMENT DATABASE

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SPIN NUMBER: <b>CSAPCH</b>			EE680:
			PARENT TAG:
<h2>EXAMPLE ONLY</h2>			
Total Plant Number System Count: *1			

Quality Grade  
GQA Risk Rank  
PSA Risk Rank



## STP - ACQUISITION AND USE OF PERFORMANCE DATA

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**PURPOSE IS TO MONITOR PERFORMANCE TO ENSURE THAT SYSTEM  
AND COMPONENT PERFORMANCE REMAINS ACCEPTABLE AFTER CHANGES  
MADE THROUGH GRADED QA PROGRAM ARE IMPLEMENTED**

*A*quire data from station and industry sources

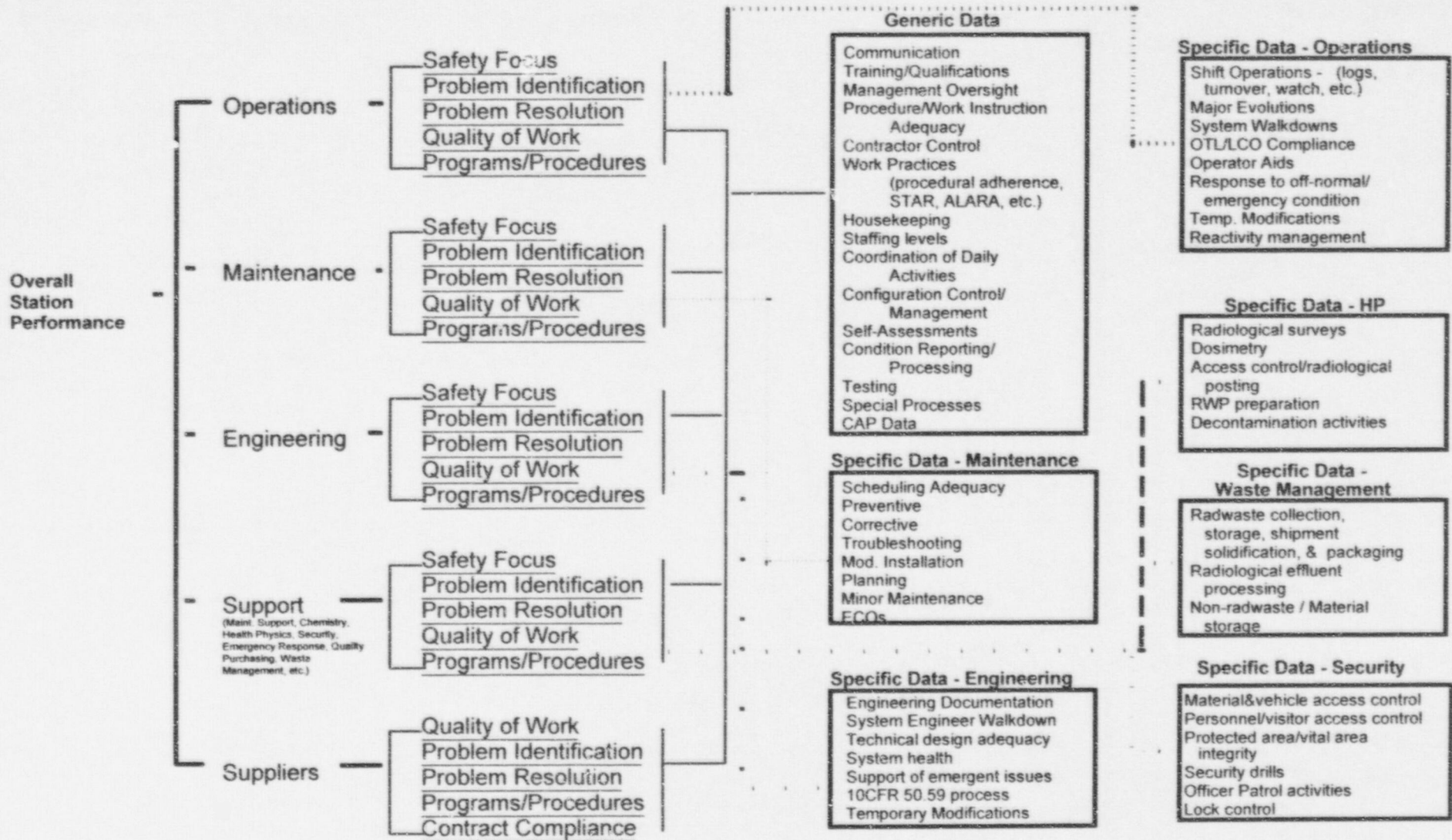
*G*rade data for positive / negative performance

