

ROCHESTER GAS AND ELECTRIC CORPORATION

R. E. GINNA

NUCLEAR POWER PLANT UNIT NO. 1

Revision 10 to:

Quality Assurance Program For
Station Operation

DOCKET NO. 50-244

June 1985

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PDR ADDCK 05000244
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Introduction

In a May 28, 1974 letter from Mr. Robert A. Purple, the United States Atomic Energy Commission asked several questions on the R. E. Ginna Quality Assurance Program for Station Operation. The information requested and further clarification of the program are provided in Supplement IV to the Technical Supplement accompanying Application for a Full-Term Operating License. Supplement IV is a revised description of the R.E. Ginna Quality Assurance Program for Station Operation and supersedes Supplement II in its entirety. The following revisions have been made to the description of the program:

Section IV.2

Additions

That all Quality Assurance, Quality Control, Engineering, and Purchasing procedures are reviewed for adequacy at least once every two years.

That the list of structures, systems, and components covered by the quality assurance program are based on the list in Section 1.2.1 of the FSAR.

The management review of the quality assurance program may be in a form other than an audit.

That the Nuclear Safety Audit and Review Board is required to review the status and adequacy of the quality assurance program at least once every two years.

That the Chairman of the Nuclear Safety Audit and Review Board reports to the Chairman of the Board of Rochester Gas and Electric Corporation on NSARB activities.

Section IV.3

Additions

That spare or replacement parts meet, at least, the requirements of the original design.

1. The first part of the document discusses the importance of maintaining accurate records of all transactions and activities. It emphasizes the need for transparency and accountability in all financial dealings.

2. The second part of the document outlines the various methods and techniques used to collect and analyze data. It includes a detailed description of the sampling process and the statistical methods employed to interpret the results.

3. The third part of the document presents the findings of the study. It includes a series of tables and graphs that illustrate the distribution of the data and the results of the statistical analysis.

4. The fourth part of the document discusses the implications of the findings and provides recommendations for future research. It highlights the need for further investigation into the factors that influence the results and suggests ways to improve the accuracy and reliability of the data.

5. The fifth part of the document provides a summary of the key points and conclusions of the study. It reiterates the importance of maintaining accurate records and the need for transparency and accountability in all financial dealings.

That for plant modification, the design engineer selects and reviews materials, parts, and equipment for suitability of application.

That design deficiencies are documented and controlled in accordance with Section IV.16.

That design documents are collected, stored, and maintained in accordance with Section II.17 and a listing of which design documents are maintained.

Clarification

Clarified which design documents are reviewed by Quality Assurance.

Section IV.4

Additions

That procurement documents for spare or replacement parts are processed in the same manner as other procurement documents.

That the review and approval of procurement documents is reflected on the document or on a control form which is attached to the procurement document.

That the documents are available for verification in Purchasing and plant records.

That Quality Control reviews procurement documents for spare and replacement parts for similarity to the original requirements, and adequacy of quality requirements.

Section IV.5

Clarification

Clarifies which documents are reviewed by Quality Assurance.

Section IV.6

Addition

Made procurement document review requirements consistent with Section IV.4.

1. The first part of the document discusses the importance of maintaining accurate records of all transactions. It emphasizes that proper record-keeping is essential for the company's financial health and for providing reliable information to stakeholders.

2. The second part of the document outlines the specific procedures for recording transactions. It details the steps involved in the accounting process, from identifying the transaction to posting it to the appropriate ledger accounts.

3. The third part of the document discusses the importance of reconciling the company's records with the bank statements. It explains how regular reconciliations help to identify and correct errors, ensuring that the company's records are accurate and up-to-date.

4. The fourth part of the document discusses the importance of maintaining proper documentation for all transactions. It explains that all transactions should be supported by valid evidence, such as invoices, receipts, and contracts, to ensure the integrity of the accounting records.

5. The fifth part of the document discusses the importance of reviewing the company's financial statements regularly. It explains that regular reviews help to identify trends, assess performance, and make informed decisions about the company's future.

6. The sixth part of the document discusses the importance of maintaining proper internal controls. It explains that internal controls are designed to prevent and detect errors and fraud, ensuring the accuracy and reliability of the company's financial information.

7. The seventh part of the document discusses the importance of maintaining proper communication between the accounting department and other departments. It explains that effective communication is essential for ensuring that all transactions are properly recorded and that the company's financial information is accurate.

8. The eighth part of the document discusses the importance of maintaining proper security for the company's financial records. It explains that financial records are sensitive information and should be protected from unauthorized access and theft.

9. The ninth part of the document discusses the importance of maintaining proper backup procedures for the company's financial records. It explains that regular backups are essential for protecting the company's data in case of a disaster or system failure.

10. The tenth part of the document discusses the importance of maintaining proper training for the accounting staff. It explains that ongoing training is essential for ensuring that the accounting staff is up-to-date on the latest accounting practices and technologies.

11. The eleventh part of the document discusses the importance of maintaining proper communication with external auditors. It explains that external auditors play a critical role in verifying the accuracy of the company's financial statements, and effective communication is essential for this process.

That suppliers of materials, equipment, and services are required by procurement documents to provide control of manufacturing inspection and testing instructions.

Section IV.9

Additions

Made procurement document review requirements consistent with Section IV.4.

Added Quality Control responsibilities for surveillance and inspection of special process activities.

Section IV.10

Additions

That all documentation necessary to perform an inspection is available to the inspector prior to the performance of the activity.

That Quality Control inspection procedures include the identification of quality characteristics to be inspected and a description of the method of inspection to be used, the identification of the organization responsible for performing the inspection, the acceptance and rejection criteria, the requirements for the recording of inspection results, and the requirements for providing evidence of completion and certification of the inspection activity.

That inspection equipment is calibrated in accordance with Section IV.12 and that calibration status is verified prior to performing the inspection activity.

Section IV.11

Addition

That test procedures include test methods and test instrumentation definition.

1. The first part of the document is a list of names and addresses of the members of the committee.

2. The second part of the document is a list of names and addresses of the members of the committee.

3. The third part of the document is a list of names and addresses of the members of the committee.

4. The fourth part of the document is a list of names and addresses of the members of the committee.

5. The fifth part of the document is a list of names and addresses of the members of the committee.

6. The sixth part of the document is a list of names and addresses of the members of the committee.

7. The seventh part of the document is a list of names and addresses of the members of the committee.

8. The eighth part of the document is a list of names and addresses of the members of the committee.

9. The ninth part of the document is a list of names and addresses of the members of the committee.

Section IV.12

Addition

That shop standards calibration is traceable to national standards or, where national standards are not available, the basis of calibration is documented.

Section IV.14

Addition

That written procedures control the use of hold tags, test tags and labels and that the procedures require the recording of the name of the person placing and removing the tag.

Section IV.15

Addition

That Quality Control issues monthly material deficiency report summaries, that these summaries are reviewed and analyzed by Quality Assurance, and that when unsatisfactory trend are noted, they are reported to management, using the corrective action report in accordance with Section IV.16.

Section IV.17

Additions

That plant records include operating logs, drawings, specifications, calibration procedures and reports, nonconformance reports, and the results of inspections, tests, audits and the monitoring of plant activities and material analyses.

That quality assurance records of special process activities are maintained by Engineering and that they include the qualification records of personnel, procedures, and equipment.

That inspection and test records contain a description of the type of test or inspection activity, evidence of completion of the activity, results, the name of the inspector or data recorder, the acceptance or rejection of the activity, and a record of any nonconformances.

1. The first part of the report is a general introduction to the subject of the study. It discusses the importance of the study and the objectives of the research.

2. The second part of the report is a detailed description of the methodology used in the study. It includes information about the sample size, the data collection methods, and the statistical analysis techniques.

3. The third part of the report is a discussion of the results of the study. It presents the findings of the research and compares them with the previous studies in the field.

4. The fourth part of the report is a conclusion and a list of references. The conclusion summarizes the main findings of the study and provides recommendations for future research. The references list the sources of information used in the study.

5. The fifth part of the report is an appendix containing additional information related to the study. This may include raw data, detailed calculations, or other supporting materials.

6. The sixth part of the report is a final summary of the study. It provides a brief overview of the entire report and highlights the key findings.

Section IV.18

Addition

That Quality Assurance is responsible for conducting the audits listed in Table IV.18-1.

In July 1974, the United States Atomic Energy Commission requested information on the conformance of the R. E. Ginna Quality Assurance Program for Station Operating to the document entitled "Guidance of Quality Assurance Requirements During the Operations Phase of Nuclear Power Plants", Revision 0 dated October 1973 (Orange Book - Revision 0). The information requested is provided in Revision 1 to Supplement IV to the Technical Supplement accompanying Application for a Full-Term Operating License. The following changes have been made to Supplement IV:

Section IV.1

Additions

A description of the extent to which the quality assurance program conforms to the document entitled "Guidance on Quality Assurance Requirements During The Operations Phase of Nuclear Power Plants", Revision 0 dated October 1973 (Orange Book - Revision 0).

On October 1, 1974, Rochester Gas and Electric Corporation revised its corporate structure. This organization change has not affected the functional interrelationships between the organizations responsible for implementing the quality assurance program. In addition, the RG&E commitment to the "Orange Book" in August has necessitated some shifting of responsibilities. The changes RG&E has made are reflected in Revision 2 to Supplement IV to the Technical Supplement accompanying Application for a Full Term Operating License. The changes affect every section of the supplement except sections 12 & 14. Change pages are listed in Instructions - 2 and each revised page is marked with revision level. In addition, the latest revision is marked with a vertical line in the left hand margin of each page. The revision level is noted by an arabic numeral next to each vertical line.

1. The first part of the document discusses the importance of maintaining accurate records of all transactions. It emphasizes that proper record-keeping is essential for the integrity of the financial system and for the ability to detect and prevent fraud.

2. The second part of the document outlines the specific procedures for recording transactions. It details the steps involved in the accounting cycle, from identifying the transaction to posting it to the appropriate ledger account.

3. The third part of the document discusses the role of internal controls in ensuring the accuracy of financial records. It describes various control measures, such as segregation of duties and independent verification, that are designed to minimize the risk of errors and fraud.

4. The fourth part of the document addresses the importance of regular audits in the financial reporting process. It explains how audits provide an independent assessment of the reliability of the financial statements and help to identify areas for improvement.

5. The fifth part of the document discusses the impact of technology on financial reporting. It highlights the benefits of using accounting software and other digital tools to streamline the reporting process and improve the accuracy of the data.

6. The sixth part of the document discusses the importance of transparency and disclosure in financial reporting. It emphasizes that providing clear and complete information to stakeholders is essential for building trust and ensuring the long-term success of the organization.

7. The seventh part of the document discusses the role of the accounting profession in maintaining the integrity of the financial system. It highlights the importance of adhering to professional standards and ethics, and of providing high-quality service to clients.

8. The eighth part of the document discusses the impact of globalization on financial reporting. It highlights the challenges of dealing with different accounting standards and currencies, and the need for international cooperation to ensure the consistency and reliability of financial data.

9. The ninth part of the document discusses the importance of ongoing education and training for accountants. It emphasizes that the accounting profession is constantly evolving, and that accountants must stay up-to-date on the latest developments in the field.

10. The tenth part of the document discusses the future of financial reporting. It highlights the potential of new technologies, such as blockchain and artificial intelligence, to revolutionize the way financial data is collected, processed, and reported.

Tables and figures which have been completely revised are shown by revision level at the bottom of the page and by reference in the index, page IV-vii. Unrevised pages with a vertical solid black line in the margin reflect changes to the document between Supplement II and Supplement IV. Some editorial corrections have been made, and these are also marked.

Effective February 1, 1976, three additional organizations in the Rochester Gas and Electric Corporation have been assigned responsibilities for control of quality related activities. The changes are reflected in Revision 3 to Supplement IV to the Technical Supplement Accompanying Application for a Full Term Operating License. Revision 3 also reflects some reclarification of terms and responsibilities which do not lessen our program commitments. Reclarification changes are concentrated in sections IV-3, IV-4, IV-5, IV-6 and IV-15. Change pages are listed in Instructions-3 and each revised page is marked with revision level. In addition, the latest revision is marked with a vertical line in the left hand margin of each page. The revision level is noted by an arabic numeral next to each vertical line.

Tables and figures which have been completely revised are shown by revision level at the bottom of the page and by reference in the index, page IV-vii. Unrevised pages with a vertical solid black line in the margin reflect changes to the document between Supplement II and Supplement IV.

During July, 1978, Rochester Gas and Electric Corporation revised its corporate structure. This organization change has not affected the functional interrelationships between the organizations responsible for implementing the quality assurance program. Revision 4 also reflects some reclarification of terms and responsibilities which do not lessen Rochester Gas and Electric Corporation program commitments. Reclarification changes are concentrated in sections IV-1, IV-2, IV-3, IV-7, IV-10 and IV-15. Change pages are listed in Instructions-4 and each revised page is marked with revision level. Since single spacing of each page has reduced the number of pages, each page beginning with IV-1 is numbered consecutively resulting in the Revision 4 notation at the bottom for that page containing different information than the corresponding page number of previous revisions.

