

# TRANSMITTAL OF MEETING HANDOUT MATERIALS FOR IMMEDIATE PLACEMENT IN THE PUBLIC DOMAIN

This form is to be filled out (typed or hand printed) by the person who announced the meeting (i.e., the person who issued the meeting notice). The completed form, and the attached copy of meeting handout materials, will be sent to the Document Control Desk on the same day of the meeting; under no circumstances will this be done later than the working day after the meeting.  
**Do not include proprietary materials.**

## DATE OF MEETING

5/2/01

The attached document(s), which was/were handed out in this meeting, is/are to be placed in the public domain as soon as possible. The minutes of the meeting will be issued in the near future. Following are administrative details regarding this meeting:

Docket Number(s)

01-00007-11

Plant/Facility Name

Indian Point 2

TAC Number(s) (if available)

Reference Meeting Notice

01-00007-11, Revision 1

Purpose of Meeting  
(copy from meeting notice)

Annual meeting between the NRC and Con Edison  
to discuss inspection results from recently performed  
TAC's supplemental inspection per the NRC Reactor  
Circumvent Program. This meeting is open to the public  
for observation.

NAME OF PERSON WHO ISSUED MEETING NOTICE

Peter W. Volynsky

TITLE

Chief, Projects Branch 7

OFFICE

Region 1

DIVISION

Division of Public Projects

BRANCH

Projects Branch 7

Distribution of this form and attachments:

Docket File/Central File

PUBLIC

# **PUBLIC EXIT MEETING INDIAN POINT 2 95003 INSPECTION**

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**CORTLANDT TOWN HALL - MARCH 2, 2001**



***U.S. NUCLEAR REGULATORY COMMISSION - REGION I  
KING OF PRUSSIA, PA***

# AGENDA

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- **INTRODUCTION**    *(H.Miller, Regional Administrator)*
- **BACKGROUND**    *(B.Holian, Dep. Director, Div. of Reactor Safety)*
  - **NRC ASSESSMENTS**
  - **REGULATORY APPROACH**
  - **95003 STAFFING & OBJECTIVES**
- **95003 INSPECTION**    *(J.Shackelford, 95003 Team Leader)*
  - **SUMMARY**
  - **INSPECTION RESULTS**
  - **PRELIMINARY REGULATORY CHARACTERIZATIONS**
- **NRC CONTINUED OVERSIGHT**    *(H.Miller)*



# **BACKGROUND**

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## **RECENT PLANT HISTORY**

### **■ PAST PLANT EVENTS**

- ▶ **8/99 PLANT TRIP & LOSS OF OFFSITE POWER**
- ▶ **2/00 STEAM GENERATOR TUBE FAILURE**

### **■ NRC ACTIVITIES**

- ▶ **VARIOUS ASSESSMENTS AND SPECIAL INSPECTIONS SINCE 1996**
- ▶ **MULTIPLE DEGRADED CORNERSTONE DESIGNATION LEADING TO HEIGHTENED MONITORING AND OVERSIGHT**
- ▶ **95003 INSPECTION**



