

NRC INSPECTION MANUAL

DI

MANUAL CHAPTER 2900

PERFORMANCE APPRAISAL PROGRAM DI

PROGRAM APPLICABILITY: 2515

2900-01 OBJECTIVES

01.01 The following are objectives of the performance appraisal program:

- a. To evaluate the effectiveness of licensee implementation of management control systems in selected areas important to safety.
- b. To provide input to IE management for an assessment of the effectiveness of regional implementation of the IE inspection program at operating reactors.
- c. To provide to IE management recommendations to modify the IE inspection program for operating reactors based on the results of performance appraisal inspections.
- d. To provide input to IE management for the overview of the INPO operating reactor evaluation program.

2900-02 DEFINITIONS

02.01 Performance Appraisal Report (PAR). The documented evaluation of the effectiveness of licensee implementation of management control systems in selected areas important to safety.

02.02 Potential Enforcement Finding (PEF). An apparent noncompliance from specific regulatory requirements or deviation from specific commitments made by the licensee that are identified during the performance appraisal inspection. Regional management of the applicable Regional Office is responsible for deciding the appropriate enforcement action to be taken in accordance with 10 CFR 2, Appendix C.

2900-03 RESPONSIBILITIES AND AUTHORITIES

03.01 Director, Office of Inspection and Enforcement. Provides oversight for the activities described herein.

03.02 Director, Division of Inspection Programs (DI). Issues the PAR to the licensee.

03.03 Regional Administrators

- a. Notifies the licensee of the planned performance appraisal inspection.
- b. Arranges with the licensee to provide performance appraisal inspectors with security clearances which will allow unescorted access within the protected area.
- c. Takes appropriate enforcement and followup actions on the corrective measures taken by the licensee as a result of performance appraisal inspection findings.

03.04 Chief, Operating Reactor Programs Branch, DI

- a. Approves performance appraisal reports.
- b. Approves the selection of the licensee to be inspected.
- c. Approves the scheduling of inspection dates.
- d. Approves the selection of inspection program areas to be evaluated.
- e. Initiates changes to the IE inspection program as appropriate.

03.05 Chief, Performance Appraisal Section (PAS)

- a. Submits the choice of licensee, inspection dates, and inspection program areas to the Chief, Operating Reactors Programs Branch, DI for approval.
- b. Designates the team leader and team members.
- c. Coordinates the preparation of the PAR and related correspondence.
- d. Communicates to NRC regional management significant PAS inspection findings.
- e. Supervises followup correspondence with licensees.
- f. Provides overall supervision of PAS teams.
- g. Approves inspection plans.
- h. Provides input to the region for use in Systematic Assessment of Licensee Performance (SALP) appraisal.

03.06 Team Leader

- a. Plans the inspection.
- b. Prepares the detailed inspection plan.
- c. Coordinates work between the regional office and the inspection team.

- d. Coordinates the inspection team's activities onsite.
- e. Communicates to the Chief, PAS significant inspection findings that may warrant immediate action by the regional office.
- f. Coordinates the preparation of the PAR and followup correspondence.

03.07 Team Members

- a. Participate in inspection preparation.
- b. Conduct inspections and evaluate the findings in the assigned areas.
- c. Provide inputs for the PAR and followup correspondence.

NOTE: No item in the above responsibilities is to be construed as limiting or channeling through other individuals communications between team members and the Chief, PAS.

2900-04 PERFORMANCE APPRAISAL INSPECTION

04.01 Performance Appraisal Inspection. The inspection is designed to determine how the licensee manages licensed activities. This is accomplished by examining the licensee's management controls over selected functional areas. Each of the functional areas are examined for the following:

- a. Does the licensee have a written program (procedures or policy documents) to provide guidance in the management of the functional area?
- b. Are the procedures and policy documents adequate for controlling the activities in the functional area to assure compliance with regulatory requirements and guidance?
- c. Have the program requirements for the functional area been implemented to achieve compliance with the requirements and guidance in the area, and are these activities appropriately documented?
- d. Do the individuals who have been assigned responsibilities in the functional area understand their responsibilities?
- e. Are licensee personnel with responsibilities in the functional area adequately qualified to perform their activities and have they been adequately trained and retrained to maintain their qualification level?

04.02 Performance Appraisal Report. An inspection report is prepared on completion of the inspection. This report will contain observations that include the perceived strengths and weaknesses in the licensee's management control systems, and identifies PEFs.

04.03 Followup of Inspection Findings. The followup of PEFs is the responsibility of the Region. PEFs will be identified and tracked as unresolved items.

2900-05 INPUT FOR THE ASSESSMENT OF REGIONAL IMPLEMENTATION

For the sites at which a performance appraisal inspection is conducted, regional implementation of the IE inspection program will be assessed for those areas inspected. The team leader shall be responsible for coordinating the preparation of the assessment documentation with the approval of the Chief, PAS.

2900-06 INPO OVERVIEW

The overview of the INPO activities related to the facility operation will be conducted in accordance with the NRC/INPO Coordination Plan attached to the April 5, 1983 letter from W. Dircks (NRC) to E. Wilkinson (INPO).

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