Tables and figures which have been completely revised are shown by revision level at the bottom of the page and by reference in the index, page IV-vii.

In a February 8, 1979 letter from Mr. Dennis L. Ziemann, the Nuclear Regulatory Commission requested additional information associated with their review of Revision 4. Revision 5 provides the additional information and better clarification of the program consistent with that which was forwarded in Rochester Gas and Electric letter dated March 9, 1979. Change pages are listed in Instructions - 5, and each revised page is marked with a revision level. In addition, the latest revision is marked with a vertical line in the left hand margin of each page. The revision level is noted by an arabic numeral next to each vertical line. Tables which have been revised are shown by revision level at the bottom of the page.

In a June 5, 1979 letter from Mr. Dennis L. Ziemann, the Nuclear Regulatory Commission requested additional information associated with their review of Revision 5. Revision 6 provides the additional information consistent with that which was forwarded in Rochester Gas and Electric letter dated June 25, 1979. Change pages are listed in Instruction - 6, and each revised page is marked with a revision level. In addition, the latest revision is marked with a vertical line in the left hand margin of each page. The revision level is noted by arabic numeral next to each vertical line.

Revision 7 was prepared to indicate recent organization changes in the corporate structure, Quality Assurance and General Maintenance. Change pages are listed in Instructions - 7, and each revised page is marked with a revision level. In addition, the latest revision is marked with a vertical line in the left hand margin of each page. The revision level is noted by an arabic numeral next to each vertical line.

Nuclear Regulatory Commission Generic Letter 81-01 issued May 4, 1981 requested that the quality assurance program commit to USNRC Regulatory Guides 1.146 and regulatory positions C.5, 6, 7, 8 and 10 of Regulatory Guide 1.58 Revision 1. Revision 8 incorporates those commitments. This revision also describes a change in responsibility for procurement of nuclear fuel from the Director, Strategic and Fuel Planning to the Engineering Department and provides updated organizational charts for those previously provided. In addition, the latest revision is marked by a vertical line in the left hand margin of each page. The revision level is noted by an arabic numeral next to each vertical line.

| Revision 9 incorporates recent changes in the corporate structure. Prefix IV is also being deleted from each page to recognize that Technical Supplement Accompanying Application For A Full Term Operating License is being superseded during 1984. In addition, commencing with this revision only the latest revision will be indicated by a vertical line in the left hand margin of each page.

Revision 10
June 1985

Revision 10 incorporates recent changes in the corporate structure and Engineering Organization depicted in Figures 2-1 and 2-5 respectively. A clarification to Figure 2-3 has also been made.

Revision 10
June 1985

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TABLE OF CONTENTS

<u>Section</u>	<u>Title</u>	<u>Page</u>
	QUALITY ASSURANCE PROGRAM FOR STATION OPERATION	
1.	Quality Assurance Program	1
2.	Organization	4
3.	Design Control	8
4.	Procurement Document Control	10
5.	Instructions, Procedures and Drawings	12
6.	Document Control	13
7.	Control of Purchased Material, Equipment and Services	15
8.	Identification and Control of Materials, Parts and Components	19
9.	Control of Special Processes	20
10.	Inspection	20
11.	Test Control	22
12.	Control of Measuring and Test Equipment	23
13.	Handling, Storage and Shipping	24
14.	Inspection, Test and Operating Status	25
15.	Nonconforming Materials, Parts and Components	26
16.	Corrective Action	27
17.	Quality Assurance Records	28
18.	Audits	29

LIST OF TABLES

<u>Table Number</u>	<u>Title</u>	<u>Page</u>
1-1	Quality Assurance Program Procedures Subject Listing	32
4-1	Procurement Document Requirements	42
18-1	Audit List	43

LIST OF FIGURES

<u>Figure Number</u>	<u>Title</u>	<u>Page</u>
2-1	Management Organization	45
2-2	Deleted	46
2-3	Ginna Station Organization	47
2-4	General Maintenance Organization	48
2-5	Engineering Department Organization	49
2-6	Review and Audit Functions	50

THE
FEDERAL BUREAU OF INVESTIGATION
UNITED STATES DEPARTMENT OF JUSTICE
WASHINGTON, D. C. 20535

QUALITY ASSURANCE PROGRAM FOR STATION OPERATION

1. Quality Assurance Program

The quality assurance program described in this Supplement has been developed by the Rochester Gas and Electric Corporation to assure safe and reliable operation of the R. E. Ginna Nuclear Power Plant. This program applies to all activities affecting the safety related functions of the structures, systems, and components that prevent or mitigate the consequences of postulated accidents that could cause undue risk to the health and safety of the public. These quality affecting activities include operation, maintenance, repair, inservice inspection, refueling, modification, test and inspection. In addition, the quality assurance program applies to the activities associated with the packaging of licensed radioactive materials to be shipped in accordance with 10 CFR Part 71.

The basic Rochester Gas and Electric Corporation quality assurance policy is established by the Chairman of the Board and Chief Executive Officer in his Corporate Statement of Quality Assurance Policy. This policy is implemented by the Vice President, Electric and Steam Production, through the Manager, Quality Assurance, and the Ginna Station Superintendent.

The program is governed by a Ginna Station Quality Assurance Manual which contains the requirements and assignment of responsibilities for implementation of the program. The manual is prepared, reviewed, and maintained by Quality Assurance and approved by the Vice President, Electric and Steam Production.

The program is implemented through Quality Assurance, Ginna Station, Engineering, General Maintenance, Electric Meter and Laboratory and Purchasing Procedures. These procedures are prepared and approved by the responsible organization and reviewed and concurred with by Quality Assurance. The procedures are contained in separate manuals maintained by the responsible organization. All these procedures are reviewed for adequacy at least once every two years by the responsible organization. Table 1-1 provides a listing of the subjects and a short description of the subject matter which is contained in the procedures.

Organizational interfaces are defined and controlled by sections of the Quality Assurance Manual. Organizational responsibilities are described in Section 2.

The quality assurance program covers all existing Seismic Category I structures, systems, and components, including their foundations and supports. Activities affecting the quality of these structures, systems, and components are

controlled to an extent consistent with their importance to safety. A detailed listing of the structures, systems, and components covered by the quality assurance program, based on Section 1.2.1 of the Final Facility Description and Safety Analysis Report, is contained in the Quality Assurance Manual.

Details of the system boundaries and the quality classification of water-and-steam-containing components are contained on system flow drawings. The listing of structures, systems, and components covered by the quality assurance program and the system flow drawings are prepared and maintained by Engineering and reviewed and concurred with by Quality Assurance.

Modifications or additions to existing structures, systems, and components are designated the same seismic classification as the existing system. New structures, systems, and components are designated a seismic classification in accordance with the guidelines in USNRC Regulatory Guide 1.29.

Supervisory personnel are indoctrinated in quality assurance policies, manuals, and procedures to assure they understand that these are mandatory requirements which must be implemented and enforced. Personnel responsible for performing activities affecting quality are trained and indoctrinated in the requirements, purpose, scope, and implementation of quality related manuals and procedures. Refresher sessions are held periodically and retraining is required whenever a new procedure is issued or a major revision is made to an existing procedure. Training of personnel not in the quality assurance organization is the responsibility of each department performing an activity affecting quality. Quality Assurance assists in establishing training requirements and assures that personnel are trained by auditing training records.

In addition to training in quality assurance, each department conducts on-the-job training to the extent necessary to assure that personnel are qualified for their primary work assignments.

The Ginna Station Superintendent is responsible for the formal training, qualification, licensing, and requalification of operators, as necessary. Where necessary, personnel are trained in radiation protection, plant safety and security.

The Nuclear Safety Audit and Review Board is required to review the status and adequacy of the quality assurance program at least once every two years to assure that it is meaningful and is effectively complying with corporate policy and 10CFR50, Appendix B. This review consists of audits or a review equivalent to an audit performed by

company personnel or outside organizations. Reviews will be conducted every six months during the first two years that the program is implemented.

The quality assurance program is designed to meet the requirements of Title 10 of the Code of Federal Regulations, Part 50, Appendix B, "Quality Assurance Criteria for Nuclear Power Plants." The program conforms to the following NRC Regulatory Guides and ANSI Standards:

- a. NRC Regulatory Guide 1.8, Revision 1, "Personnel Selection and Training."
- b. NRC Regulatory Guide 1.28, Revision 2, "Quality Assurance Program Requirements (Design and Construction)."
- c. AEC Regulatory Guide 1.30, Revision 0, "Quality Assurance Requirements for the Installation, Inspection, and Testing of Instrumentation and Electric Equipment."
- d. AEC Regulatory Guide 1.33, Revision 0, "Quality Assurance Program Requirements (Operation)," and regulatory staff comments and supplementary guidance contained in the document entitled "Guidance on Quality Assurance Requirements During the Operations Phase of Nuclear Power Plants," Revision 0 dated October 1973 (Orange Book - Revision 0)
- e. AEC Regulatory Guide 1.37, Revision 0, "Quality Assurance Requirements for Cleaning of Fluid Systems and Associated Components of Water-Cooled Nuclear Power Plants."
- f. NRC Regulatory Guide 1.38, Revision 2, "Quality Assurance Requirements for Packaging, Shipping, Receiving, Storage, and Handling of Items for Water-Cooled Nuclear Power Plants."
- g. NRC Regulatory Guide 1.39, Revision 2, "Housekeeping Requirements for Water-Cooled Nuclear Power Plants."
- h. NRC Regulatory Guide 1.58, Revision 1, "Qualification of Nuclear Power Plant Inspection, Examination and Testing Personnel."
- i. NRC Regulatory Guide 1.64, Revision 1, "Quality Assurance Requirements for the Design of Nuclear Power Plants."
- j. NRC Regulatory Guide 1.74, Revision 0, "Quality Assurance Terms and Definitions."
- k. NRC Regulatory Guide 1.88, Revision 2, "Collections, Storage and Maintenance of Nuclear Power Plant Records."

Note: When record storage facilities are not designed in accordance with the requirements of Regulatory Guide 1.88, duplicate records are kept in two separate storage locations in separate buildings which are physically isolated from each other.

1. NRC Regulatory Guide 1.116, Revision 0-R, "Quality Assurance Requirements for Installation, Inspection, and Testing of Mechanical Equipment and Systems."
- m. NRC Regulatory Guide 1.123, Revision 1, "Quality Assurance Requirements for Control of Procurement of Items and Services for Nuclear Power Plants."
- n. ANSI N45.2.12, D3, R4, 2/74 "Requirements for Auditing of Quality Assurance Programs for Nuclear Power Plants."
- o. NRC Regulatory Guide 1.146, Revision 0, "Qualification of Quality Assurance Program Audit Personnel for Nuclear Power Plants."

2. Organization

The major organizations participating in the quality assurance program are the Purchasing, Engineering, Ginna Station, General Maintenance, Electric Meter and Laboratory Department; Quality Assurance and Quality Control Groups; the Plant Operations Review Committee; and the Nuclear Safety Audit and Review Board. Figure 2-1 is an organizational chart showing these organizations and their relationship to the corporate organization.

Positions responsible for the principal elements of the quality assurance program are:

Chairman of the Board
Vice President, Electric and Steam Production
Vice President, Engineering and Construction
Chief Engineer
Manager, Quality Assurance
Purchasing Agent
Ginna Station Superintendent
Ginna Station Quality Control Engineer
Superintendent, Electric Meter and Laboratory
Superintendent, General Maintenance
General Maintenance Quality Control Coordinator
Manager, Materials Engineering

In addition to the above individuals, two advisory groups are utilized to review and audit plant operations. These groups are the Plant Operations Review Committee and the Nuclear Safety Audit and Review Board. The Plant Operations Review Committee acts in an advisory capacity to the Ginna Station Superintendent and the Nuclear Safety Audit and

Revision 10
June 1985



Review Board advises the Vice President, Electric and Steam Production. The qualifications of members and the responsibilities of these organizations are described in Appendix A to Provisional Operating Licensed No. DPR-18, Section 6.0, Technical Specifications.

The Chairman of the Board of the Rochester Gas and Electric Corporation directed the establishment of the quality assurance program and issued the governing policy statement. He has established the Nuclear Safety Audit and Review Board to review and audit plant operations. The Chairman of the Nuclear Safety Audit and Review Board is responsible to the Senior Vice President on all activities of the Nuclear Safety Audit and Review Board.

The Vice President, Electric and Steam Production has corporate responsibility for operation of Ginna Station in accordance with applicable regulatory requirements. He is responsible for establishing the policies and requirements necessary to assure safe and reliable operations of Ginna Station. He is also responsible for those items delineated in Section 6.0, Technical Specifications. He has overall responsibility for and authority to direct quality affecting activities. He has assigned the responsibility for the detailed development and overall coordination of the quality assurance program to the Manager, Quality Assurance.