# NRC ACTION MATRIX

	Licensee Response Column		Regulatory Response Column	Degraded Cornerstone Column	Multiple/ Repetitive Degraded Cornerstone Column	Unacceptable Performance Column
RESULTS		All Assessment Inputs (Performance Indicators (PIs) and Inspection Findings) Green; Cornerstone Objectives Fully Met	One or Two White Inputs (in different cornerstones) in a Strategic Performance Area; Cornerstone Objectives Fully Met	One Degraded Cornerstone (2 White Inputs or 1 Yellow Input) or any 3 White Inputs in a Strategic Performance Area; Cornerstone Objectives Met with Minimal Reduction in Safety Margin	Repetitive Degraded Cornerstone, Multiple Degraded Cornerstones, Multiple Yellow Inputs, or 1 Red Input; Cornerstone Objectives Met with Longstanding Issues or Significant Reduction in Safety Margin	Overall Unacceptable Performance; Plants Not Permitted to Operate Within this Band, Unacceptable Margin to Safety
RESPONSE	Regulatory Performance Meeting	None	Branch Chief (BC) or Division Director (DD) Meet with Licensee	DD or Regional Administrator (RA) Meet with Licensee	RA (or EDO) Meet with Senior Licensee Management	Commission meeting with Senior Licensee Management
	Licensee Action	Licensee Corrective Action	Licensee Corrective Action with NRC Oversight	Licensee Self Assessment with NRC Oversight	Licensee Performance Improvement Plan with NRC Oversight	
	NRC Inspection	Risk-Informed Baseline Inspection Program	Baseline and supplemental inspection procedure 95001	Baseline and supplemental inspection procedure 95002	Baseline and supplemental inspection procedure 95003	
	Regulatory Actions	None	Supplemental inspection only	Supplemental inspection only	-10 CFR 2.204 DFI -10 CFR 50.54(f) Letter - CAL/Order	Order to Modify, Suspend, or Revoke Licensed Activities
COMMUNICATION	Assessment Reports	BC or DD review/sign assessment report (w/ inspection plan)	DD review/sign assessment report (w/ inspection plan)	RA review/sign assessment report (w/ inspection plan)	RA review/sign assessment report (w/ inspection plan)  Commission Informed	
	Annual Public Meeting	SRI or BC Meet with Licensee	BC or DD Meet with Licensee	RA (or designee) Discuss Performance with Licensee	EDO (or Commission) Discuss Performance with Senior Licensee Management	Commission Meeting with Senior Licensee Management
	INCREASING SAFETY SIGNIFICANCE ----->					

# NRC ACTION MATRIX

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- **INTEGRATES PERFORMANCE INDICATORS & INSPECTION FINDINGS**
- **DEFINES EXPECTED NRC & LICENSEE ACTIONS**
- **IP2 - MULTIPLE/REPETITIVE DEGRADED CORNERSTONE DESIGNATION**



# **MULTIPLE/REPETITIVE DEGRADED CORNERSTONE DESIGNATION**

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- **RA MEET WITH SENIOR LICENSEE MANAGEMENT**
- **LICENSEE PERFORMANCE IMPROVEMENT PLAN WITH CONTINUED NRC OVERSIGHT**
- **BASELINE & SUPPLEMENTAL INSPECTION 95003**
- **EVALUATE NEED FOR SPECIAL REGULATORY ACTIONS**
- **RA REVIEW & SIGN ASSESSMENT REPORT**
- **EDO (or COMMISSION) DISCUSS PERFORMANCE WITH SENIOR LICENSEE MANAGEMENT**



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# 95003 INSPECTION

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## OBJECTIVES

- **GATHER ADDITIONAL INFORMATION TO DETERMINE IF CONTINUED OPERATION IS ACCEPTABLE AND WHETHER ADDITIONAL REGULATORY ACTIONS ARE NECESSARY**
- **PROVIDE INDEPENDENT ASSESSMENT OF THE EXTENT OF RISK SIGNIFICANT ISSUES AND DETERMINE IF UNACCEPTABLE MARGIN OF SAFETY EXISTS**
- **ASSESS ADEQUACY OF PROGRAMS & PROCESSES USED IN PROBLEM IDENTIFICATION & RESOLUTION**
- **EVALUATE ADEQUACY OF PROGRAMS & PROCESSES IN REACTOR SAFETY STRATEGIC PERFORMANCE AREA**
- **INSIGHTS INTO THE OVERALL ROOT AND CONTRIBUTING CAUSES OF IDENTIFIED PERFORMANCE DEFICIENCIES**



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## KEY ATTRIBUTES

- FOR MULTIPLE/REPETITIVE DEGRADED CORNERSTONE PLANT
- CONTAINS A DIAGNOSTIC ELEMENT
- STRESSES "INDEPENDENT" ASSESSMENT BY NRC
- REQUIRES SAMPLING OF KEY ATTRIBUTES OF AFFECTED STRATEGIC PERFORMANCE AREAS
- INCORPORATES DETAILED REVIEW OF SELECTED SYSTEMS
- INCLUDES ASSESSMENT OF PROBLEM IDENTIFICATION AND RESOLUTION PROGRAM



