

August 19, 1999

MEMORANDUM TO: File

FROM: August K. Spector, Communication Task Leader
Inspection Program Branch (Original signed by:)
Division of Inspection Program Management
Office of Nuclear Reactor Regulation

SUBJECT: PUBLIC MEETING REACTOR OVERSIGHT PROGRAM
APRIL 22, 1999

On April 22, 1999, a public meeting was held between the NRC and the NEI to continue exchanging information on the reactor oversight program fire protection issues. The meeting agenda, a meeting summary, a list of attendees and a copy of written information exchanged at the meeting are attached.

Attachments: As stated

Contact: August K. Spector
301-415-2140

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DOCUMENT NAME: MAY2499MEETING SUMMARY

* See previous concurrence.

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

August 19, 1999

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FROM:

August K. Spector, Communication Task Leader
Inspection Program Branch
Division of Inspection Program Management
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SUBJECT:

PUBLIC MEETING REACTOR OVERSIGHT PROGRAM
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Contact: August K. Spector
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MEETING SUMMARY
April 22, 1999

The NRC presented the agenda for the April 22, 1999, Public Workshop in Region I. The agenda was finalized by the attendees. The NRC presented the draft charter for the Review Pilot Program Evaluation Panel. Representatives from the NRC CIO staff presented an overview of its work on providing the public with information related to performance indicator and inspection reporting.

**ATTENDEES
Public Meeting
April 22, 1999**

NEI

Tom Houghton
Steve Floyd
John Butler
Adrian Heymer

U.S. NUCLEAR REGULATORY COMMISSION

Alan Madison
August Spector
Armando Masciantonio
Michael R. Johnson
Bill Dean
Serita Sanders
Tom Boyce

OTHERS

Jeff Reinhart, INPO
Mark Burzynski, TVA
Bob Boyce, PECO
Denise Craig, VA Power
Dennis Hassler, PSE&G
Roy Berger, Virginia Power
Rich Jaworski, Omaha Public Power District

AGENDA

April 22, 1999

1. Review schedule for Public Pilot Workshop Meeting to be held on May 17-20, 1999, in Region I.
2. Review Pilot Program Evaluation Panel Charter.
3. Review the Overview & Information Technology considerations for Pilot Project. Presentation by CIO staff.

NUCLEAR REGULATORY COMMISSION

Regulatory Oversight Process Pilot Workshop

AGENCY: Nuclear Regulatory Commission.

ACTION: Notice of Meeting.

SUMMARY: The Nuclear Regulatory Commission (NRC) will hold a public workshop to provide information to the NRC, industry, and public representatives of the participating pilot sites with the new PI reporting, inspection, assessment, and enforcement processes. This meeting is open to the public.

DATES: The workshop will be held May 17 through May 20, 1999. Registration will be held on May 17, 1999 from 10:00 a.m. to noon. The hours of the workshop will be from 12:00 to 5:00 p.m. on May 17, 8:00 a.m. to 5:00 p.m. on May 18 and May 19, and 8:00 a.m. to 1:00 p.m. on May 20.

ADDRESS: The workshop will be held at the Philadelphia Airport Ramada Inn, 76 Industrial Highway (Rt. 291), Essington, PA 19029. The hotel phone number is (610) 521-9600 or (800) 277-3900.

FOR FURTHER INFORMATION CONTACT: August Spector at 301-415-2140 or Lee Miller at 301-415-1361, Mail Stop: O-5H4, Inspection Program Branch, Office of Nuclear Reactor Regulation, U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001.

SUPPLEMENTARY INFORMATION:

BACKGROUND

On March 22, 1999, the staff issued SECY-99-007a *Recommendations for Reactor Oversight Process Improvements (Follow-Up to SECY-99-007)*, forwarding the staff's recommendations for a new reactor oversight process. This paper forwarded additional information and noteworthy changes to the staff recommendations for improving the regulatory oversight process initially provided by SECY-99-007 *Recommendations for Reactor Oversight Improvements*. This paper also responds to the Commission's comments from the January 20, 1999, briefing on SECY-99-007 and provides the staff's responses to public comments. The following issues represent a brief summary of the concepts presented in SECY-99-007A.

Over the last 10 years, commercial nuclear power plants have been operated safely and overall plant performance has improved. This improvement in plant performance can be attributed, in part, to successful regulatory oversight. Despite this success, the agency has noted that the current reactor oversight process (1) is at times not clearly focused on the most safety important issues, (2) consists of redundant actions and outputs, and (3) is frequently subjective, with NRC action taken in a manner that is at times neither scrutable nor predictable.

In the new regulatory oversight process:

- **There will be a risk-informed baseline inspection program that establishes the minimum regulatory interaction for all licensees.**
- **Thresholds will be established for licensee safety performance, below which increased NRC interaction would be warranted.**
- **Adequate assurance of licensee performance will require assessment of both performance indicators (PIs) and inspection findings.**
- **Inspection findings will be evaluated for significance and integrated with PIs in timely manner to support overall assessment of licensee performance.**
- **Both PIs and inspection findings will be evaluated against risk-informed thresholds, where feasible.**
- **Crossing a PI threshold and an inspection threshold will have the same meaning with respect to safety significance and required NRC interaction.**
- **The baseline inspection program will cover those risk-significant attributes of licensee performance not adequately covered by PIs.**
- **The baseline inspection program will also verify the accuracy of PI data collection and analysis and provide for event response, as appropriate.**

- **Enforcement actions will be focused on issues that are risk significant.**
- **Guidelines will be established for identifying and responding to unacceptable licensee performance.**

Additionally, the staff will pilot the new reactor oversight process during a 6-month period beginning in June, 1999. The purpose of the pilot program is to exercise the new processes (PI reporting, inspection, assessment, and enforcement), to identify process and procedure problems and make appropriate changes and, to the maximum extent possible, evaluate the effectiveness of the new process. Full implementation of the new oversight process will commence pending successful completion of the pilot program, as measured against pre-established success criteria. A notable feature of the pilot program is the use of the Pilot Program Evaluation Panel, consisting of NRC, NEI, industry, public, and State representatives, to aid in evaluating the effectiveness of the pilot program.