The responsibility for proper implementation of the quality assurance program requirements at Ginna Station has been assigned to the Ginna Station Superintendent.

The Vice President, Engineering and Construction has corporate responsibility for the design and construction of nuclear power plants and related major modifications. In this capacity, the Vice President, Engineering and Construction is responsible for directing and supervising the Engineering Department as shown in Figure 2-5.

The Chief Engineer is responsible to the Vice President, Engineering and Construction for preparing drawings and specifications, for the procurement of materials and components for plant maintenance and modification as required. He is responsible for reviewing operating and fuel handling procedures referred to him by the Ginna Station Superintendent and for reviewing unique maintenance and repair procedures for major equipment. He is also responsible for the coordination of all procurement activities associated with the fabrication of nuclear fuel.

The Manager, Quality Assurance, is responsible for establishing and executing the overall quality assurance program. He is responsible for assuring that the program satisfies the requirements of 10CFR50, Appendix B, and for keeping the total program updated. He is responsible for assuring that

Revision 10
June 1985



all the planned and systematic actions necessary to provide adequate confidence that Ginna Station will operate safely and reliably are established and followed. He provides management with objective information concerning quality, independent of the individual or group directly responsible for performing the specific activity. He has the authority and organizational freedom to assure all necessary quality affecting activities are performed. He is responsible for maintaining a quality assurance staff, Figure 2-1, for the conduct of staff training, for directing its activities and for establishing and implementing a comprehensive audit program.

The Manager, Quality Assurance is a graduate engineer with at least six years of responsible experience, of which two years is in quality assurance and three years in the design or operation of nuclear or fossil fuel power plants.

The Manager, Quality Assurance and the Quality Assurance Staff are responsible for supervising both the on-site and off-site Quality Assurance program. This includes writing Quality Assurance policies and procedures, and reviewing the procedures of the organizations participating in the Quality Assurance program. They are also responsible for auditing all aspects of the Quality Assurance Program and for ensuring significant conditions adverse to quality are corrected. They are responsible for assuring that proper codes, standards, and quality requirements are specified in design, procurement, and installation documents. They are responsible for assuring that the suppliers of safety-related material, equipment and services are properly qualified, and they are responsible for conducting audits and surveillances at these supplier's facilities. In addition, the staff assists the Manager, Quality Assurance, in the preparation of the audit schedule, audit status reports, corrective action report summaries and in the preparation and maintenance of the Quality Assurance Procedures Manual.

The Purchasing Agent is responsible for the procurement of materials, services, and components, from qualified suppliers, in accordance with applicable commercial, technical, and quality requirements. He maintains a listing of qualified suppliers determined through an evaluation made by Purchasing, Engineering, Quality Assurance and the other involved departments as appropriate.

The Ginna Station Superintendent is responsible to the Superintendent, Nuclear Production for safe operation of Ginna Station. He is responsible for the performance of the Ginna Station operation, maintenance, repair, refueling, inservice inspection, modification, test and inspection quality affecting activities in accordance with the requirements of the quality assurance program. He is responsible

for providing qualified personnel to perform these activities in accordance with approved drawings, specifications, and procedures. He is also responsible for those items delineated in Section 6.0, Technical Specifications.

The Ginna Station Assistant Superintendent supports the Ginna Station Superintendent in discharging his responsibilities. He is responsible for the day-to-day operation of the station and implementing the policies, procedures, and directions of the Ginna Station Superintendent.

The Ginna Station Quality Control Engineer reports administratively to the Nuclear Assurance Manager and is responsible to the Station Superintendent for supervising the station Quality Control Organization, which is responsible for assuring that activities affecting quality are prescribed and carried out in accordance with approved drawings, specifications, and procedures. In his day-to-day activities, the Quality Control Engineer reports to the Ginna Station Superintendent and is a member of the Plant Operations Review Committee. He also reviews procurement documents initiated at the station. He is responsible for the coordination of inspection activities and for assuring that inspection requirements are included in approved procedures. He is also responsible for the receipt inspection of incoming materials, parts, and components and the processing of nonconformance reports. He coordinates the processing of corrective action reports, and assures that corrective action is taken. He is responsible for routine surveillance of other groups involved in quality affecting activities and provides the Ginna Station Superintendent with objective information concerning the quality of these activities.

The Ginna Station Quality Control Engineer is assisted in the performance of his duties by a staff which reviews documents and which performs inspection and surveillance activities. Additional inspectors are assigned to this group as required by the level of work activities.

In addition to the Ginna Station Quality Control Engineer, the Ginna Station Superintendent is assisted by other designated staff members, Figure 2-3, in the implementation of certain quality assurance program requirements at the plant. These staff members are assigned responsibility for testing, storage of material and equipment, operating and test status control, calibration and control of measuring and test equipment not used by Quality Control, maintenance of material handling equipment, operator training, and control of all activities involving operation, maintenance, repair, refueling and modification.



The Superintendent, General Maintenance, is responsible for supervising and directing a staff, Figure 2-4, which supervises the performance and verification of safety related maintenance, repair and modification activities performed at the General Maintenance facility. He is also responsible for the routine maintenance of material handling equipment, control of special processes and establishment of the inservice inspection program.

The General Maintenance Quality Control Coordinator is responsible to the Superintendent, General Maintenance, for performing or directing the performance of verification activities for which General Maintenance Quality Control is responsible. In this capacity he is responsible for assuring that activities, affecting quality, are carried out in accordance with approved drawings, specifications and procedures. He is also responsible for the preparation of Quality Maintenance procedures and for the training of General Maintenance personnel in the implementation of these procedures. He also coordinates receipt inspection of incoming materials, parts and components, performs routine surveillance of General Maintenance activities and coordinates the processing of nonconformance reports, corrective action reports and the replies to audit reports.

The Manager, Materials Engineering is responsible to the Superintendent, General Maintenance for the development and qualification of procedures utilized for special processes. He is also responsible for assuring that personnel are trained and qualified for activities involving nondestructive examination and for providing functional guidance and direction in those methods for which he is a qualified Level III. He is also responsible for establishing the inservice inspection program.

The Superintendent, Electric Meter and Laboratory is responsible for providing routine maintenance and testing services for Ginna Station safety related protective relays as requested.

3. Design Control

Design activities are performed by Rochester Gas and Electric Corporation personnel or are subcontracted to organizations providing services to Rochester Gas and Electric.

Engineering is responsible for the design and control of design activities (including design interfaces) for major modifications of structures, systems or components.

Ginna Station is responsible for the design and control of design activities for minor modifications of structures, systems, or components. Ginna Station is also responsible for classifying station originated modifications as either



Major or Minor. Engineering reviews and concurs with modifications being classified as Minor. Minor modifications typically involve (1) component changes which involve vendor design and limited to the extent that the change does not impact existing performance requirements. (2) Additions within Seismic Category I buildings which perform no safety functions and which either interface with Seismic Category I items or whose failure could reduce the functioning of any safety related component required for safe shutdown of the plant to an unacceptable level. (3) Changes to a safety related system determined not to be major (i.e. vents, drains, alarms, indicating lights, etc.).

Design control is implemented by means of procedures which include: design considerations, design review requirements; internal and external interface control considerations; design document review, approval, distribution, control, and revision requirements; and corrective action. Design considerations include, as appropriate: physics, stress, materials, thermal, hydraulic, radiation and accident analysis; appropriate design bases, codes, standards and regulations; acceptability for operation, maintenance and repair; acceptance and rejection criteria; quality standards and other quality assurance requirements. Design verification utilizes various methods such as formal design reviews, alternate calculations, or tests as appropriate to assure the adequacy of the design.

The design of plant modifications is verified by an engineer other than the one who performed the original design. For Major modification design, this may be done by Engineering department design engineers or consulting engineers as requested. For Minor modification station design, this may be done by Ginna Station and or Engineering department design engineers as appropriate.

Spare or replacement parts must at least meet the original equipment technical and quality requirements. For plant modifications, standard "off-the-shelf" commercial or previously approved materials, parts, and equipment are selected and reviewed for suitability of application by the design engineer.

Design changes, are normally reviewed and approved in accordance with the same procedures as the original design. Supplemental procedures are established for the review and approval of field changes. In general, design changes including field changes, are reviewed and approved by the organizations or individuals that performed the original design, review and approval. Where this is not practical, other responsible design organizations or individuals designated, provided they have access to pertinent background information and are competent in the specific design area.



Design verification and field change systems are methods utilized to detect, document and correct design process errors and deficiencies. In addition, the corrective action system, described in section 16, is utilized to control and document corrective action to preclude recurrence of those design process errors and deficiencies which are considered to be a significant condition adverse to quality.

Quality Assurance is responsible for assuring that design control procedures, whether the work is done by Rochester Gas and Electric or by other organizations, are prepared and implemented and incorporate appropriate design control practices, checks, and reviews. Design control procedures are reviewed to assure that an independent verification is performed.

Engineering and Ginna Station are responsible for establishing measures for the proper control of design documents and revisions there-to, to assure that distribution is to responsible individuals and in a timely manner to prevent inadvertent use of superseded design information. The measures include the use of document revision levels, document transmittals, release stamps, field change request forms and distribution lists.

Design documents are collected, stored, and maintained in accordance with Section 6 and 17, as appropriate. Design documents include design criteria, analyses, specifications, drawings, design review records, and changes thereto.

Quality Assurance and Station Quality Control through preparation assistance and/or review assure the proper inclusion of quality standards in the design of major and minor modifications, respectively. Quality Assurance is also responsible for assuring that adequate inspection requirements are included in specifications. The Manager, Quality Assurance reviews and approves any deviations from quality standards when they occur.

Plant modifications are controlled by means of applicable Ginna Station, Engineering and Quality Assurance procedures. These procedures provide for the preparation, review, and approval of design documents, safety analyses, and plant modification procedures. Proposed plant modifications are reviewed by the Plant Operations Review Committee and Nuclear Safety Audit and Review Board as required by Section 6.0, Technical Specifications.

4. Procurement Document Control

Procurement document control applies to the control of procurement documents for materials, parts, components, and services required to perform quality affecting activities.

Such documents may be prepared by Rochester Gas and Electric or by a contractor and include purchase requisitions, purchase orders, service agreements, contracts, specifications, and drawings.

Procurement of materials, parts, components, and services is initiated by department staff personnel. Procurement procedures require that organizations preparing procurement documents consider and include, as appropriate, the items listed in Table 4-1.

Procurement documents, including those requesting spare or replacement parts, initiated at Ginna Station and General Maintenance are reviewed by Quality Control and approved by the department superintendent or his designated representative. Procurement documents initiated in Engineering and Quality Assurance are reviewed by Quality Assurance and approved by the Chief Engineer, or designees.

Procurement documents initiated at Electric Meter and Laboratory and General Maintenance are reviewed by Quality Assurance and approved by the department superintendent or designated alternate.

Evidence of review and approval of procurement documents is recorded on the documents or on the attached control form. The attached control form identifies to Purchasing a procurement method which will ensure that the selected supplier is capable of providing the item or service in accordance with the requirements of the procurement documents. Considerations used in selecting a supplier and for determining the corresponding procurement method are described in Section 7.

After purchase requisitions, service agreements, contracts, specifications, and drawings have received the required reviews and approvals, a purchase order is issued by Purchasing to the selected supplier and controlled as described in Section 7. These documents are maintained by Purchasing, by the originating department, and/or by the receiving locations, as appropriate, until procurement is completed.

Under no circumstances are purchasing requirements altered (except for quantity or pricing) during order placement unless review and concurrence is obtained from those who were required to review, concur with, and approve the original documents as described above. Changes or revisions to procurement documents are subject to the same review and approval requirements as the original documents.

Originating department technical review of procurement documents includes verification of applicable regulatory, code and design requirements. Quality Assurance/ Quality Control review of the above includes checks to verify proper

inclusion of quality standard, quality assurance program requirements, method or procurement and the applicable acceptance criteria. Quality Control also reviews procurement documents for spare or replacement parts for adequacy of quality requirements and to determine similarity, compatibility, and the inclusion of the quality requirements and acceptance criteria of the original design.

5. Instructions, Procedures, and Drawings

Each Rochester Gas and Electric company organization is responsible for developing, reviewing, approving, and implementing procedures as required to implement the quality assurance program. These procedures cover activities such as document control, training of personnel, and responsibilities and duties of personnel. Quality Assurance reviews and concurs with these procedures. Table 1-1 provides a summary of the subject matter contained in the procedures which are used to implement the quality assurance program. Procurement documents require suppliers and contractors to have appropriate instructions, procedures, specifications, and drawings.