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# 95003 INSPECTION

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## STAFFING

- LED BY BRANCH CHIEF FROM REGION IV
- 14 INSPECTORS
  - OVER 3 WEEKS OF PREPARATION
  - 3 WEEKS OF ON-SITE INSPECTION
  - 2 WEEKS OF ASSESSMENT AND DOCUMENTATION
- TEAM MAKEUP: HEADQUARTERS, REGION I, REGION II, REGION IV, & INDEPENDENT CONTRACTORS
- OVER 250 YEARS OF NUCLEAR EXPERIENCE
- DISCIPLINES INCLUDED ENGINEERING, OPERATIONS, EMERGENCY PREPAREDNESS, HUMAN FACTORS
- INDEPENDENT CHEMISTRY SAMPLING EFFORT



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# REGULATORY APPROACH

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- **MAINTENANCE OF STRONG SAFETY MARGINS**
- **DEFENSE-IN-DEPTH CONCEPT**
  - **CONSERVATIVE REGULATIONS**
  - **MULTIPLE BARRIERS**
  - **REDUNDANT EQUIPMENT**
- **EMPHASIS ON LICENSEE CORRECTIVE ACTION PROGRAMS**
  - **PROBLEM IDENTIFICATION**
  - **PROBLEM EVALUATION**
  - **TIMELY CORRECTIVE ACTION**
- **TECHNICAL SPECIFICATIONS**
  - **OPERABILITY OF EQUIPMENT**
  - **STIPULATE CONDITIONS OF SAFE OPERATION**



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# 95003 INSPECTION RESULTS

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- **OVERALL ASSESSMENT OF OPERATIONS AND SAFETY MARGIN**
- **ASSESSMENT OF PROGRAMS AND PROCESSES IN THE REACTOR SAFETY STRATEGIC PERFORMANCE AREA**
- **ASSESSMENT OF PROBLEM IDENTIFICATION AND RESOLUTION PROGRAM**
- **ASSESSMENT AND INSIGHTS INTO ROOT AND CONTRIBUTING CAUSES**
- **PRELIMINARY REGULATORY CHARACTERIZATIONS**



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# OVERALL ASSESSMENT OF OPERATIONS AND SAFETY MARGIN

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- INDIAN POINT 2 IS BEING OPERATED SAFELY AND AN ACCEPTABLE MARGIN OF SAFETY EXISTS
- AS PREVIOUSLY IDENTIFIED, WEAKNESSES EXIST IN STATION PROGRAMS AND PROCESSES INDICATING THE NEED FOR A CONTINUED IMPROVEMENT PROGRAM
- IMPROVED MANAGEMENT AWARENESS OF SITE PROBLEMS AND OVERALL MANAGEMENT ALIGNMENT AND BUSINESS PLAN RECOGNITION OF STATION GOALS
- SOME PROGRESS HAS BEEN OBSERVED IN IMPROVING PREVIOUSLY IDENTIFIED PERFORMANCE PROBLEMS; HOWEVER, PROGRESS HAS BEEN SLOW, OVERALL, AND LIMITED IN SOME AREAS



## **ASSESSMENT OF PROGRAMS AND PROCESSES IN THE REACTOR SAFETY STRATEGIC PERFORMANCE AREA**

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- **OVERALL PERFORMANCE IN THE REACTOR SAFETY STRATEGIC PERFORMANCE AREA IS ACCEPTABLE**
- **PERFORMANCE AND PROGRAM ISSUES IDENTIFIED IN DESIGN CONTROL, EQUIPMENT AND HUMAN PERFORMANCE, AND EMERGENCY PREPAREDNESS**
- **DESIGN CONTROL ISSUES**
  - **DEFICIENCIES IN TRANSLATION OF DESIGN ASSUMPTIONS**
  - **TESTING PROGRAM ISSUES**
  - **DIFFICULTIES IN RETRIEVAL OF DESIGN BASIS INFORMATION (SLOW PROGRESS ON LONGSTANDING ISSUE)**
  - **INCONSISTENCIES IN TECHNICAL REVIEW OF PROBLEMS**
- **THE SERVICE WATER AND 480Vac/EDG SYSTEMS ARE CAPABLE OF PERFORMING THEIR SAFETY FUNCTIONS**