SCOPE OF THE PUBLIC WORKSHOP

The NRC will hold a four day workshop from May 17-20, 1999, to review and familiarize NRC, industry, and public representatives of the participating pilot sites with the new PI reporting, inspection, assessment, and enforcement processes. However, representatives from all plants are welcome to attend the workshop. The pilot plants are: Hope Creek, Salem Units 1 and 2, FitzPatrick, Prairie Island Units 1 and 2, Quad Cities Units 1 and 2, Shearon Harris, Sequoyah Units 1 and 2, Ft. Calhoun, and Cooper.

Attendees should be familiar with the key attributes of the new oversight processes and their associated program documents and understand the key differences between the new processes and the existing oversight processes. Copies of SECY-00-007 and SECY-99-007a are available on the Internet at

<http://www.nrc.gov/NRC/COMMISSION/SECYS/index.html#1999>.

The agenda for the workshop will consist of the following:

- Day 1: registration and check-in, background and concept review, review of performance indicators (PIs), thresholds, and PI manual
- Day 2: practical examples of PI data reporting, and inspection procedure review and documentation
- Day 3: significance determination process (including practical examples), and new enforcement policy
- Day 4: assessment process review (including practical examples)

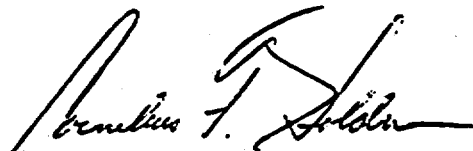
WORKSHOP PRE-REGISTRATION

Workshop attendees are requested to pre-register with the NRC approximately two weeks before the workshop. Attendees may pre-register in either of the following ways:

1. fax to Sun Hoon Kim at (301) 415-5106
2. mail to: U.S. Nuclear Regulatory Commission, Attn: Sun Hoon Kim, Office of Human Resources, Mailstop T3D45, Washington, D.C. 20555-0001

Dated at Rockville, Maryland, this 19 day of April 1999

FOR THE NUCLEAR REGULATORY COMMISSION



**Cornelius F. Holden, Acting Chief
Inspection Program Branch
Division of Inspection Program Management
Office of Nuclear Reactor Regulation**

DRAFT ACTION MATRIX

LICENSEE PERFORMANCE INCREASING SAFETY SIGNIFICANCE →						
RESULTS		All Assessment Inputs (Performance Indicators (PIs) and Inspection Findings) Green; Cornerstone Objectives Fully Met	One or Two White Inputs (In different cornerstones) in a Strategic Performance Area; Cornerstone Objectives Fully Met	One Degraded Cornerstone (2 White Inputs or 1 Yellow Input) or any 3 White Inputs in a Strategic Performance Area; Cornerstone Objectives Met with Minimal Reduction in Safety Margin	Repetitive Degraded Cornerstone, Multiple Degraded Cornerstones, Multiple Yellow Inputs, or 1 Red Input ¹ ; Cornerstone Objectives Met with Longstanding Issues or Significant Reduction in Safety Margin	Overall Unacceptable Performance; Plants Not Permitted to Operate Within this Band, Unacceptable Margin to Safety
RESPONSE	Regulatory Conference	Routine Senior Resident Inspector (SRI) Interaction	Branch Chief (BC) or Division Director (DD) Meet with Licensee	DD or Regional Administrator (RA) Meet with Licensee	EDO (or Commission) Meet with Senior Licensee Management	Commission meeting with Senior Licensee Management
	Licensee Action	Licensee Corrective Action	Licensee Corrective Action with NRC Oversight	Licensee Self Assessment with NRC Oversight	Licensee Performance Improvement Plan with NRC Oversight	
	NRC Inspection	Risk-Informed Baseline Inspection Program (Baseline)	Baseline and Inspection Follow-up	Baseline and Inspection Focused on Cause of Degradation	Baseline and Team Inspection Focused on Cause of Degradation	
	Regulatory Actions	None	Document Response to Degrading Area in Inspection Report	Docket Response to Degrading Condition	-10 CFR 2.204 DFI -10 CFR 50.54(f) Letter - CAL/Order	Order to Modify, Suspend, or Revoke Licensed Activities
COMMUNICATION	Assessment Report	DD review/sign assessment report (w/ inspection plan)	DD review/sign assessment report (w/ inspection plan)	RA review/sign assessment report (w/ inspection plan)	RA review/sign assessment report (w/ inspection plan) Commission Informed	
	Public Assessment Meeting	SRI or BC Meet with Licensee	BC or DD Meet with Licensee	RA Discuss Performance with Licensee	EDO (or Commission) Discuss Performance with Senior Licensee Management	Commission Meeting with Senior Licensee Management
←----- Regional Review Agency Review -----→						

¹ It is expected that in a few limited situations an inspection finding of this significance will be identified that is not indicative of overall licensee performance. The staff will consider treating these inspection findings as exceptions for the purpose of determining appropriate actions.

