

Northeast Utilities
Millstone - Unit 3

Independent Corrective Action Verification Program
(ICAVP)

Programmatic Review Checklist

CK-MP3-04-02, Rev. 0

Change Process Review

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Name

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Signature

4/9/97
Date

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Name

D. K. Schopfer
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4-11-97
Date

IMPLEMENTATION

Change Process:	
Verified By:	Date:
Concurrence By:	Date:

Change Process Review Checklist

Programmatic Review Checklist
CK-MP3-04-02
Change Process Review

Change Process: _____
Procedure No. _____

General Review Questions

These questions should be answered for all change processes.

(if a question is not applicable to the particular change process, indicate the reason)

A. Change Initiation

1. Is an evaluation done to determine if the change involves an unreviewed safety question (10CFR 50.59 review)?
yes ____ no ____ n/a ____
2. Is a control form used to document required reviews and approvals of the change?
yes ____ no ____ n/a ____

B. Change Responsibilities

1. Is the organization or person responsible for processing the change identified?
yes ____ no ____ n/a ____
2. Is the organization or person responsible for reviewing the change identified?
yes ____ no ____ n/a ____
3. Are the methods for performing the design review identified and documented to an extent consistent with safety, complexity, standardization, state of the art and similarity with proven designs?
yes ____ no ____ n/a ____
4. Is responsibility established for final approval of the change and, when applicable, its installation?
yes ____ no ____ n/a ____
5. Is there a controlled process for identifying, reviewing, and approving design input requirements (if applicable)?
yes ____ no ____ n/a ____

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6. Is responsibility established, if applicable, for requesting approval of the NRC per 10CFR50.59 or 10 CFR50.90 (Technical Specification or license changes) and are hold points established for how far installation may progress before this approval is obtained?
yes _____ no _____ n/a _____

C. Change Implementation

1. Are personnel affected by the change required to be trained in the applicable procedure when determined necessary by the responsible authority?
yes _____ no _____ n/a _____
2. Is the review of the change commensurate with the original review?
yes _____ no _____ n/a _____
3. Are channels of communication between involved organizations and individuals defined and is the transmittal of design information between organizations formal?
yes _____ no _____ n/a _____
4. Does the process require the identification and revision of affected FSAR/licensing documentation?
yes _____ no _____ n/a _____

D. Change Documentation

1. Are controls in place for revisions to change documents?
yes _____ no _____ n/a _____
2. Is a method established for as-built mark-ups of affected design documentation on an interim basis including appropriate review and approval?
yes _____ no _____ n/a _____
3. Is a program in place to direct users to this interim documentation for testing, maintenance, and future plant change activities until revised documentation is officially issued?
yes _____ no _____ n/a _____
4. Is the incorporation and release of marked-up changes on revised documents required in a timely manner?
yes _____ no _____ n/a _____

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5. Is there assurance that the documentation of the design and review process including important steps taken during the process such as sources of design input which support the final design is transmitted to records storage?
yes _____ no _____ n/a _____

Process Specific Questions

These questions apply to a particular change process.

(answer only those questions for the process under review as indicated on page 1)

Drawings/Specifications

1. Are design inputs (e.g. Calculations) reviewed and approved prior to document issue or, if not, are reviews complete before relying upon the item to perform a safety function?
yes _____ no _____
2. Are the same industry codes used as in the original document preparation or is an appropriate reconciliation performed?
yes _____ no _____

Calculations

1. Are the same codes and Owner's Requirements used as in the original design or, if either is changed, is a design reconciliation performed per Regulatory Guide 1.33, IWA-7200(c) and NCA-3554?
yes _____ no _____
2. Are other design documents such as drawings or other calculations which are affected by the calculation revision identified?
yes _____ no _____
3. If engineering judgment is used, is the basis for the judgment required to be clearly specified?
yes _____ no _____
4. Is a checklist used for the technical review of the calculation or is the review documented consistent with safety, etc.?
yes _____ no _____
5. Are calculations that are prepared by an outside vendor/contractor approved by NU?
yes _____ no _____