*C*ategorize and analyze data for specific areas and develop  
recommendations

*S*upply recommendations to Expert Panel for final analysis  
and concurrence



# PERFORMANCE DATA CATEGORIZATION





# STANDBY DIESEL GENERATOR SYSTEM

## SBDG AND SUPPORT SYSTEMS - GRADED QA EVALUATION SUMMARY BY SYSTEM

↓ SYS ↓	RISK →	-----SAFETY RELATED-----								QUAL CLASS 7 (LIMITED QA)					NON-QUALITY RELATED-----				ALL				
		FULL-				-----BASIC-----				-----TARGET-----					TARGET-		NO QA-						
		ASME LIMITED-		NON ASME LTD-		ASME LIMITED-		NON ASME LTD-		HIGH	MED	LOW	NRS	TOTAL	HIGH	MED	LOW	NRS		TOTAL	HIGH	MED	LOW
DIESEL GENERATOR		129	12	42	6	60	178	130	557	6	0	0	602	608	0	0	6	19	25	1190			
FUEL OIL		246	0	6	34	0	48	230	564	0	0	0	227	227	0	0	0	257	257	1048			
COMBUSTION AIR INTAKE		0	0	0	0	0	0	36	36	0	0	0	88	88	0	0	0	0	0	124			
DIESEL EXHAUST		0	0	0	0	0	0	0	0	0	0	0	284	284	0	0	0	0	0	284			
JACKET WATER		0	18	47	6	6	87	142	306	0	0	7	121	128	0	0	0	9	9	443			
LUBE OIL		0	12	121	18	18	250	233	652	0	0	0	156	156	0	0	0	36	36	844			
STARTING AIR		12	0	24	12	60	66	389	563	0	0	0	683	683	0	0	0	18	18	1264			
DG BLDG HVAC		0	0	0	0	6	24	102	132	0	0	0	180	180	0	0	0	70	70	382			
DG BUILDING		0	0	0	0	0	24	0	24	0	0	0	0	0	0	0	0	0	0	24			
		387	42	240	76	150	677	1262	2834	6	0	7	2341	2354	0	0	6	408	415	5603			
% OF SR:		13.7%	1.5%	8.5%	2.7%	5.3%	23.9%	44.5%	100.0%														
% OF TOTAL:		6.9%	0.7%	4.3%	1.4%	2.7%	12.1%	22.5%	50.6%	0.1%	0.0%	0.1%	41.8%	42.0%	0.0%	0.0%	0.1%	7.4%	7.4%	100.0%			

- NOTES: 1. ASME LIMITED consists of those non-high risk components identified in MED as ASME class, except for valves <= 1". ASME LIMITED totals are shown because these components would have to be procured as Code and therefore procurement cost savings would be limited even for low risk or non-risk significant components.
2. Condition Report 97-1271 initiated for the six Diesel Generator components (overspeed trip valves) having Quality Class 7S but ranked as high risk.
3. Quality Class 7 consists of 7B (Station Blackout), 7F (Fire Protection), 7P (PAMS Cat 2), 7R (Radwaste), or 7S (Seismic 2/1). All Class 7 SBDGS components are
4. The 246 SR high risk components in the Diesel Fuel Oil system include 240 separately tagged injection pumps (20 per DG) and injection nozzles (20 per DG).