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ACTION MATRIX - definitions

- Repetitive degraded cornerstone - a cornerstone is degraded (2 white inputs or 1 yellow input) for five or more consecutive quarters (MS, MS, MS, MS, MS)
- Multiple degraded cornerstones - two or more cornerstones are degraded for five or more consecutive quarters
 - Note: the degraded cornerstones may vary throughout the period (IE+MS, IE+BI, IE+MS, BI+MS, BI+MS)

MS = Mitigation Systems Cornerstone Degraded

IE = Initiating Events Cornerstone Degraded

BI = Barrier Integrity Cornerstone Degraded

REGULATORY OVERSIGHT PROCESS PILOT CONFERENCE
May 17 - 20, 1999
Agenda

DAY	TIME	DUR	TOPIC	PRESENTERS
Monday	10:00 am	2 hrs	Registration	
	12:00 pm	1½ hr	Intro Concept Overview Pilot Program	Sam Collins Steve Floyd Alan Madison Tim Frye
	1:30 pm	15 min	Break	
	1:45 pm	1½ hrs	PI Overview PI and Threshold Review (IE, MS, BI)	Pat Baranowsky Don Hickman Adrian Heymer
	3:15 pm	15 min	Break	
	3:30 pm	1½ hr	PI and Threshold Review (EP, RP, Phys Prot)	Don Hickman Adrian Heymer
Tuesday	8:00 am	1½ hrs	Review Examples of PI Data Reporting (2 parallel breakout sessions)	
			Region I/IV Sites (IE, MS, BI)	Don Hickman Adrian Heymer
			Region II/III Sites (EP, RP, Phys Prot)	Randy Sullivan Marty Vonk Roger Pedersen Ralph Anderson George Kuzo Paul Genoa Tom Dexter Barry Saunders
	9:30 am	30 min	Break	
Tuesday	10:00 am	1½ hrs	Review Examples of PI Data Reporting (2 parallel breakout sessions) - CONTINUED	

		Region I/IV Sites (EP, RP, Phys Prot)	Randy Sullivan Marty Vonk Roger Pedersen Ralph Anderson George Kuzo Paul Genoa Tom Dexter Barry Saunders	
		Region II/III Sites (IE, MS, BI)	Don Hickman Adrian Heymer	
11:30 am	1 hr	Lunch		
12:30 pm	1 hr	Reconvene in Large Group to discuss questions/comments from breakout sessions		
1:30 pm	1½ hrs	Baseline Inspection Overview Baseline Inspection Program Review Inspection Procedure Review	Bruce Mallet Steve Stein	
3:00 pm	30 min			
3:30 pm	1½ hrs	Inspection Planning Inspection Documentation	Ken Barr Pete Eselgroth	
Wednesday	8:00 am	1½ hr	Significance Determination Process (IE, MS, BI)	Morris Branch Doug True
	9:30 am	15 min	Break	
	9:45	1 hr	Significance Determination Process (EP, RP, Phys Prot)	Randy Sullivan Roger Pedersen S. Klementowicz Tom Dexter
	10:45	15 min	Break	
	11:00	1 hr	Enforcement	Jim Lieberman
	12:00 pm	1 hr	Lunch	

	1:00 pm	1½ hrs	Review Examples of Significance Determination Process and Enforcement (2 parallel breakout sessions)	
			Region I/IV Sites (IE, MS, BI)	Morris Branch Jim Lieberman
			Region II/III Sites (EP, RP, Phys Prot)	Randy Sullivan Roger Pedersen S. Klementowicz Tom Dexter Bill Borchardt
	2:30 pm	15 min	Break	
	2:45 pm	1½ hrs	Review Examples of Significance Determination Process and Enforcement (2 parallel breakout sessions) - CONTINUED	
			Region I/IV Sites (EP, RP, Phys Prot)	Randy Sullivan Roger Pedersen S. Klementowicz Tom Dexter Bill Borchardt
Wednesday			Region II/III Sites (IE, MS, BI)	Morris Branch Jim Lieberman
	4:15 pm	15 min	Break	
	4:30 pm	1 hr	Reconvene in Large Group to discuss questions/comments from breakout sessions	
Thursday	8:00 am	1½ hrs	Assessment Process Review	Alan Madison
	9:30 am	15 min	Break	
	9:45 am	1¼ hrs	Review Examples of Assessment Process (2 parallel breakout sessions)	
			Region I/IV Sites	Alan Madison
			Region II/III Sites	Mike Johnson
	11:00 am	30 min	Break	
	11:30 am	1hr	Reconvene in Large Group to discuss questions/comments from breakout sessions	
	12:30	30 min	Closing Remarks	Steve Floyd Sam Collins

REGULATORY OVERSIGHT PROCESS PILOT
LICENSEE EXECUTIVE SESSION

May 20, 1999

Agenda

DAY	TIME	DUR	TOPIC	PRESENTERS
Thursday	2:00 pm	30 min	Intro	Sam Collins
			Concept Overview Pilot Program	Alan Madison Tim Frye
	2:30 pm	30 min	Performance Indicators	Don Hickman
	3:00 pm	30 min	Baseline Inspection Program	Steve Stein
	3:30	30 min	Significance Determination Process Enforcement	Morris Branch Jim Lieberman
	4:00	30 min	Assessment	Alan Madison

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4 of Agenda

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4.3. Pilot Program Evaluation Panel

4.3.1 Purpose

The Pilot Program Evaluation Panel (PPEP) will function as a management-level oversight group to monitor and evaluate the success of the pilot effort. The purpose of the PPEP is solely to provide an objective evaluation of whether the success criteria have been met. The PPEP will not provide recommendations or advice to the agency regarding the readiness to proceed with full implementation of the new oversight processes. However, the PPEP members are welcome to submit advice, comments, or recommendations regarding the readiness for full implementation on an individual basis, separate from the PPEP effort.

4.3.2 Scope

The PPEP will meet periodically during the pilot program to review the implementation of the oversight processes and the results generated by the PI reporting, baseline inspection, assessment, and enforcement activities. These meetings will be open to the public, with all material reviewed placed in the public document room. A meeting summary will be prepared following each meeting to document the results of the meeting.