Ginna Station is responsible for providing and implementing instructions and procedures associated with operation, maintenance, repair, in-service inspection, refueling, modification, testing and inspection. This includes instructions and procedures listed in USAEC Regulatory Guide 1.33 for administrative control; general plant operation; startup, operation, and shutdown of safety related systems; correction of abnormal, offnormal, or alarm conditions, combat of emergencies and other significant events; radioactivity control; control of measuring and test equipment; chemical and radiochemical control; and fuel handling and refueling. Ginna Station is responsible for the preparation and implementation of quality control inspection procedures utilized for detailed station inspection activities. Ginna Station is responsible for appropriate changes to such documents upon receipt of regulatory directives, instructions from Rochester Gas and Electric management, or the completion of plant modifications. Ginna Station is also responsible for the preparation and issuance of those minor modification design documents not provided by Engineering or the equipment supplier.

General Maintenance is responsible for providing and for implementing instructions and procedures associated with special processes, the routine maintenance and inspection of cranes and handling equipment, as well as shop work required to support Ginna Station maintenance, repair and modification activities. General Maintenance is also responsible for the preparation and for the implementation of quality control inspection procedures utilized for detailed inspection activities at their facilities.

Electric Meter and Laboratory is responsible for the preparation and implementation of relay inspection and testing procedures as required to direct detailed inspections and testing activities for which they are responsible. Electric Meter and Laboratory also assists in the preparation of routine relay maintenance and testing procedures used by their personnel in the annual Ginna Station protective relay surveillance program.

Engineering is responsible for providing approved specifications, and drawings associated with major modifications and when minor modifications necessitate drawings or specifications. These documents require those performing the work to obtain, understand, and comply with appropriate procedures, specifications and drawings. Engineering has established procedures for revising drawings and specifications. These procedures cover updating of as-built drawings after plant modifications and the revision, approval, distribution, and control of all drawings and specifications.

Persons preparing and approving documents are responsible for assuring that specifications, instructions, procedures, and drawings include appropriate quantitative or qualitative acceptance criteria for determining that important activities have been satisfactorily accomplished and assuring that the documents are kept current.

Indoctrination and training of personnel is provided by the responsible organizations to ensure that quality affecting activities are conducted in accordance with established documents. In addition, surveillance by Quality Control personnel, as described in Section 10 and audits by Quality Assurance as described in Section 18 are used to verify that quality affecting activities are being performed in accordance with approved instructions, procedures and drawings.

6. Document Control

Procedures are established to control the issuance of procedures, instructions, drawings, and specifications. Standard document control requirements are contained in the Quality Assurance Manual. The Ginna Station Superintendent is responsible for the control of all documents issued at Ginna Station. General Maintenance and Electric Meter and Laboratory are responsible for the control of documents issued by their respective organizations. Engineering controls all documents issued by Engineering, Quality Assurance and Purchasing. Each organization controlling documents has a separate procedure to control documents in accordance with the requirements of the Quality Assurance Manual.

The Quality Assurance Manual designates responsibilities and defines requirements for the preparation, review and approval of documents. Each department responsible for an activity is responsible for providing the necessary review and approval of instructions, procedures or drawings to assure that they are adequate, and include appropriate qualitative and quantitative requirements. Departmental Quality Control representatives review departmental maintenance, repair, refueling and modification procedures, prior to use, to assure quality assurance requirements are included. The Plant Operations Review Committee has the responsibility for reviewing Ginna Station procedures prior to their approval as required by Section 6.0 Technical Specifications. Detailed inspection, test and examination procedures used by qualified personnel require the review and concurrence of the responsible technical person associated with that activity. Ginna Station, General Maintenance, Engineering, Purchasing, and Electric Meter and Laboratory quality assurance implementing procedures require the review and concurrence of Quality Assurance and the approval of the appropriate department supervisor.

Quality Assurance procedures are approved by the Manager, Quality Assurance.

The Quality Assurance Manual requires that documents be controlled as appropriate, considering the type of document involved, its importance to safety, and the intended use of the document. It specifies the types of documents which must be controlled; identifies the difference between controlled and uncontrolled copies of the same document; includes the method for identifying holders of controlled copies; requires that only controlled copies of a document be used for official purposes; requires that lists of effective revisions be issued periodically; requires lists of document holders to be maintained by the distributors; and requires that distributors transmit controlled documents using approved forms internally and externally.

Types of documents which are controlled include Technical Specifications, FSAR, Technical Supplements, Quality Assurance Manual, procedures (such as quality assurance, engineering, purchasing, repair, maintenance, test, calibration, fuel handling, modification, and administrative), specifications and drawings. Suppliers of materials, equipment, and services are required in procurement documents to provide for control of documents, including manufacturing, inspection and testing instructions.

The Quality Assurance Manual further requires that each organization provide in its procedures for measures: to assure that documents are available when required; to properly review and approve documents such as procedures, instructions, specifications, and drawings; to provide the



same reviews and approvals for changes to documents as was required of the original document; to require that organizations which review and approve documents have access to pertinent information and adequate knowledge of the original document intent; to assure that approved changes are promptly transmitted for incorporation into documents; and to assure that obsolete or superseded documents are eliminated from the system and not used.

Quality Assurance and the Quality Control organizations, in the responsible departments, are responsible for review and concurrence of procurement documents and, therefore, procurement document control requirements.

Quality Assurance and the Quality Control organizations are further responsible for review, inspection, surveillance, and audit, as appropriate, of document control systems to assure adequate systems are implemented.

7. Control of Purchased Material, Equipment, and Services

Procurement documents, supplier selection, planning for item or service acceptance control of supplier performance and acceptance of items and services are five major means used in controlling purchased material, equipment and services. All procurement is conducted in accordance with procurement documents as stated in Section 4. All reviews, inspections, surveillances, and audits are conducted by personnel who are competent in establishing whether or not a supplier is capable of providing acceptable, quality products.

Procurement planning is utilized by the procuring organizations for determining the methods to be used for acceptance of the item or service as well as requirements for the control of the supplier performance. Source inspection (surveillance) certificate of conformance, receipt inspection and post installation test are methods which are considered for item acceptance with receipt inspection utilized in the acceptance of all items. In lieu of these methods, acceptance of services is based on either or a combination of: (1) surveillance of the activity and (2) review of objective evidence for conformance to the procurement document requirements (i.e. certifications, stress reports etc.). The extent of the acceptance methods and associated verification activities will vary and be a function of the relative importance and complexity of the purchased item or service and the suppliers past performance.

Consideration for the control of supplier performance includes the necessity for document submittals or surveillance, and under what situation the supplier is to report nonconformances.

Results of the planning are incorporated in the procurement documents and or on the attached procurement control form as described in Section 4.

Selection of a supplier is based on the evaluation of its capability to provide the item or services in accordance with the requirements of the procurement documents. The evaluation which is accomplished during the procurement planning, determines the necessity for the supplier selection to be from the approved suppliers list maintained by Purchasing. Purchasing utilizes the approved suppliers list for the selection source of those suppliers required to have a satisfactory quality assurance program. The evaluation guidelines for source selection considers the item complexity, method(s) of acceptance and for a replacement item, if the source is to be restricted to the original supplier. For engineered and off-the-shelf items, procured from suppliers required to have a quality assurance program and for which item acceptance is based other than on receipt inspection, supplier selection is from the approved suppliers list or one who is in the process of being added to the list, after having had its capability evaluated to purchaser satisfaction. Other off-the-shelf items, that are manufactured to industry standards, that are typically utilized in applications other than nuclear, and for which item acceptance is based exclusively on receipt inspection may be purchased from sources other than the approved suppliers list. These other sources may include the manufacturer of the replacement part, authorized distributor for the manufacturer's replacement parts and distributor of catalog items which satisfy the guidelines of not requiring status on the approved suppliers list. Departmental procedures establish guidelines for source selection evaluations and for documenting the results on the procurement control form through indication of the corresponding procurement method. The purchase requisition will also identify the source when replacement parts are to be procured from the original equipment supplier.

Addition of a supplier to the approved suppliers list is based on satisfactory evaluation of the supplier's capability by Quality Assurance, Purchasing and other departments, as appropriate.

For Engineered items, Engineering is responsible for evaluating the overall design or manufacturing capability of the supplier including his particular technical ability to produce the design, service, item, or component delineated in the procurement documents. As part of this review, the supplier's design capabilities, machinery capabilities, handling capabilities, testing facilities, service capabilities, and experience are reviewed.

Quality Assurance is responsible for evaluating the supplier's overall quality assurance organization and program in accordance with applicable codes, standards, applicable parts of 10CFR50 Appendix B, and Rochester Gas and Electric requirements. The review includes consideration of: company organization,

quality assurance personnel qualifications, review and control of design documents, manufacturing procedures, quality assurance procedures, calibration practices, acceptance criteria, required quality assurance records and their retention, and quality assurance requirements and controls imposed by the supplier on his subcontractors. Supplier evaluation is conducted by means of procedures or checklists which identify applicable regulatory or code quality assurance requirements.

Ginna Station, General Maintenance, Quality Assurance and Electric Meter and Laboratory evaluate the suppliers of inspection, test, and calibration services which they intend to use.

The departments responsible for performing supplier evaluations shall document their results in reports which discuss areas investigated, findings, and conclusions. As applicable, concurrence of Purchasing, Engineering, Quality Assurance, Ginna Station, General Maintenance, and Electric Meter and Laboratory is required to place a supplier on the qualified suppliers' list. One organization can remove a supplier from the list without concurrence of the others.

Measures are established by Engineering and Quality Assurance to control supplier performance for engineered items. These measures typically include the processing of change information, surveillance of supplier activities and the control of documents exchanged with the supplier. In addition, each department procuring off-the-shelf items or services establishes similar measures for the control of supplier performance. With the exception of processing change information, the need for and applicable extent of purchaser controls of the supplier are determined during procurement planning.

Quality Assurance is responsible for determining and documenting the degree of supplier surveillance (including review, inspection, or audit) required during design, fabrication, inspection, testing, and shipping, and for providing the required surveillance. The objective of supplier surveillance is to provide a sampling review of the supplier's quality assurance program implementation and of product conformance with respect to the purchase order requirements. For complex engineered items, Quality Assurance and Engineering are responsible for joint development of surveillance plans in advance of surveillance trips to identify areas to be reviewed.

The results of the surveillance trip are documented by means of inspection sheets or trip reports which are distributed to the Manager, Quality Assurance, and the department which initiated the procurement. When a deviation from purchase order requirements is noted, the Quality Assurance represen-

tative has the authority to inform the vendor that a particular item is unacceptable, to issue a nonconformance report, or to stop work, if necessary.

Ginna Station Quality Control is responsible for surveillance of site contractors to assure that they meet all technical and quality requirements. The reporting and documenting of contractor surveillance is managed in a manner similar to supplier surveillance.

The verification methods for the acceptance of items and services are specified on the attached procurement control form during procurement planning and the purchase requisition preparation.

Department superintendents are responsible for receiving and storing items pending their acceptance. Upon receipt, the department stockkeeper logs the item, places a "hold" tag on the item, and notifies Quality Control that the item has arrived.

Quality Control is responsible for receipt inspection upon delivery of items and associated services for maintenance, repair, modification, and refueling. This inspection includes the use of written procedures or checklists to verify that the items and services conform to the procurement documents (if this has not been performed by source inspections) and that documentary evidence of conformance is available at the plant prior to installation or use. Documentary evidence sufficient to identify the codes, standards or specifications met by the purchased material, equipment, and services is retained. In the event a final source inspection for the acceptance is conducted prior to receipt by RG&E, Quality Control performs an inspection for shipping damage or lost parts and a document check to assure that the required documentation has been reviewed and is complete. A receiving inspection checklist is completed for all items received to document the extent of the inspection performed, including the documents checked, and the inspection results.

If the item and documentation are adequate, Quality Control labels the item as "Accepted", files the documentation and receipt inspection results, and releases the item for storage or use. If the item is nonconforming or the documentation is unsatisfactory, Quality Control initiates a nonconformance report which is controlled in accordance with Section 15.

All items issued must bear an acceptance tag and have documentation to support the acceptability of the item. In the event the traceability is lost or the documentation review is unsatisfactory, the item becomes nonconforming and may not be released for use.

Revision 10
June 1985

1. The first part of the document discusses the importance of maintaining accurate records of all transactions. It emphasizes that proper record-keeping is essential for the integrity of the financial system and for the ability to detect and prevent fraud.

2. The second part of the document outlines the specific procedures for recording transactions. It details the steps involved in the accounting process, from the initial entry of data into the system to the final review and approval of the records.

3. The third part of the document addresses the issue of data security. It discusses the various risks associated with the loss or theft of financial data and provides recommendations for implementing effective security measures to protect the information.

4. The fourth part of the document discusses the importance of regular audits. It explains how audits can help to identify errors and discrepancies in the records and ensure that the system is operating in accordance with established standards and regulations.

5. The fifth part of the document discusses the role of technology in the accounting process. It highlights the benefits of using computerized systems for recording and processing transactions and provides guidance on selecting and implementing appropriate software.