## STP GRADED QUALITY ASSURANCE RESULTS TO DATE

System	Total Components	Full QA	Basic QA	Target QA	No QA
Chemical and Volume Control	3,072	2	1,709	1,112	249
Essential Cooling Water	1,406	48	1,010	300	48
DG and "supporting" DO, DI, DX, JW, LU, SD, HG, XG	3,603	393	2,447	2,348	415
Radiation Monitoring	1,822	0	388	1,113	321
Reactor Coolant System	1,389	302	350	614	123
Electrical Auxiliary Building HVAC	2,280	90	1,173	676	341
<b>Totals</b>	<b>15,572</b>	<b>835</b>	<b>7,077</b>	<b>6,163</b>	<b>1,497</b>
<b>% of Totals</b>		<b>5%</b>	<b>45%</b>	<b>40%</b>	<b>10%</b>





## STP GRADED QUALITY ASSURANCE RESULTS TO DATE

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These results indicate that almost half (45%) of the components in the first six analyzed systems can be treated as “Basic QA”, the minimum QA that can be applied to components previously identified as “safety-related”.

Most of the remainder (50%) will have either no QA or only “targeted” elements of our Full QA program applied to some aspects of their design, procurement, maintenance, inspection or operation as determined by the risk analysis.



## STP GRADED RISK SIGNIFICANCE RESULTS TO DATE

System	Total Components	Safety-Related	Non-Safety-Related	High	Medium	Low	Not Risk Significant
Chemical and Volume Control	3,073	1711	1362	4	178	433	2457
Essential Cooling Water	1,406	1058	348	48	127	199	1032
Diesel Generators	5,603	2840	2763	393	341	493	4376
Radiation Monitoring	1,822	388	1434	0	0	189	1649
Reactor Coolant System	1,389	652	737	294	266	396	433
Electrical Auxiliary Building HVAC	2,280	1263	1017	90	86	1036	1068
<b>Totals</b>	<b>15573</b>	<b>7912</b>	<b>7661</b>	<b>829</b>	<b>998</b>	<b>2746</b>	<b>11000</b>
<b>% of Totals</b>		<b>51%</b>	<b>49%</b>	<b>5%</b>	<b>6%</b>	<b>18%</b>	<b>71%</b>



## STP RISK SIGNIFICANCE RESULTS TO DATE

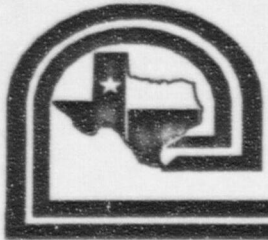
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- IN THE FIRST SIX SYSTEMS ANALYZED, ABOUT HALF OF THE TOTAL NUMBER OF COMPONENTS ARE SAFETY-RELATED

- ONLY 5% ARE HIGHLY RISK SIGNIFICANT

- 71% ARE NOT RISK SIGNIFICANT

- IN ORDER TO BE ABLE TO FULLY FOCUS ON THE RISK SIGNIFICANT COMPONENTS IN THESE SYSTEMS, STP NEEDS TO BE ABLE TO CHANGE THE CLASSIFICATION OF THE COMPONENTS THAT ARE SAFETY-RELATED, BUT NOT RISK SIGNIFICANT, TO NON-SAFETY-RELATED



## STP RISK SIGNIFICANCE RESULTS TO DATE-CONTINUED

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- WE BELIEVE THAT TAKING THESE ACTIONS UNDER 10CFR50.59, AS PRESENTLY CODIFIED, COULD RESULT IN UNREVIEWED SAFETY QUESTIONS FOR MANY OF THESE COMPONENTS
- THE REVISIONS PROPOSED TO 10CFR50.59 IN SECY 98-171 WOULD, WE BELIEVE, MINIMIZE THE POTENTIAL FOR THIS UNDESIRABLE RESULT
- WE SUGGEST, HOWEVER, THAT A SPECIFIC DEFINITION OF “MINIMAL”, CONSISTENT WITH THE DISCUSSIONS IN SECY 98-171, SHOULD BE ADDED TO THE DEFINITIONS IN THE PROPOSED RULE



**SUGGESTED ADDITION TO DEFINITIONS IN THE  
STAFF'S PROPOSED REVISION TO 10CFR50.59 (a)**

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(7) *Less than minimal increase* means that

(a) a new failure mode as likely as existing modes has not been introduced and

(b) a change in the probability of a malfunction of equipment important to safety is so small or the uncertainties in determining whether a change in probability has occurred are such that it cannot be reasonably concluded that the probability has actually changed (i.e., there is no clear trend towards increasing the probability)