4.3.3 Objectives

The objective of the PPEP is to monitor and evaluate the implementation of the new regulatory oversight processes at the pilot sites. The PPEP will evaluate the pilot program results against pre-established pilot program success criteria. For those success criteria that are intended to measure the effectiveness of the processes, and that generally do not have a quantifiable performance measure, the PPEP will serve as an "expert panel" to review the results and determine the success. At the end of the pilot program, the PPEP will provide an objective evaluation as to whether each of the success criteria have been met. The staff will use the PPEP evaluation to determine the need for any additional process development or improvements prior to full implementation.

4.3.4 Organization

The PPEP will be a cross-disciplinary group of about ten people, with membership anticipated to be as follows:

- PPEP Chairman - Deputy Director, Division of Inspection Program Management, NRR
- Three regional division directors (combination of Division of Reactor Safety and Division of Reactor Projects division directors)
- TTF Executive Forum Chairman
- Office of Enforcement representative
- One Nuclear Energy Institute (NEI) representative
- Two pilot plant licensee representatives
- One member of the public
- One State regulatory agency representative

4.3.5 Schedule

DRAFT

The PPEP will meet approximately every six weeks during the pilot program to review and monitor the implementation of the new regulatory oversight processes. A tentative schedule for PPEP meetings is as follows:

- | | |
|----------------|--|
| July 1999 | First PPEP meeting to discuss and review the results of the pilot program. |
| September 1999 | PPEP meeting to discuss and review pilot program results. |
| December 1999 | Final PPEP meeting to evaluate the pilot program against the success criteria. |

4.3.6 Reports

The results of PPEP meetings will be recorded in a meeting summary placed in the public document room. These meeting summaries will include all material handed out at the meetings. The final PPEP evaluation of the pilot program against the success criteria will be included as part of the staff recommendation to the Commission regarding full implementation of the new regulatory oversight processes.