6. The sixth part of the document discusses the importance of training and education for accounting personnel. It emphasizes that staff must be properly trained in the latest accounting practices and technologies to ensure the accuracy and reliability of the financial records.

7. The seventh part of the document discusses the importance of transparency and accountability in the financial system. It explains how open access to financial information can help to build trust and confidence among stakeholders and prevent the misuse of funds.

8. The eighth part of the document discusses the importance of ongoing monitoring and evaluation of the financial system. It explains how regular reviews can help to identify areas for improvement and ensure that the system remains effective and efficient over time.

9. The ninth part of the document discusses the importance of collaboration and communication among all parties involved in the financial system. It emphasizes that effective teamwork and clear communication are essential for the successful implementation and maintenance of the system.

10. The tenth part of the document discusses the importance of staying up-to-date with the latest developments in accounting and finance. It explains how continuous learning and professional development can help to ensure that the system remains current and relevant in a rapidly changing environment.

8. Identification and Control of Materials, Parts, and Components

The identification and control of materials, parts, and components is accomplished in accordance with written requirements and applies to material, parts, or components in any stage of fabrication, storage, or installation. Identification and control requirements are established by either an existing procedure or requirements documents which are prepared during the planning stages of a project. The identification and control requirements cover items such as: traceability to associated documents such as drawings, specifications, purchase orders, manufacturing test data and inspection documents, and physical and chemical mill test reports; specification of the degree of identification to preclude a degradation of the item's functional capability or quality; and the proper identification of materials, parts, and components prior to release for manufacturing, shipping, construction, and installation.

Engineering and Quality Assurance are responsible for assuring that drawings and specifications contain appropriate requirements for the identification and control of materials, parts, or components, as appropriate. Suppliers are required to assure that all required documentation for an item is properly identified and related to the item. Each item is required to be physically identified, either by marking on the item or by tags. Physical identification by purchase order number is used to the maximum extent possible for relating an item at any time to applicable documentation. Identification is either on the item or records traceable to the item. Where physical identification is impractical, physical separation, procedural control, or other appropriate means are employed.

The Ginna Station Superintendent is responsible for maintaining identification and control of materials, parts, or components received, stored, installed, and used at the plant. Procedures covering the identification and control of materials, parts, and components at the plant are approved by the Ginna Station Superintendent. The superintendents of other departments which receive material which is to be stored away from the plant are responsible for establishing procedures for identification and control and for maintaining identification and control of material, parts, or components, stored or used in their area of responsibility.

In the event that traceability is lost for a specific item, it is handled as nonconforming material and deviations and waivers are controlled and documented in accordance with Section 15.



9. Control of Special Processes

Written procedures are established to control special processes, such as welding, heat treating, and nondestructive examination to assure compliance with applicable codes, standards, and design specifications. Qualification of personnel and procedures complies with the requirements of applicable codes and standards. When special process qualification requirements are not included in existing codes and standards, they are described in procedures which give details of the special process, the personnel qualification requirements, the equipment necessary, and the special process qualification requirements.

Initiators of procurement activities are responsible for requiring suppliers, in procurement documents, to control special processes in accordance with the above requirements. Quality Assurance and Quality Control personnel are responsible for reviewing procurement documents to ensure that requirements for control of special processes are included.

Rochester Gas and Electric procedures for special processes are prepared, reviewed, and approved by Materials Engineering. Special process procedures submitted by suppliers and contractors are reviewed and concurred with by Materials Engineering.

The Ginna Station Maintenance Manager and Quality Control Engineer are responsible for assuring that personnel performing special processes under their cognizance are qualified and are using qualified procedures in accordance with applicable codes, specifications, and standards. The Manager, Materials Engineering is responsible for the qualification of NDE personnel and procedures. The Manager, Materials Engineering is responsible for the qualification of welding procedures and the training and qualification of welders. Ginna Station maintains records for personnel and procedures to demonstrate that required qualifications have been obtained and are kept current.

Quality Assurance and Quality Control perform surveillance, inspections, and audits of special processes performed by Rochester Gas and Electric or contractors to assure compliance with procedures.

10. Inspection

Procedures prepared for the control of activities include inspection requirements and hold points as required by drawings, instructions, requirements documents, specifications, codes, standards, or regulatory requirements. For clarification and to distinguish from preventative maintenance inspections the following controls are associated with

the quality assurance function inspections and referred to as verification inspections. Instructions for conducting detailed verification inspections are contained in inspection procedures. These inspection procedures and all supporting specifications and drawings are provided to inspection personnel for use prior to performing the inspection. Inspection requirements and hold points are utilized to verify conformance of activities to the documented instructions, specifications, and drawings for accomplishing the activity. Inspection procedures include the identification of quality characteristics to be inspected, a description of the method of inspection to be used, the identification of the group responsible for performing the inspection, the acceptance and rejection criteria, the requirements for the recording of inspection results, and the requirements for providing evidence of completion and certification of the inspection activity. Verification inspections are performed by qualified inspection personnel who are independent of the personnel performing the work. Outside contractors are required by procurement documents to have and follow similar procedures and to use independent inspectors. Inspectors are sufficiently trained to adequately evaluate the activity they are inspecting.

Quality Control personnel are responsible for performing verification inspections, as required, during plant operation, maintenance, repair, in-service inspection, refueling, modification, and testing when the work is performed by Rochester Gas and Electric personnel. When the work is performed by outside contractors, Quality Control is responsible for surveillance of the subcontractor's inspection activities. All inspection equipment is calibrated and controlled in accordance with Section 12. Calibration status is verified by inspection personnel prior to performing an inspection operation.

In the event an inspection of processed material or products is impossible or impractical, indirect control by monitoring processing methods, equipment, and personnel is provided. Both inspection and process monitoring are required when control is inadequate without both.

Quality Assurance is responsible for the adequate inclusion of inspection requirements in specifications.

The Ginna Station Quality Control Engineer is responsible for assuring that adequate inspection requirements and hold points are included in maintenance, repair, refueling, modification and testing procedures. He is also responsible for the assignment of qualified inspection personnel required for inspection of quality affecting activities and for coordinating the performance of and conducting the surveillance of inservice inspection.

The General Maintenance Quality Control Coordinator is responsible for assuring that adequate inspection requirements are included in procedures, instructions and/or checklists controlling maintenance, modification and repair activities and related fabrication processes at the General Maintenance facility.

With the exception of that which pertains to Pump and Valve Testing, the Supervisor, Materials Engineering is responsible for establishing the requirements for the Inservice Inspection Program. Quality Assurance is responsible for establishing the requirements for the Inservice Pump and Valve Testing Program. The program for inservice inspection of the reactor coolant system and other safety related systems is contained in Section 4.2, Technical Specifications.

11. Test Control

Whenever testing is required to demonstrate that a material, part, component, or system will perform satisfactorily in service, a test program is instituted employing written and approved procedures which are in accordance with basic requirements established in Technical Specifications, drawings, instructions, procurement documents, specifications, codes, standards, and regulatory requirements. The test program requires the identification, control, and documentation of all tests, and the preparation of written procedures required for satisfactory accomplishment of the testing. Written test procedures and checklists include: necessary test equipment and calibration requirements; material requirements; test personnel requirements; prerequisite plant and equipment conditions; limiting conditions; detailed performance instructions for the testing method and test equipment instrumentation; acceptance and rejection criteria; instructions for disposition of deviations; data collection requirements; and test result approval.

The Ginna Station Superintendent is responsible for the station test program, which includes the surveillance test program required by Section 4.0, Technical Specifications and testing associated with modifications.

Test procedures are prepared by the plant staff, reviewed by the Plant Operations Review Committee and Quality Control, and approved by the Ginna Station Superintendent. The Ginna Station Superintendent is responsible for the performance of the required tests in a correct and timely manner utilizing written and approved procedures. When contractors are employed for tests, the contractor is required to perform testing in accordance with his quality assurance program requirements. All test results are required to be documented, reviewed, and approved by those responsible for performing the test.



When requested by Ginna Station, Electric Meter and Laboratory performs test activities to determine the cause of protective relay malfunctions. These test activities are performed in accordance with approved procedures by qualified personnel.

Engineering and Quality Assurance are responsible for assuring that required tests for major modifications are included in specifications. Engineering assistance in the preparation of modification-related test procedures may be provided to the Ginna Station staff. The Ginna Station Technical Manager is responsible for the adequate inclusion of test requirements in minor modification design documents and for reviewing modification-related test results for acceptability to design requirements. Reviews of minor modification design by Station Quality Control verifies adequate inclusion of test requirements

12. Control of Measuring and Test Equipment

The calibration and control system for measuring and test equipment includes calibration procedures, establishment of calibration frequencies, and maintenance and control requirements of measuring and test instruments, tools, gauges, shop standards, and nondestructive test equipment which are to be used in the measurement, inspection, and monitoring of components, systems, and structures. Calibration procedures include step-by-step methods for calibration and requirements for instrument accuracy. Calibration frequency is based on required accuracy, degree of usage, stability characteristics, manufacturer's recommendations, experience, and other conditions affecting measurement capability.

Control of measuring and test equipment requires: a recall system assuring timely calibration of equipment; a system providing unique identification of equipment, traceability to calibration test data, and identification of the next calibration date on the equipment; a system providing traceability of shop standards to nationally recognized standards (where national standards do not exist, procedures contain instructions to document the basis for calibration) and periodic revalidation of shop standards; a system providing for records to be maintained which indicate the complete status of all items under the calibration system including the maintenance, calibration results, abnormalities, and last and future calibration dates; and a system controlling the purchase requirements of new equipment to be entered into the calibration and control system including requirements for accuracy, stability, and repeatability under normal use conditions. In the event a measuring instrument (i.e. shop or field standard) is found out of calibration, an investigation is conducted to determine the validity of previous measurements.

The Ginna Station Superintendent is responsible for the procedures and program required to assure control and calibration of measuring and test equipment at Ginna Station in accordance with the above requirements. Instruments specified in Section 4.1, Technical Specifications, are included in the program. Tools, gauges, and instruments necessary for maintenance, inspection, and test are calibrated and controlled in accordance with station procedures. Measuring, test or inspection equipment used by Quality Control is included in the program.

The Superintendent, General Maintenance, and Superintendent, Electric Meter and Laboratory, are responsible for establishing a program and the preparation of procedures for the control and calibration of measuring and test equipment used by their respective departments.

13. Handling, Storage, and Shipping

The Ginna Station Superintendent is responsible for developing and implementing procedures for the handling, storage, shipping, preservation, and cleaning of material and equipment delivered to or located at Ginna Station. The Superintendent, General Maintenance, and the Superintendent, Electric Meter and Laboratory, are responsible for preparing and implementing procedures for the handling, storage, shipping, preservation, and cleaning of material and equipment delivered to or located in their work areas. In addition, the Superintendent, General Maintenance, is responsible for preparing and implementing procedures for the routine maintenance and inspection of lifting and handling equipment. Under normal circumstances, manufacturer's specific written instructions and recommendations and purchase specification requirements are invoked for cleanliness, preservation, special handling, and storage with respect to environmental requirements. In the absence of, or in addition to, specific manufacturer requirements, the department superintendent may invoke additional requirements in accordance with department procedures.

The Vice President and Chief Engineer is responsible for specifying in procurement documents and in engineering specifications that written procedures be used, as appropriate, for the handling, shipping, storage, cleaning, and preservation of materials and equipment procured for modifications. These procedures are prepared by contractors, by the station staff, or by staff members of General Maintenance or Electric Meter and Laboratory, as appropriate. Rochester Gas and Electric procedures are reviewed and approved as described in Section 6.

In the preparation of procurement documents, department procedures, and contractor procedures, consideration of handling, shipping, storage, cleanliness, and preservation



is given to all material and equipment throughout various stages of manufacturing and installation prior to operational acceptance.

Quality Assurance is responsible for review of engineering specifications to assure that proper handling, storing, and shipping requirements have been specified. Quality Control is responsible for surveillance of handling, storage, and shipping activities by suppliers, Rochester Gas and Electric personnel, and contractors.

14. Inspection, Test, and Operating Status

Equipment or systems not ready for normal service are clearly identified by use of tags, control logs, and other suitable means to indicate the status in a positive manner. The identification is sufficient to positively indicate the status of the particular equipment or system being isolated.

The Ginna Station Superintendent is responsible for indicating the status of operating equipment or systems to be removed from service for maintenance, repair, or modification in accordance with the approved Rochester Gas and Electric Intra-Station Holding Rules. The Ginna Station Superintendent designates personnel who have station holding authority.

Personnel who have station holding authority are responsible for directing the status change of equipment and systems in accordance with the approved company Intra-Station Holding Rules. System status is indicated through the use of hold tags and control logs.

Equipment or system inspection and test status are indicated by use of test tags, labels, or work inspection and test status sheets. Written procedures control the use of hold tags, test tags, and labels. The procedures require the recording of the name of the person placing and removing the tag.

Systems, components, and equipment which are found to be unacceptable during or after testing are clearly identified.