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Procedures

1. Is an engineering review required for a change in *setpoints*?
yes _____ no _____
2. Are user organizations requested to comment on a procedure under preparation/revision?
yes _____ no _____
3. Is an engineering review required in conjunction with changes in maintenance procedures involving the following:
 - Torque values and sequences
 - Compressible gaskets
 - Disassembly/Assembly sequences
 - Number of heat exchanger plugged tubes
 - Equipment vibration limits
 - Environmental (EQ) limitsyes _____ no _____ if no, identify item(s) _____
4. For non-routine procedures is an applicability review performed periodically (say every two years) or before use if the procedure has not been used or reviewed? This applicability review should be performed to determine if changes are necessary.
yes _____ no _____
5. Is there a requirement that applicable commitments (e.g., current licensing basis, other licensing commitments, INPO, etc.) are met by the procedure or appropriately dispositioned?
yes _____ no _____
6. Is there a requirement that procedures specify proper plant and system conditions and that licensing requirements such as LCOs are met?
yes _____ no _____

Temporary Alterations

1. Is shift supervisor approval required for installation or removal of a temporary alteration?
yes _____ no _____

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2. Is there an independent verification or functional test for temporary alterations after they are installed and removed?
yes _____ no _____
3. Is a record (log) kept for each temporary alteration which includes the period of time it is expected to be in place?
yes _____ no _____
4. Is training required for operators and supervisors on the impact on system operation of installed temporary alterations when determined necessary by the responsible authority?
yes _____ no _____
5. Is there a means for reviewing the continued need of a temporary alteration and restricting the installed duration to a reasonable time period (3 months normal, not to exceed 6 months)?
yes _____ no _____
6. Are temporary alterations clearly identified (tagged)?
yes _____ no _____
7. Are instructions provided for the operation of equipment which is temporarily modified; i.e. are appropriate revisions made to affected procedures and/or drawings?
yes _____ no _____
8. Are periodic checks (monthly) made of installed temporary alterations to verify they are tagged and in good condition?
yes _____ no _____

Modifications

1. Is the effect of the modification on the following topics considered:
 - PRA
 - Emergency Preparedness
 - Fire Protection/Appendix R
 - HELB/MELB
 - Setpoints
 - Station Blackout
 - Environmental Review
 - Radiological Environmental Review
 - Seismic Qualification
 - Equipment Qualification (EQ)

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- Security
- ALARA

yes _____ no _____ if no, identify item(s) _____

2. Is there a requirement to revise affected maintenance, inservice inspection, and testing requirements for new or altered components or equipment?

yes _____ no _____

3. Are operating procedure revisions made prior to declaring a modification operable?

yes _____ no _____

4. Is training conducted for operation and maintenance of modified components and equipment prior to putting into service?

yes _____ no _____

5. Is responsibility assigned for identification of applicable post-modification testing requirements other than ASME Section XI inservice testing ?

yes _____ no _____

6. Is post-modification acceptance testing required to be performed (if applicable)?

yes _____ no _____

7. Are test results evaluated for acceptance prior to declaring the modification operable?

yes _____ no _____

8. Are vendor manual updates initiated if the modification affects the contents of the manual?

yes _____ no _____

Minor Modifications

1. Are the following required to categorize the change as a minor modification:

- No change to licensing or design basis
- No effect on emergency operating procedures
- No effect on technical specifications
- No complex calculations or engineering design required

yes _____ no _____ if no, identify item(s) _____

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2. Has a prior review determined that, due to the nature of the modification, some or all of the reviews/evaluations needed for modifications above are not applicable?
yes ____ no ____

Licensing

1. Are appropriate criteria established defining when a licensing change (operating license or Technical Specification) should be initiated?
yes ____ no ____
2. Is a "No Significant Hazards" analysis done for proposed licensing changes?
yes ____ no ____
3. Are required changes to the FSAR and supporting or other licensing documents identified?
yes ____ no ____
4. When required, was the proposed Technical Specification or operating license change or unreviewed safety question submitted to the NRC for review?
yes ____ no ____
5. Are provisions made for the revision of surveillance requirements and procedures affected by an operating license amendment such as a change to Technical Specifications?
yes ____ no ____
6. Are revisions made to the Updated FSAR within 6 months of each refueling outage (but not more than every 2 years)?
yes ____ no ____
7. Is a process established for screening safety evaluations and NRC correspondence to identify changes to the FSAR?
yes ____ no ____

Vendor Manuals

1. Is a procedure in place for incorporating industry/plant experience notices into vendor manuals as appropriate?
yes ____ no ____

1. Is an evaluation of acceptability required for deviation of the following:
- size
 - materials
 - model number
 - lubricant
 - bolting material
 - manufacturer
- yes _____ no _____ if no, indicate item(s) _____
2. Is an evaluation required for use of "manufacturer's equivalent"?
- yes _____ no _____

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Comments

For any "no" Items, provide the reason and any appropriate discussion. For any "no" items which are determined not to be a discrepancy, provide the basis.

Item No.

Discussion