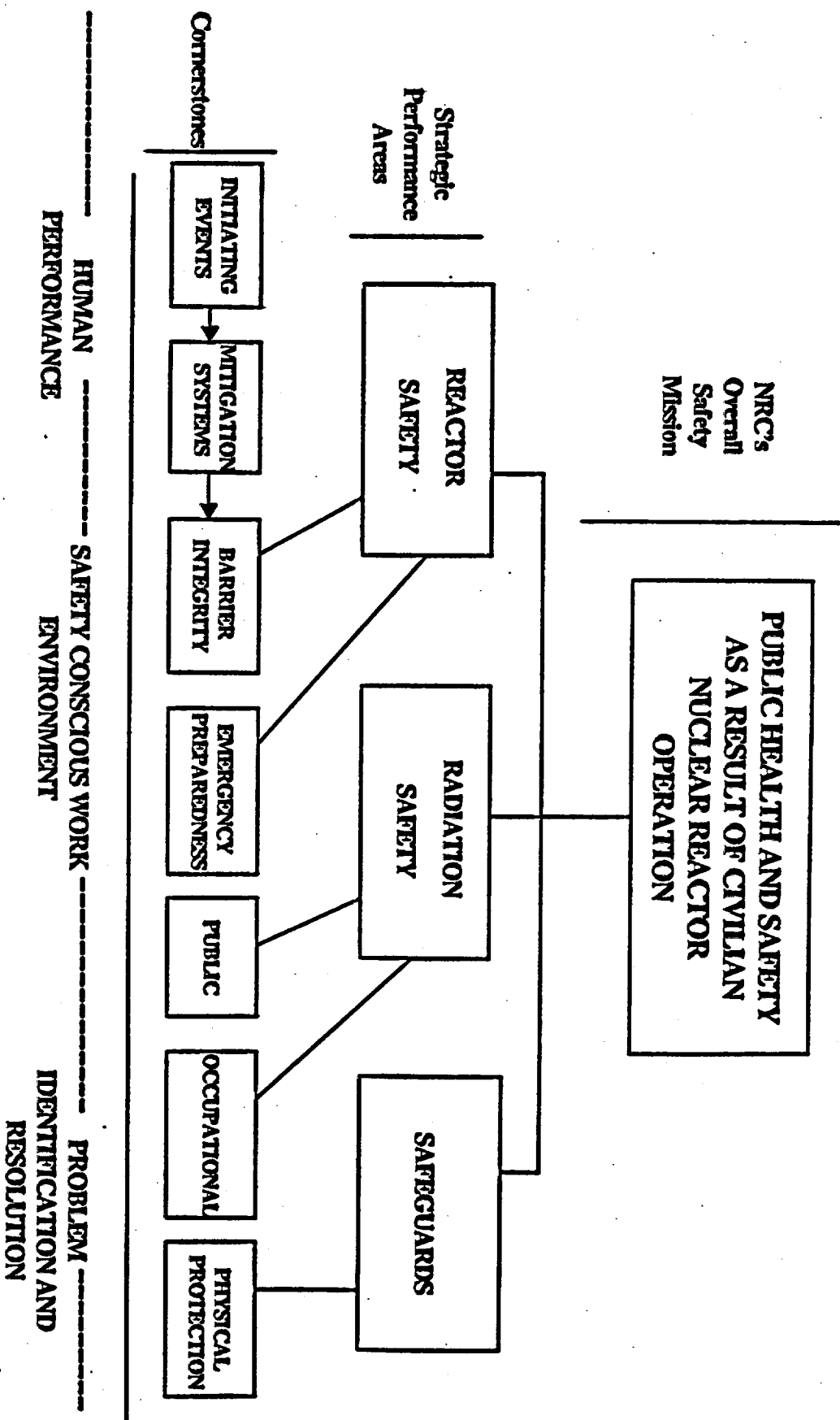
REVISED REACTOR OVERSIGHT PROGRAM

**OVERVIEW & INFORMATION TECHNOLOGY
CONSIDERATIONS**

APRIL 22, 1999

BRIEFING OBJECTIVES

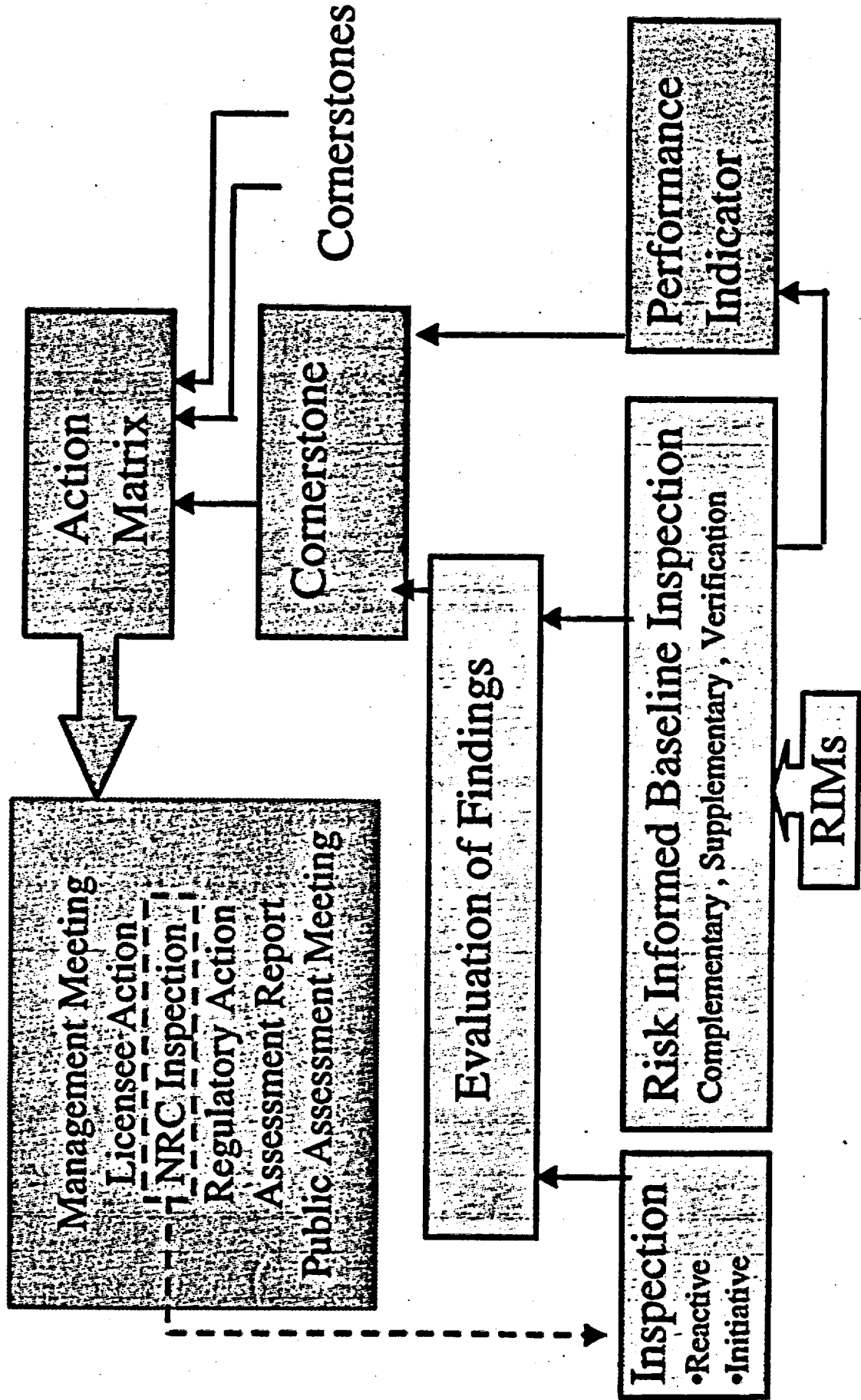
- **PROVIDE CIO WITH AN OVERVIEW OF THE REVISED REACTOR OVERSIGHT PROGRAM AND ITS BUSINESS NEEDS**
- **DISCUSS PLANS, SCHEDULE, ALTERNATIVES AND APPROACH TO ARRIVE AT A PREFERRED IT SOLUTION FOR PERFORMANCE INDICATORS**
- **SOLICIT CIO VIEWS ON MATERIAL PRESENTED AND SUPPORT REQUIRED**



- PERFORMANCE INDICATOR
- INSPECTION
- OTHER INFORMATION SOURCES
- DECISION THRESHOLDS

Figure 1 - Regulatory Oversight Framework

Plant Assessment Process



REVIEW SYSTEM

Level of Review	Frequency/Timing	Participants (* indicates lead)	Desired Outcome	Communication
Continuous	Continuous	SRI*, RI, regional inspectors, analysts	Performance awareness	None required
Quarterly	Once per quarter/ Two weeks after end of quarter	DRP: BC*, PE, SRI, RI	Input/verify P/PII data, detect early trends	Updated data set
Mid-Cycle	At mid-cycle/ Three weeks after end of second quarter	Divisions of Reactor Safety (DRS) or DRP DD*, DRP and DRS BCs	Detect trends, plan inspection for six months	Six month inspection look ahead letter
End-of-Cycle	At end-of-cycle/ Four weeks after end of assessment cycle	DRS or DRP DD*, RAs, NRR representative, BCs, principal inspectors, OE, OI, other HQ offices as appropriate	Assessment of plant performance, approve/coordinate regional actions	Assessment letter and six month inspection look ahead letter
Agency Action Review	Annually/ Two weeks after end-of-cycle review	DIR NRR*, RAs, DRS/DRP DDs, AEOD, DiSP, OE, OI, other HQ offices as appropriate	Approve/coordinate agency actions	Commission briefing, followed by public meetings with individual licensees to discuss assessment results

Acronyms

SRI	Senior Resident Inspector	DD	Division Director
RI	Resident Inspector	RA	Regional Administrator
BC	Branch Chief	DIR	Director
PE	Project Engineer	DiSP	Division of Inspection and Support Programs
DRP	Division of Reactor Projects	OI	Office of Investigations

Table 5.1 Action Matrix.