Fuel handling operations involving fuel assemblies or other radioactive sources are identified and controlled by the use of tags, stamps, or other suitable means.

Maintenance, repair, or modification of components, systems, or structures utilizes procedures, travelers, data sheets and checklists to indicate status of the work, inspections and tests and corresponding acceptance or rejection for a particular component, system, or structure. These job control forms are prepared jointly by the job supervisor and Quality Control and maintained at a designated control location to indicate the status and the completion of required inspections and tests.

Quality Control monitors the status change activities for their compliance to approved procedures and assures that inspection results are properly logged. Quality Control also establishes the procedures for implementing the inspection status sheets utilized during inservice inspection.

15. Nonconforming Materials, Parts, and Components

Procedures are established for the control, evaluation and disposition of deficient material, parts, and components. Materials, parts, or components which do not conform to the drawing or specification requirements are identified with a hold tag and reported on a nonconformance report. Quality Control is responsible for issuing nonconformance reports, recommending disposition, initiating repair or rework, and inspecting and approving repaired or reworked items. Prior to installation or use, nonconforming items generally remain in a Quality Control receiving inspection area until approved disposition has been received. Nonconforming items which are released for installation to meet critical fabrication schedules are controlled by Quality Control to prevent inadvertant use prior to clearance of the nonconformance. After installation or use, nonconforming items are identified and controlled until approved disposition has been received.

Nonconformances identified at a supplier's facility and reported to RG&E, which have supplier recommended dispositions of use-as-is, or repair, are normally processed by the department originating the procurement. Organizations which specify the requirement being dispositioned are responsible for reviewing and approving the supplier recommended disposition. This also applies to nonconformances discovered after receipt inspection, during handling or after installation or use.

Items are repaired and reworked only in accordance with approved procedures and current drawings. Quality Control assures that approved procedures and/or drawings are available for use prior to the repair or rework and reinspects all repaired or reworked items. The repair or rework must be verified as acceptable by an inspection of the affected item which is at least equal to the original inspection method.

Items which are accepted "use-as-is" are fully documented with the drawing or specification requirement and technical justification for acceptance. All such items are approved prior to use by the cognizant organization having responsibility for the requirement. In addition, those "use-as-is" nonconformances which also deviate from a Design Criteria requirement shall require additional approval of the Vice President, Electric and Steam Production.

Quality Control issues monthly nonconformance report summaries which are reviewed and analyzed by Quality Assurance. Unsatisfactory trends are reported to management by means of the corrective action report in accordance with Section 16.

16. Corrective Action

Quality Assurance establishes the requirements for identification, review and correction of significant conditions adverse to quality. Significant conditions adverse to quality such as failures, malfunctions, deficiencies, deviations, defective material and equipment, and non-conformances are reported on a corrective action report. Significant conditions adverse to quality include conditions affecting safety, conditions which could result in plant shutdown, high maintenance items, and operating procedure deficiencies. The corrective action report identifies the condition, the cause of the condition, and the corrective action taken.

Corrective action reports may be initiated by Quality Assurance, Engineering, Ginna Station, General Maintenance, Electric Meter and Laboratory or Purchasing staff personnel. Corrective action reports initiated at Ginna Station and General Maintenance are submitted to Quality Control for review and subsequent processing. Corrective action reports initiated by departments other than at Ginna Station or General Maintenance are reviewed and processed by Quality Assurance.

When a significant condition adverse to quality at Ginna Station is identified, Quality Control evaluates the affect of continuing the activity. If continuing the activity would cover up or preclude identification and correction of the deficiency, continuing the activity would increase the extent of the deficiency or lead to an unsafe condition, stop work action is taken. The Ginna Station Quality Control Engineer has authority to stop work on maintenance, repair, inservice inspection, refueling, modification, testing or inspection deficiencies, at Ginna Station. The Ginna Station Quality Control Engineer may recommend stop work action to the Ginna Station Superintendent on operating deficiencies.

The Plant Operations Review Committee reviews all corrective action reports initiated at Ginna Station and recommends interim corrective action if the action does not represent a change in configuration of the deficient item. The Committee recommends permanent corrective action for all conditions adverse to quality which involve operating procedures.

Significant conditions adverse to quality identified in General Maintenance are processed by the Quality Control Coordinator. The General Maintenance Quality Control Coordinator has the authority to stop or limit work activities within his department.

Conditions adverse to quality which involve design deficiencies or a recommended corrective action which involves a design change are reviewed by Ginna Station or Engineering as applicable. The cognizant organization determines the cause of the condition and recommends corrective action to preclude repetition.

Quality Assurance reviews all corrective action reports to assure that the cause of the condition has been determined and that corrective action has been taken to preclude repetition. Quality Assurance also reviews nonconformance report summaries for unsatisfactory trends and initiates a corrective action report if such a trend occurs.

Completed corrective action reports are submitted to the Vice President, Electric and Steam Production to keep him aware of significant conditions adverse to quality.

17. Quality Assurance Records

Quality Assurance is responsible for establishing the basic requirements for quality assurance record retention and maintenance. The Ginna Station Superintendent is responsible for the retention and maintenance of plant records. Engineering is responsible for the retention and maintenance of Engineering records. Quality Assurance, Purchasing, General Maintenance and Electric Meter and Laboratory departments are responsible for assuring the maintenance and retention of records which they originate. This may be accomplished either by retaining the records in their department or by forwarding them to Ginna Station or Engineering, as appropriate. Each organization retaining records is responsible for preparation, review, approval, and implementation of specific quality assurance record procedures for their areas of responsibility in accordance with these requirements. The records which fall within quality assurance record requirements include those records required by Section 6.10 of the Technical Specifications and the quality assurance program. All records associated with the operation, maintenance, repair, inservice inspection, refueling, modification, inspection and testing of structures, systems, and components covered by the quality assurance program are included.

Ginna Station records include operating logs; the results of inspections, tests, and the monitoring of plant activities; drawings, procurement documents and material analyses;

Revision 10
June 1985

calibration procedures and reports; and nonconforming and corrective action reports. Records of the qualification of personnel, procedures, and equipment for special processes and the results of reviews are maintained by Engineering.

Inspection and test records contain a description of the type of test or inspection activity, evidence of completion of the activity, results, the name of the inspector or data recorder, the acceptance or rejection of the activity, and a record of any nonconformances.

The requirements and responsibilities for record accessibility and transmittal are described in the Quality Assurance Manual sections as appropriate. Requirements and responsibilities for preparation, inspection, identification, review, storage, retrieval, maintenance, and the retention of quality assurance records are in accordance with applicable quality assurance record procedures, codes, standards, and procurement documents. Records are available to authorized personnel. Removal from record storage is documented on sign-out cards and accountability is maintained by the responsible record control activity.

Records are either stored in record storage facilities which are designed to prevent destruction of records through fire, flooding, theft, and deterioration by temperature or humidity conditions; or, duplicate records are kept in two separate storage locations in separate buildings which are physically isolated from each other.

Record keeping procedures provide for receiving, classifying, indexing, labeling, and preparing records for storage. The procedures establish retention requirements, accessibility, control of obsolete record destruction, and control for issuance and return of all records.

The Ginna Station Superintendent is responsible for maintaining plant operating records as required in Section 6.10, Technical Specifications.

Engineering is responsible for maintaining design records, such as specifications, drawings, design review reports, and design control documentation; quality assurance records, such as audit reports and supplier surveillance reports; purchasing records, such as supplier qualifications, bid evaluations, and purchase orders.

18. Audits

Compliance with all aspects of the quality assurance program and the effectiveness of the program is determined by audits of all organizations performing quality affecting activities. Quality Assurance is responsible for conducting audits of



each organization involved in the quality assurance program on a planned, periodic basis. Audit intervals are based on the status and safety important of activities being performed.

Audits of Ginna Station, Engineering, General Maintenance, Electric Meter and Laboratory and Purchasing organizations are performed annually. Table 18-1 is a list of the activities to be audited in each of the organizations. Audit frequencies are based on the level of activity in each area. Audit schedules are established to assure that each of the activities are audited at the frequency specified in Technical Specifications 6.0 which includes annually for those activities required to meet the criteria of Appendix B, 10CFR. Additional audits are conducted as required by special conditions or circumstances.

Each audit requires the development of an audit plan to provide information about the audit, such as the functional areas to be audited, the names and assignments of those who will perform the audit, the scheduling arrangements, and the method of reporting findings and recommendations. The audits are performed in accordance with written procedures or checklists by appropriately trained personnel not having direct responsibilities in the areas being audited.

Audit results are documented and reported to the person having supervisory responsibility in the area audited, the Vice President, Electric and Steam Production, and the Nuclear Safety Audit and Review Board. Within a specified period of time, the person having supervisory responsibility in the area audited is required to review the audit results, take necessary action to correct the deficiencies revealed by the audit, and document and report the corrective action.

Quality Assurance is responsible for developing audit plans and audit checklists, designating and training audit personnel, and conducting audits.

Audits may be conducted by Quality Assurance engineers or other qualified personnel, such as technical specialists from other company departments and outside consultants.

Audits of major contractors, subcontractors, and suppliers are conducted during the early stages of design and procurement, as required, to evaluate their quality assurance program for compliance with all aspects of the procurement documents. Audits are conducted, as required, to assure that major contractors, subcontractors, and suppliers are auditing their suppliers' quality assurance programs in accordance with procurement documents. During the project, additional audits are performed, as required, to assure all quality assurance program requirements are properly implemented in accordance with procurement documents.



Quality Assurance performs regular analyses of audit results to evaluate quality trends. Results of these analyses will be provided to management for their regular review.

Table 1-1
Quality Assurance Program Procedures
Subject Listing

<u>Quality Assurance Procedures</u>	<u>Appendix B Criteria</u>
Indoctrination of Quality Assurance and Supervisory Personnel	I
Training of Quality Assurance Personnel	I
Management Review of the Quality Assurance Program	I
Periodic Review of Quality Assurance Procedures	I
Quality Assurance Group Organization and Responsibilities	II
Quality Assurance Review of Rochester Gas and Electric Design Criteria	III
Quality Assurance Review of Rochester Gas and Electric Engineering Specifications	III
Quality Assurance Review of Architect/Engineer's Design Documents	III
Requisitioning Quality Assurance Services	IV
Quality Assurance Review of Rochester Gas and Electric Procurement Documents	IV
Preparation, Review and Approval of Rochester Gas and Electric Q.A. Specifications	IV
Preparation, Review and Approval of Ginna Station Quality Assurance Manual	V
Preparation, Review and Approval of Quality Assurance Procedures	V
Review of Departmental Procedures	VI
Preparation, Review and Approval of Procedure Deviation Requests by Quality Assurance	VI
Qualification of Suppliers	VII
Supplier Surveillance	VII



Table 1-1 (cont'd)

<u>Quality Assurance Procedures</u>	<u>Appendix B Criteria</u>
Control of Supplier Performance	VII
Quality Assurance Bid Evaluations	VII
QA Review of Inservice Inspection	X
Preparation, Review and Processing of Corrective Action Reports by Quality Assurance	XVI
Qualification of Auditing Personnel	XVIII
Audit Scheduling and Planning	XVIII
Performance of Quality Assurance Audits	XVIII
Reporting and Follow-Up of Audit Findings	XVIII
Conduct of Quality Assurance During and in Follow-Up of USNRC and Management Audits	XVIII



Table 1-1 (cont'd)

<u>Ginna Procedures</u>	<u>Appendix B Criteria</u>
Ginna Quality Assurance Program Implementation	I
Training of Ginna Personnel	I
Ginna Organization	II
Work Start Authorization	III
Modification Control Activities	III
Ginna Station Modification Evaluation	III
Preparation, Review and Approval of Design Documents	III
Preparation, Review and Approval of Minor Modification Safety Analysis	III
Control of Procurement Documents for Purchased Materials, Parts, Components, and Services	IV
Plant Procedures	V
Plant Procedure Document Control	VI
Control of Engineering Documents	VI
Control of NRC Correspondence	VI
Receipt and Acceptance of Purchased Materials	VII
Supplier Qualification Technical Evaluation	VII
Control of Purchased Services	VII
Control of Accepted Material, Parts and Components	VIII
Identification and Marking of Material	VIII
Control of Welding	IX
Welding Equipment Performance Verification	IX
Nondestructive Examination	IX
Inspection and Surveillance Activities	X

Table 1-1 (cont'd)

<u>Ginna Procedures</u>	<u>Appendix B Criteria</u>
Qualification of Surveillance and Inspection Personnel	X
Inservice Inspection	X, XIV
Performance of Tests	XI
Qualification of Test Personnel	XI
Calibration and Control of Test Instruments	XII
Calibration and Control of Mechanical Measuring Tools and Equipment	XII
Calibration and Control of Process System Instrumentation	XII
Control of Material Handling and Handling Equipment	XIII
Storage and Preservation of Materials	XIII
Station Holding Roles	XIV
Test Status Control	XIV
Control and Disposition of Nonconforming Materials	XV
Issue of Nonconformance Reports	XV
Corrective Action at Ginna Station	XVI
Control of Quality Assurance Records	XVII
Record Storage Facility and Equipment	XVII
System and Equipment Histories	XVII
Ginna Station Response to Internal Audits	XVIII