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# **ASSESSMENT OF PROGRAMS AND PROCESSES IN THE REACTOR SAFETY STRATEGIC PERFORMANCE AREA (continued)**

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## **■ EQUIPMENT PERFORMANCE**

- PERFORMANCE, RELIABILITY, AND MATERIAL CONDITION ACCEPTABLE FOR THE SYSTEMS REVIEWED**
- PLANT EQUIPMENT PROBLEMS CONTINUE TO PRESENT CHALLENGES**
- BACKLOG OF CORRECTIVE AND PREVENTIVE MAINTENANCE WORK CONTINUES TO POSE A SIGNIFICANT CHALLENGE TO THE STATION**

## **■ HUMAN PERFORMANCE**

- STEPS HAVE BEEN TAKEN TO ADDRESS HUMAN PERFORMANCE ISSUES**
- LICENSED OPERATOR RESOURCE CHALLENGES**
- OPERATOR PERFORMANCE ISSUES CONTRIBUTED TO RECENT EVENTS**
- PROCEDURAL ADHERENCE INCONSISTENCIES**
- MANAGEMENT STANDARDS & EXPECTATIONS INCONSISTENCIES**



# **ASSESSMENT OF PROGRAMS AND PROCESSES IN THE REACTOR SAFETY STRATEGIC PERFORMANCE AREA (continued)**

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## **■ EMERGENCY PREPAREDNESS**

- PROGRAM ADEQUATE AND IMPROVEMENT NOTED**
- TRAINING AND REMEDIATION OF PREVIOUSLY IDENTIFIED PERFORMANCE PROBLEMS NOT FULLY EFFECTIVE**
- IMPLEMENTATION OF THE EMERGENCY PLAN**
- LACK OF SPECIFICITY IN SOME TRAINING PROCEDURES AND EMERGENCY PLAN AND IMPLEMENTATION PROCEDURE CLARITY ISSUES**
- CONTINUING SITE PUBLIC ADDRESS SYSTEM WEAKNESSES**

## **■ OVERALL PERFORMANCE IN THE REACTOR SAFETY STRATEGIC AREA: ADEQUATE WITH AN ACCEPTABLE MARGIN OF SAFETY**



# ASSESSMENT OF PROBLEM IDENTIFICATION AND RESOLUTION PROGRAM

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- **SOME IMPROVEMENT NOTED**
  - **IMPROVED CORRECTIVE ACTION PROGRAM METRICS AND PERFORMANCE IN PROBLEM IDENTIFICATION**
- **SEVERAL EXAMPLES OF CONTINUING PROBLEMS EXIST**
  - **CORRECTIVE ACTION EFFECTIVENESS REVIEWS WERE OF MIXED QUALITY**
  - **TIMELINESS AND PRIORITIZATION OF IMPLEMENTING CORRECTIVE ACTIONS REMAINS A CHALLENGE**
  - **LIMITED TRENDING OF CAUSAL FACTORS**
  - **LARGE BACKLOG AND WEAKNESSES IN WORK PLANNING/CONTROL PROCESSES CHALLENGE THE STATION**
  - **WEAKNESSES IN THE OPERATING EXPERIENCE REVIEW PROGRAM**
- **STATION RECOGNITION OF CONTINUED NEED FOR IMPROVEMENT**