		LICENSEE PERFORMANCE INCREASING SAFETY SIGNIFICANCE →					
RESULTS		All Assessment Inputs (Performance Indicators (PIs) and Inspection Findings) Green; Cornerstone Objectives Fully Met	One or Two Inputs White (in different cornerstones); Cornerstone Objectives Fully Met	One Degraded Cornerstone (2 White Inputs or 1 Yellow Input) or any 3 White Inputs in a Strategic Performance Area; Cornerstone Objectives Met with Minimal Reduction in Safety Margin	Repetitive Degraded Cornerstones, Multiple Degraded Cornerstones, Multiple Yellow Inputs, or 1 Red Input ¹ ; Cornerstone Objectives Met with Significant Reduction in Safety Margin	Overall Unacceptable Performance; Plants Not Permitted to Operate Within this Band, Unacceptable Margin to Safety	
RESPONSE	Regulatory Conference	Routine Senior Resident Inspector (SRI) Interaction	Branch Chief (BC) or Division Director (DD) Meet with Licensee	DD or Regional Administrator (RA) Meet with Licensee	EDO (or Commission) Meet with Senior Licensee Management	Commission meeting with Senior Licensee Management	
	Licensee Action	Licensee Corrective Action	Licensee Corrective Action with NRC Oversight	Licensee Self Assessment with NRC Oversight	Licensee Performance Improvement Plan with NRC Oversight		
	NRC Inspection	Risk-Informed Baseline Inspection Program (Baseline)	Baseline and Inspection Follow-up	Baseline and Inspection Focused on Cause of Degradation	Baseline and Team Inspection Focused on Cause of Degradation		
	Regulatory Actions	None	Document Response to Degrading Area in Inspection Report	Docket Response to Degrading Condition	-10 CFR 2.204 DFI -10 CFR 50.54(f) Letter - CAL/Order	Order to Modify, Suspend, or Revoke Licensed Activities	
COMMUNICATION	Assessment Report	DD review/sign assessment report (w/ inspection plan)	DD review/sign assessment report (w/ inspection plan)	RA review/sign assessment report (w/ inspection plan)	RA review/sign assessment report (w/ inspection plan) Commission Informed		
	Public Assessment Meeting	SRI or BC Meet with Licensee	BC or DD Meet with Licensee	RA Discuss Performance with Licensee	EDO (or Commission) Discuss Performance with Senior Licensee Management	Commission Meeting with Senior Licensee Management	
		←----- Regional Review Agency Review -----→					

¹ It is expected that in a few limited situations an inspection finding of this significance will be identified that is not indicative of overall licensee performance. The staff will consider treating these inspection findings as exceptions for the purpose of determining appropriate actions.

STAKEHOLDERS

- **LICENSEES -** *Analyze and provide PI data to NRC*
- **NEI -** *Focal Point for Industry to work with NRC to develop the Oversight Program.*
- **PUBLIC & TRADE PRESS-** *Awareness of the Oversight Program and access to key program information posted on the WEB.*
- **STATES** *Keep informed on licensee activities - information resource*
- **NRC**
 - **NRR** *Agency Program lead and ultimate business owner of IT Solution.*
 - **OCIO** *Review and Approval of Business Case and provider of Infrastructure Support.*
 - **REGIONS** *Users of program to oversee, plan and conduct inspections based on agreed-upon criteria.*
 - **OTHERS** *Other offices involved in specific aspects.*

BUSINESS NEEDS

- *Ability for licensees to analyze PI Data and view output reports prior to submitting data to NRC*
- *Web-based electronic submission of PI Data by licensees to NRC*
- *NRC acceptance of licensee data, ability to analyze, aggregate and compare PI Data on a unit, site, licensee, region and industry-wide basis*
- *NRC production and publication of output reports on NRC External WEB to include PI and other Regulatory Oversight Information:*
 - *20 Performance Indicators*
 - *Plant Issues Matrix for each Site*
 - *PPR Letter*
 - *Inspection Plan Summary for each Unit*

BUSINESS NEEDS (CONTINUED)

- *Longer Term similar, if not like, data presentation formats between Industry and NRC (Significant dissimilarities in formats would be unacceptable).*
- *Compatible IT Infrastructure between applications which will enable sharing and/or production of information in systems such as RPS.*

APPROACH TO A PREFERRED IT SOLUTION

- *CPIC Screening Form Submitted Jan 1999 and Approved*
- *CPIC Business Case Being Developed*
- **NEAR TERM STRATEGY**
 - *Conduct Pilot Program at 9 sites (13 units) to confirm program processes and enable further definition of IT requirements.*
 - *NEI will establish a server that will accept PI data for pilot plants (TVA will transfer database structure to NEI who will validate and inform NRC)*
 - *NRC will utilize a basic (internally developed) program to accept and produce PI data and for posting reports on the NRC WEB.*
 - *NEI will initiate submission of PI data for pilots to NRC in May 99. NRC will perform verification of NEI PI output tables and charts.*