Table 1-1 (cont'd)

<u>Engineering Procedures</u>	<u>Appendix B Criteria</u>
Indoctrination and Training	I
Engineering Department Organization and Responsibilities	II
Preparation, Review and Aprproval of Design Input Documents	III
Preparation, Review and Approval of Design Analyses	III
Engineering Drawings	III
Preparation, Review and Approval of Specifications	III
Design Verification	III
Design Interface Control	III
Preparation, Review and Approval of Safety Analyses	III
Review and Approval of Architect Engineer or Consultant Design Documents	III
Preparation, Review and Approval of Field Change Requests	III
Purchase Requisition	IV
Engineering Procedures	V
Engineering Procedure Deviation Request	V
Distribution and Control of Documents by the Control Number Method	VI
Control of Documents by the List of Current Revisions Method	VI
Distribution and Control of Documents by Project Correspondence Procedures	VI
Receipt, Control and Distribution of Drawings and Aperature Cards	VI
Supplier Evaluation	VII

Table 1-1 (cont'd)

Engineering Procedures

Appendix B
Criteria

Preparation, Review and Approval of Bid Requests, Bid Evaluations and Recommendations for Award	VII
Engineering Review of Nonconforming Materials, Parts or Components	XV
Initiating and Responding to Corrective Action Reports	XVI
Records	XVII
Engineering Response to Audits	XVIII



Table 1-1 (cont'd)

<u>Purchasing Procedures</u>	<u>Appendix B Criteria</u>
Periodic Review of Purchasing Procedures	I
Indoctrination and Training of Purchasing Personnel	I
Purchasing Department Organization and Responsibilities	II
Preparation, Review, Approval and Issuance of Purchase Orders and Changes to Purchase Orders	IV
Requests for Bids and Bid Evaluation	IV
Purchasing Procedures	V
Purchasing Procedure Deviation Request	V
Supplier Evaluation	VII
Establishment and Maintenance of Qualified Suppliers List	VII
Supplier Nonconformance Processing	XV
Purchasing Department Response to Corrective Action Reports and Corrective Action Reporting	XVI
Purchasing Records	XVII
Purchasing Response to Audits	XVIII



Table 1-1 (cont'd)

<u>General Maintenance Procedures</u>	<u>Appendix B Criteria</u>
Indoctrination and Training	I
General Maintenance Organization and Responsibilities	II
Preparation, Review and Approval of Purchase Requisitions and Related Procurement Documents	IV
Quality Maintenance Procedures	V
Quality Maintenance Procedure Deviation Request	V
Preparation, Review and Approval of General Maintenance Fabrication Route Cards	V
General Maintenance Instructions for Material Handling and Lifting Equipment	V
Control and Distribution of Documents Regulating Safety Related Activities	VI
Receipt and Acceptance of Purchased Materials	VII
Control of Accepted Material, Parts and Components	VIII
Traceability of Material	VIII
Issue, Control and Storage of Weld Consumables	VIII
Welding Procedures	IX
Welding Procedure Qualification	IX
Heat Treating Procedures	IX
Welder Qualification and Currency	IX
Inservice Inspection	IX
Control of Welding	IX
Welding Equipment Performance Verification	IX
Nondestructive Examination Procedures	IX



Table 1-1 (cont'd)

<u>General Maintenance Procedures</u>	<u>Appendix B Criteria</u>
Nondestructive Examination Procedures Manual	IX
Nondestructive Examination Personnel Certifications	IX
Inspection and Surveillance Activities	X
Qualification of Surveillance and Inspection Personnel	X
Calibration and Control of Nondestructive Examination Instruments	XII
Inspection and Maintenance of Material Handling Equipment	XIII
Overhead and Gantry Cranes	XIII
Inspection and Maintenance of Portable Lifting and Handling Equipment	XIII
Underhung Cranes, Jib Cranes and Monorail Systems	XIII
Slings and Related Apparatus	XIII
Classification and Training of Material Handling Equipment Personnel	XIII
Mobile Hydraulic Cranes	XIII
Inspection and Maintenance of Jacks	XIII
Forklift Loading Forks	XIII
Control and Disposition of Nonconforming Material, Parts and Components	XV
Corrective Action at General Maintenance	XVI
Quality Maintenance Records	XVII
General Maintenance Response to Internal Audits	XVIII

Table 1-1 (cont'd)

<u>Electric Meter and Laboratory Procedures</u>	<u>Appendix B Criteria</u>
Quality Assurance Program Implementation for Electric Meter and Laboratory Department	I
Training of Electric Meter and Laboratory Personnel	I
Periodic Review of Quality Relay Procedures	I
Electric Meter and Laboratory Organization	II
Design/Modification Activities Control	III
Control of Procurement Documents for Purchased Materials, Parts, Components and Services	IV
Preparation, Review, and Approval of Electric Meter and Laboratory Procedures	V
Control of Electric Meter and Laboratory Procedures	VI
Supplier Qualification Technical Evaluation	VII
Performance of Tests at Ginna Station	XI
Performance of Tests at Electric Meter and Laboratory Shop	XI
Documentation, Evaluation and Disposition of Test Results	XI
Qualification of Test Personnel	XI
Calibration and Control of Test Instruments	XII
Control and Disposition of Nonconforming Materials	XV
Corrective Action at Electric Meter and Laboratory	XVI
Control of Quality Assurance Records	XVII
Response to Internal QA Audits	XVIII



TABLE 4-1
Procurement Document Requirements

Items to be considered for inclusion in procurement documents include:

1. Scope of Work - Detailed statement of the work to be performed.
 - *2. Technical Requirements - by reference to specific drawings, specifications, codes, regulations, procedures or instructions including revisions, thereto that describe the items or services to be furnished. Also identified shall be test, inspection and acceptance requirements, and any special requirements for such activities as designing, identification, fabrication, cleaning, erecting, packaging, handling, shipping and extended storage.
 - *3. Quality Assurance Program Requirements - which require the supplier to have a documented quality assurance program that implements portions or all of 10CFR50 Appendix B as well as applicable quality assurance program requirements of other nationally recognized codes and standards. Also included shall be the requirement that the supplier incorporate appropriate quality assurance program requirements in subtier procurement documents.
 - *4. Right of Access - to include the facilities and records of the supplier for source inspection and audit by the Purchaser or parties designated by the purchaser. Also included shall be provisions for the identification of witness and hold points and the minimum time of advance notice.
 - *5. Documentation Requirements - Submittal approval and retention requirements for documents such as quality assurance manuals, special process and test procedures, materials records, calculations and analyses.
 - *6. Nonconformances - Requirements for reporting and disposition of nonconformances to procurement requirements.
- * - Included in the review by Quality Assurance/Quality Control.

TABLE 18-1
Audit List

<u>Functional Organization</u>	<u>Activities Audited</u>
Engineering	Indoctrination and Training Design Control Procurement Document Control Document Control Records Procurement Control
Purchasing	Indoctrination and Training Procurement Document Control Procurement Control
Ginna Station	QA Indoctrination and Training Ginna Staff Training, Retraining- Qualification and Performance Modification Maintenance and Repair Procurement Control Document Control and Records Inservice Inspection Surveillance Testing Handling, Storage and Shipping Facility Operation Conformance to all provisions contained in Technical Specifications and applicable license conditions Refueling Control of Measuring and Test Equipment Health Physics & Chemistry Security Plan and Procedures Emergency Plan and Procedures Inspection & Surveillance Fire Protection Corrective Action associated with deficiencies occurring in facility equipment, struc- tures, system or method of operation Transportation of Radioactive Waste

TABLE 18-1 (cont'd.)
Audit List

Functional Organization

Activities Audited

General Maintenance

Indoctrination and Training
Maintenance and Repair
Procurement Control
Document Control
Fabrication Inspection Control
Control of Measuring and Test
Equipment
Special Processes
Handling, Storage and Shipping

Electric Meter and Lab

Indoctrination and Training
Procurement Control
Document Control
Handling and Shipping
Control of Measuring and Test
Equipment
Test Control



R. E. GINNA NUCLEAR POWER PLANT MANAGEMENT ORGANIZATION CHART

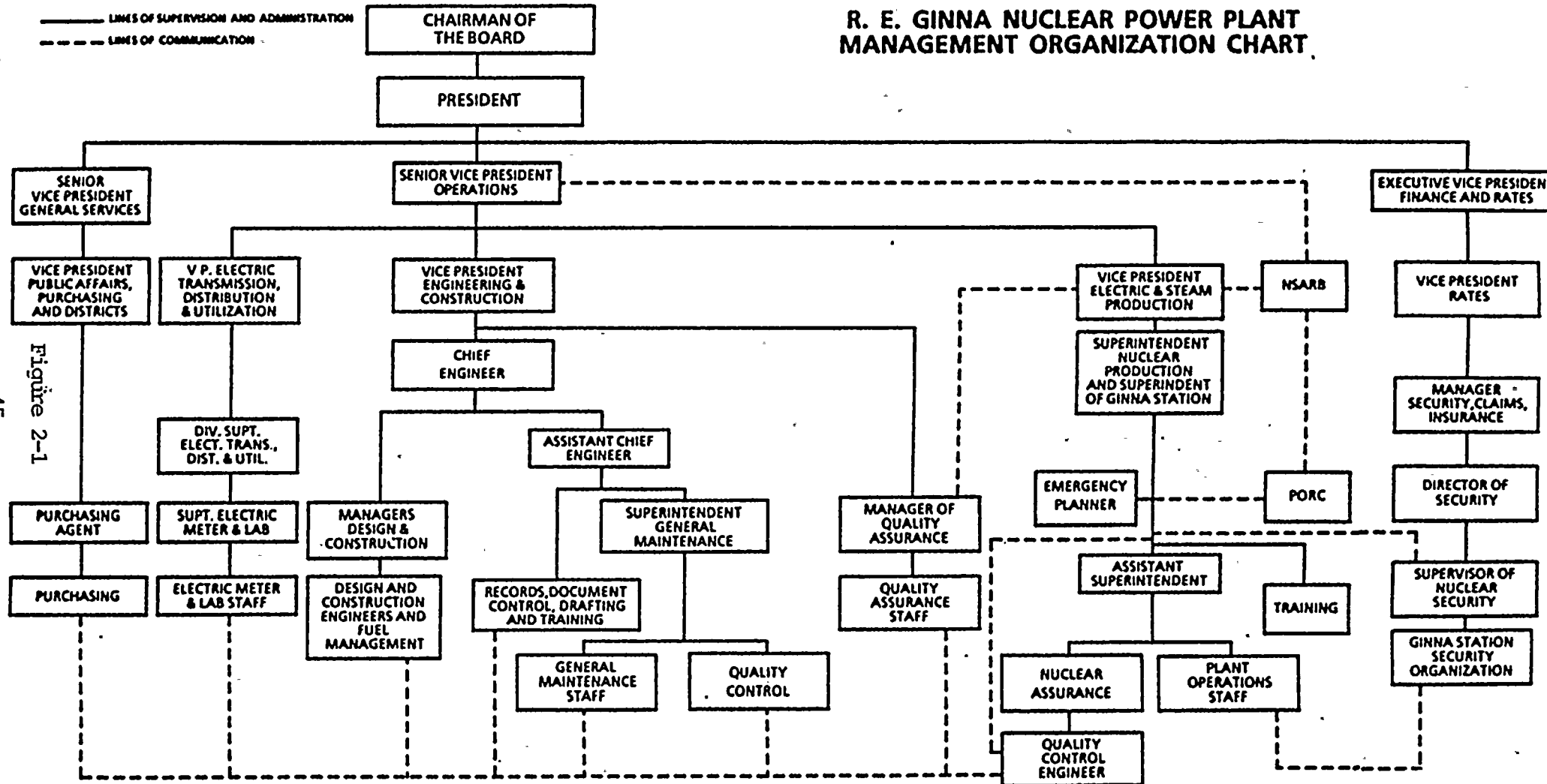
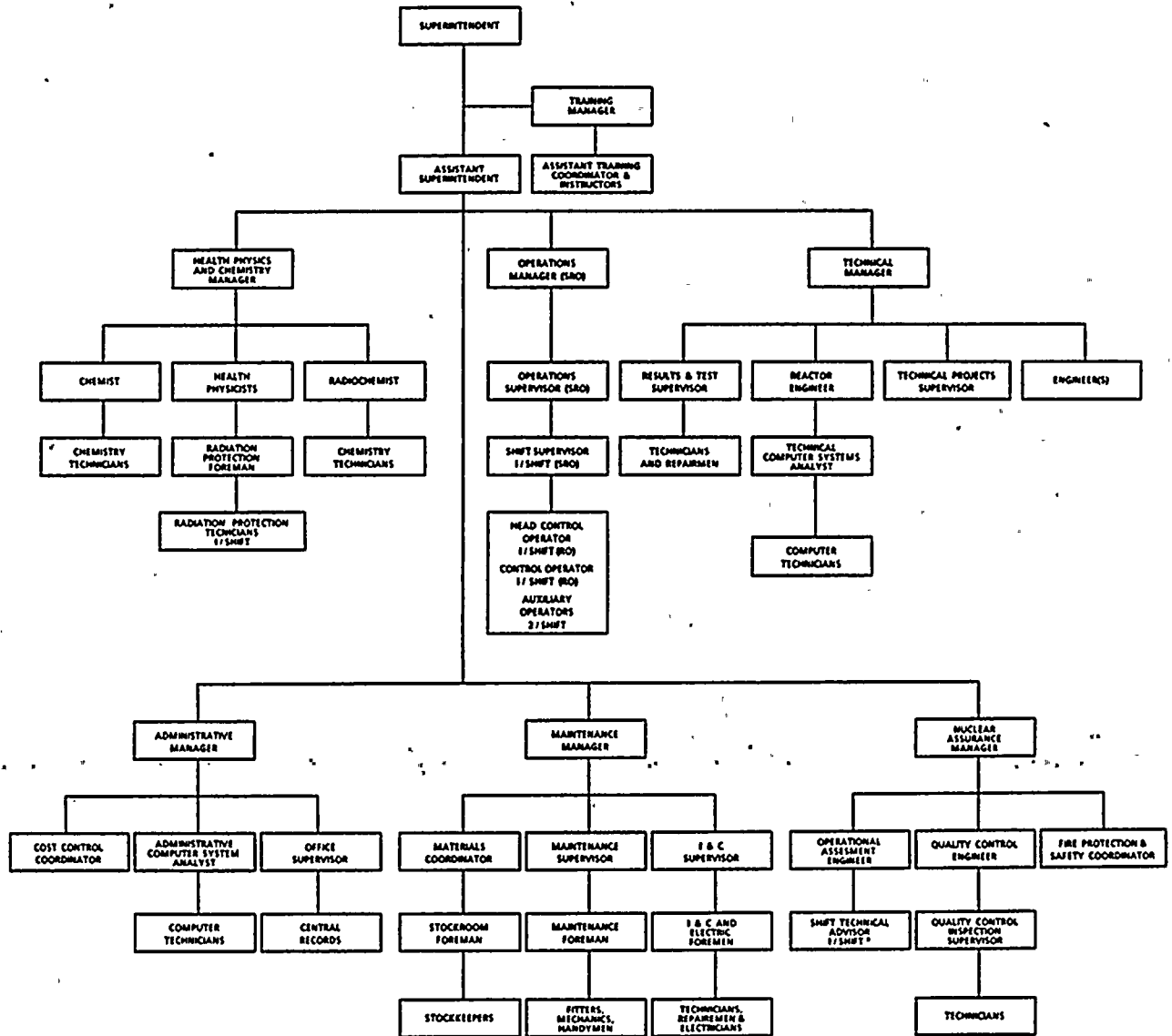