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## **ASSESSMENT AND INSIGHTS INTO ROOT AND CONTRIBUTING CAUSES**

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- **INCONSISTENT REINFORCEMENT OF MANAGEMENT STANDARDS AND EXPECTATIONS FOR STAFF PERFORMANCE**
  - **PROCEDURAL QUALITY AND ADHERENCE ISSUES**
  - **CORRECTIVE ACTION PROGRAM IMPLEMENTATION**
- **WEAKNESSES IN PROGRAMS AND PROCESSES TO RETRIEVE, VERIFY AND ASSURE QUALITY OF ENGINEERING PRODUCTS**
- **TENDENCY TO ACCEPT DEGRADED CONDITIONS**
- **STAFF AND TRAINING RESOURCES**
- **THE TEAM NOTED MANAGEMENT RECOGNITION OF THE UNDERLYING CAUSES AND AN ALIGNMENT WITH RESPECT TO THE STATION BUSINESS PLAN FOR CONTINUED IMPROVEMENT**



# REACTOR OVERSIGHT PROGRAM

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- INITIAL YEAR OF IMPLEMENTATION

- INSPECTION FINDINGS

- RED
- YELLOW
- WHITE
- GREEN

- SAFETY SIGNIFICANCE

HIGH  
SUBSTANTIAL  
LOW TO MODERATE  
VERY LOW

- PERFORMANCE INDICATORS SIMILARLY COLOR CODED

- VIOLATIONS

- |             |  |
|-------------|--|
| ▸ CITED     | - RESPONSE REQUIRED  |
| ▸ NON-CITED | - COMPLIANCE RESTORED; PLACED IN CORRECTIVE ACTION PROGRAM |

- MINOR VIOLATIONS AND OBSERVATIONS



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## **PRELIMINARY REGULATORY CHARACTERIZATIONS**

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### **■ POTENTIAL NON-CITED VIOLATIONS (OF VERY LOW SAFETY SIGNIFICANCE) WITH MULTIPLE EXAMPLES WERE IDENTIFIED WITH RESPECT TO THE FOLLOWING REGULATORY REQUIREMENTS:**

#### **▸ DESIGN**

- 10 CFR 50, APPENDIX B**
  - CRITERION III DESIGN CONTROL
  - CRITERION V INSTRUCTIONS, PROCEDURES, AND DRAWINGS
  - CRITERION XI TEST CONTROL

#### **▸ PROBLEM IDENTIFICATION AND RESOLUTION**

- 10 CFR 50, APPENDIX B**
  - CRITERION XVI CORRECTIVE ACTION

#### **▸ PROCEDURE USAGE**

- TECHNICAL SPECIFICATION 6.8.1**

#### **▸ EQUIPMENT PERFORMANCE**

- 10 CFR 50.65, MAINTENANCE RULE**

#### **▸ EMERGENCY PREPAREDNESS**

- 10 CFR 50, APPENDIX E**
- 10 CFR 50.47, EMERGENCY PLANS**
- 10 CFR 50.54, CONDITIONS OF LICENSES**

### **■ MINOR VIOLATIONS, WEAKNESSES, AND OBSERVATIONS**



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# NRC CONTINUED OVERSIGHT

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- ONGOING MANAGEMENT REVIEW AND ASSESSMENT OF 95003 FINDINGS
- CONTINUED HEIGHTENED OVERSIGHT OF PERFORMANCE IMPROVEMENT PLAN, TO INCLUDE:
  - BASELINE INSPECTION
  - SUPPLEMENTAL INSPECTION (IN AREAS OF WEAKNESS)
  - MANAGEMENT MEETINGS TO TRACK PROGRESS
  - NRC INSPECTION OF 6/01 EMERGENCY PREPAREDNESS EXERCISE
- UPCOMING NRC DOCUMENTATION
  - ROUTINE RESIDENT INSPECTOR INSPECTION REPORTS
  - 95003 INSPECTION REPORT
  - FIRE PROTECTION INSPECTION REPORT
  - END-OF-CYCLE ASSESSMENT LETTER
- LICENSEE MEET WITH EDO (OR COMMISSION)



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