Scrams per 7,000 Critical Hours Pilot Plant 1

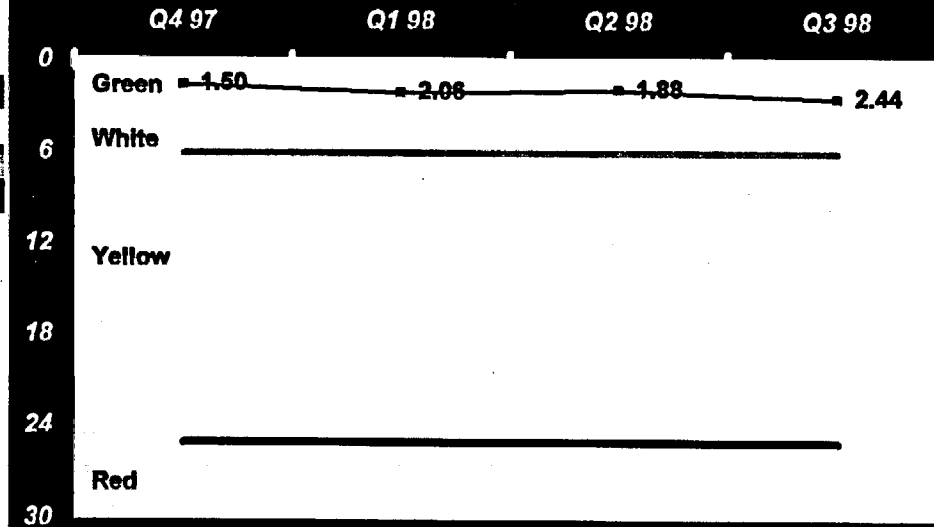
Thresholds

green EK 3

white > 3

yellow > 6

red



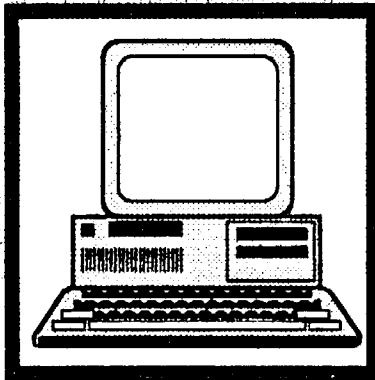
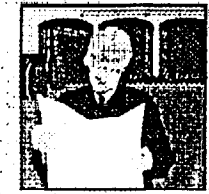
	Q4 97	Q1 98	Q2 98	Q3 98
# of Scrams Critical in quarter	0	1	1	1
Total Scrams over 4 quarters	1	2	2	3
# of Hrs Critical in quarter	2160	2136	2160	2136
Total Hrs Critical in 4 quarters	4660	6796	7456	8592
Indicator Value	1.50	2.06	1.88	2.44

- **LONGER TERM STRATEGY**

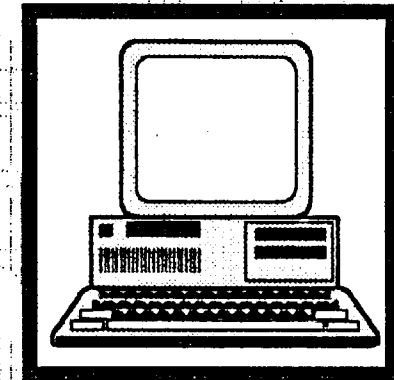
- *Revised Reactor Oversight Program will place two primary demands on IT*
 - *Changes to inspection planning and reporting being dealt with as maintenance requirements in RPS (within CPIC)*
 - *PI Information being dealt with as a new CPIC*
- *Four Alternatives being considered.*
- *Alternatives to be evaluated in terms of Costs, Benefits, and Risk as part of CPIC Business Case Development.*
- *A preliminary assessment of these alternatives is included.*
- *There may be other alternatives. NRR welcomes OCIO suggestions prior to costing.*