FIGURE 6.2-1

The figure previously appearing on this page was deleted with the issuance of Revision 7, dated November 1980.

ROCHESTER GAS AND ELECTRIC CORPORATION
R. E. GINNA STATION
ORGANIZATION



* WHEN RCS AVERAGE TEMPERATURE >200°F

FIGURE 2-3

Revision 10
June 1985

42 pcf 585 5



Rochester Gas & Electric Corporation
General Maintenance Department
Organization Chart

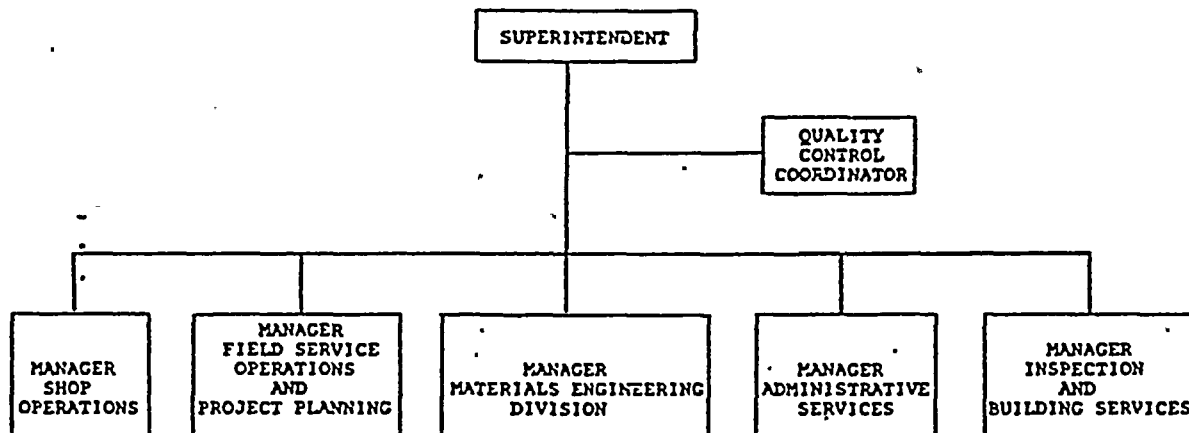
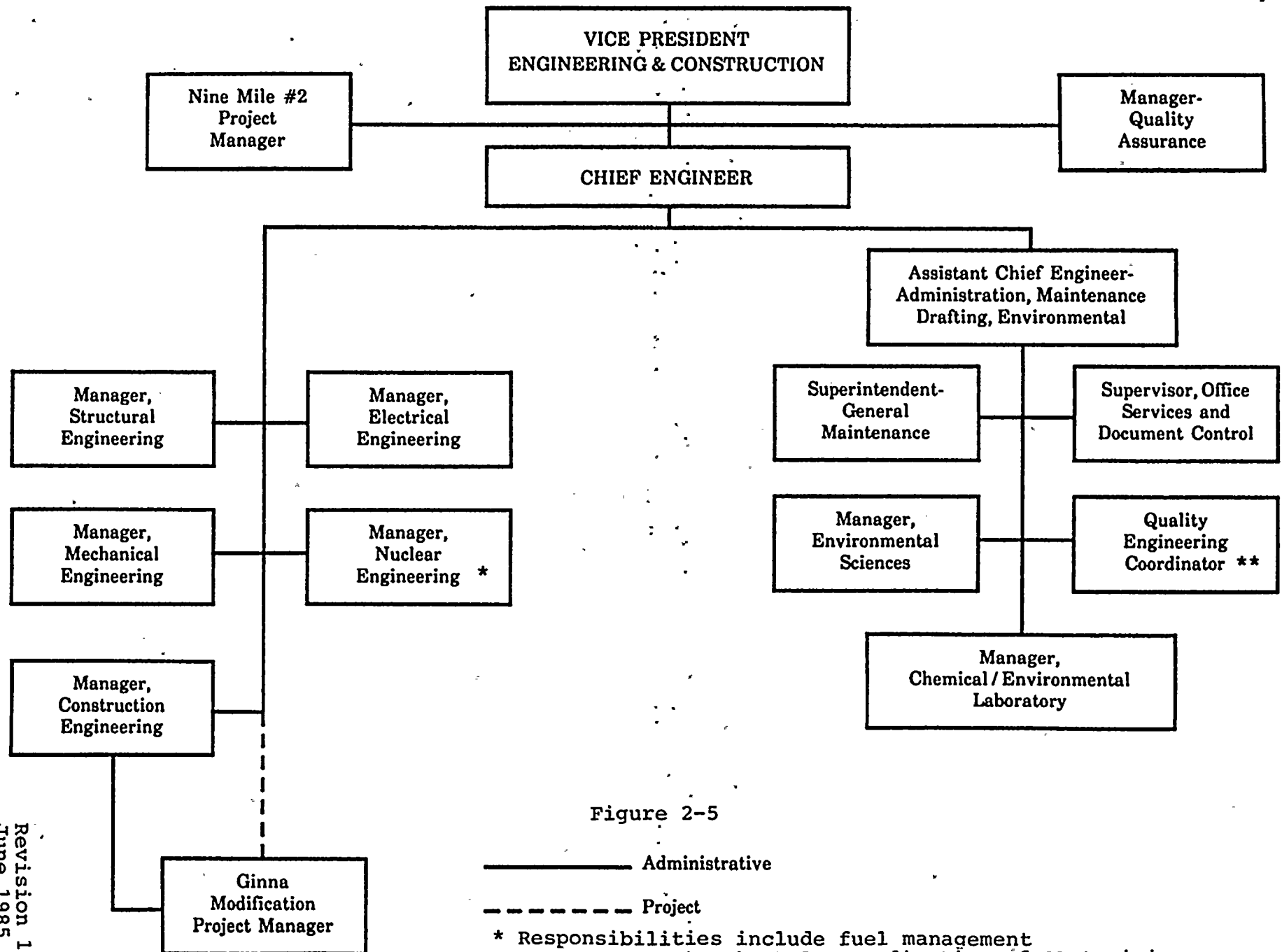


Figure 2-4



ROCHESTER GAS AND ELECTRIC CORPORATION ENGINEERING DEPARTMENT ORGANIZATION



Rochester Gas and Electric Corporation
Ginna Station
Review and Audits Functions

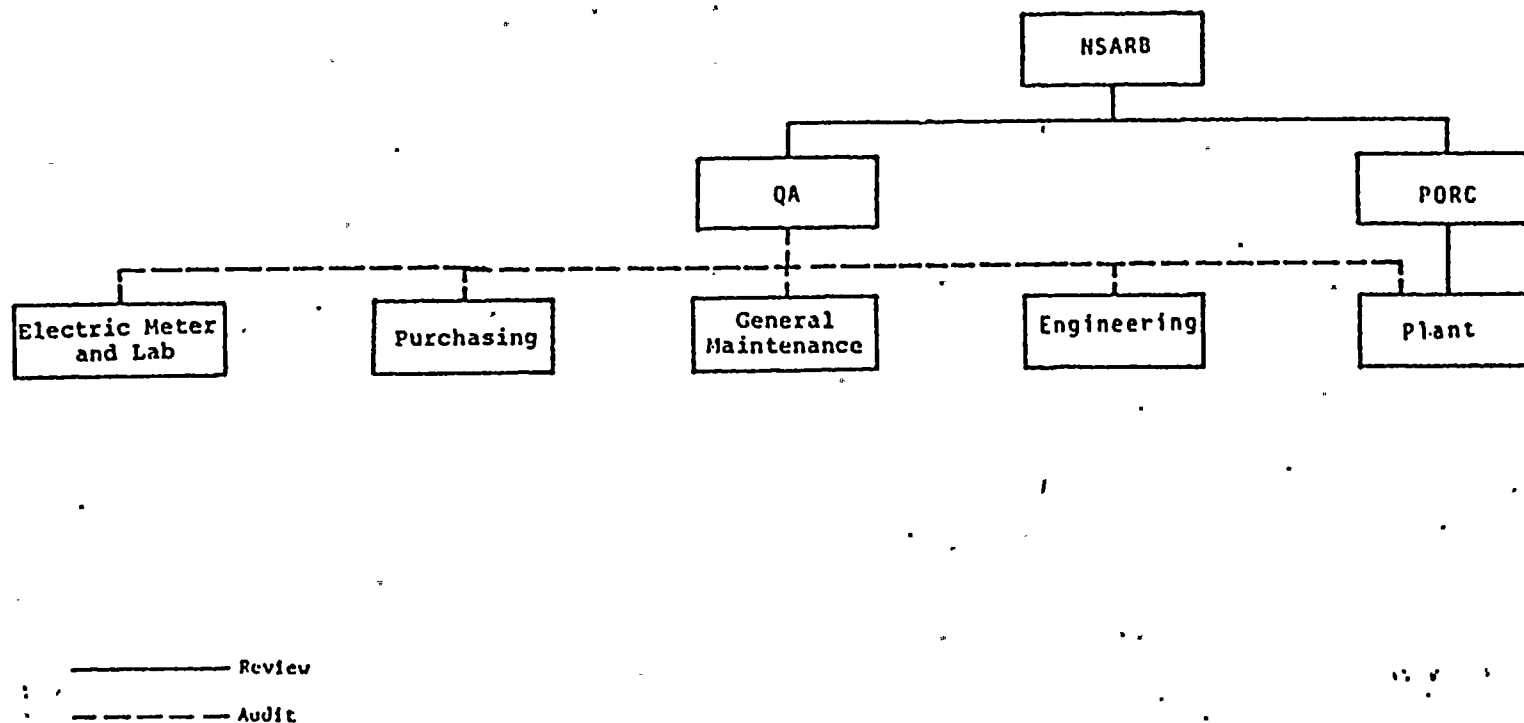


Figure 2-6
February 1, 1976