ALTERNATIVE A

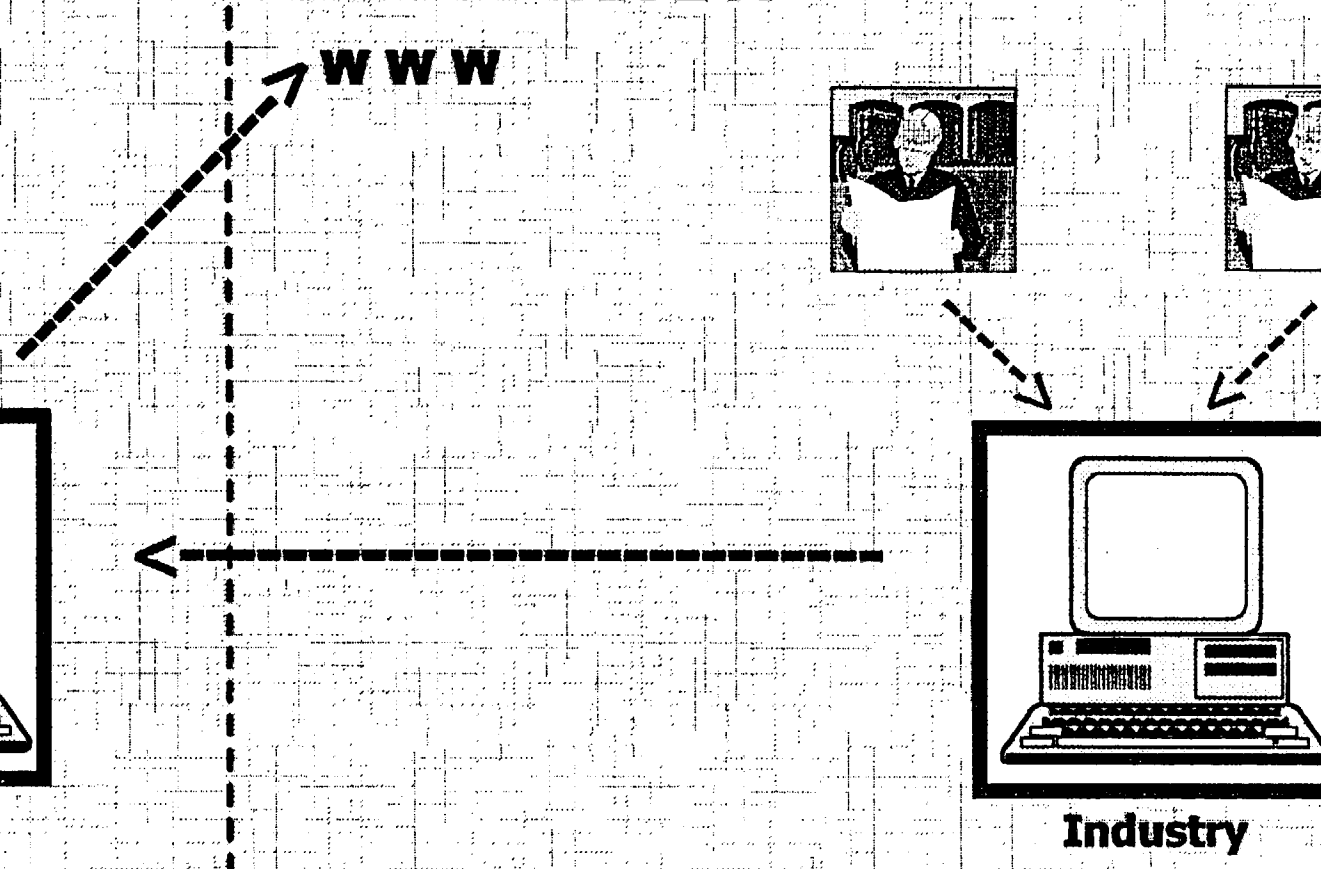
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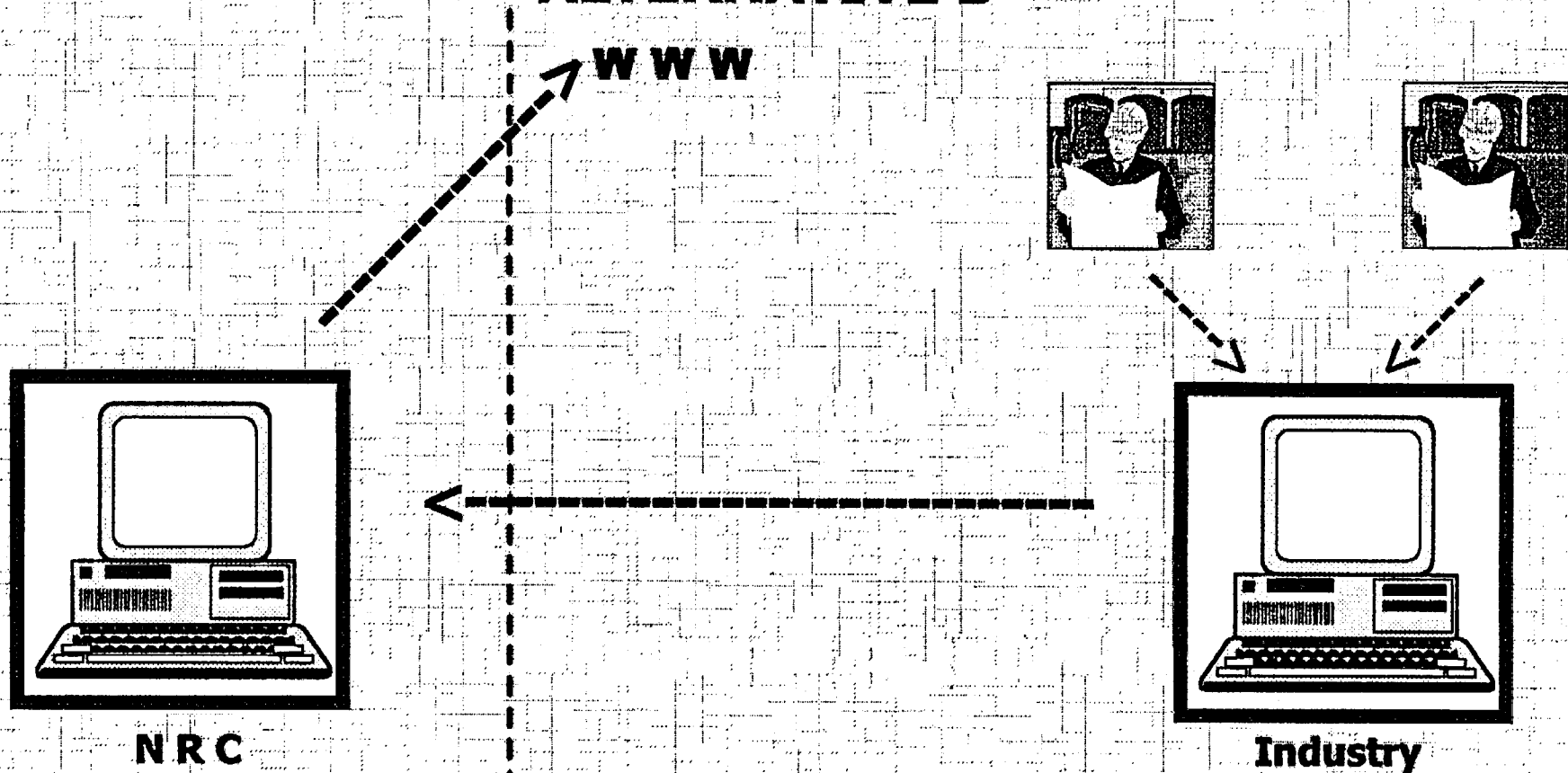


Industry



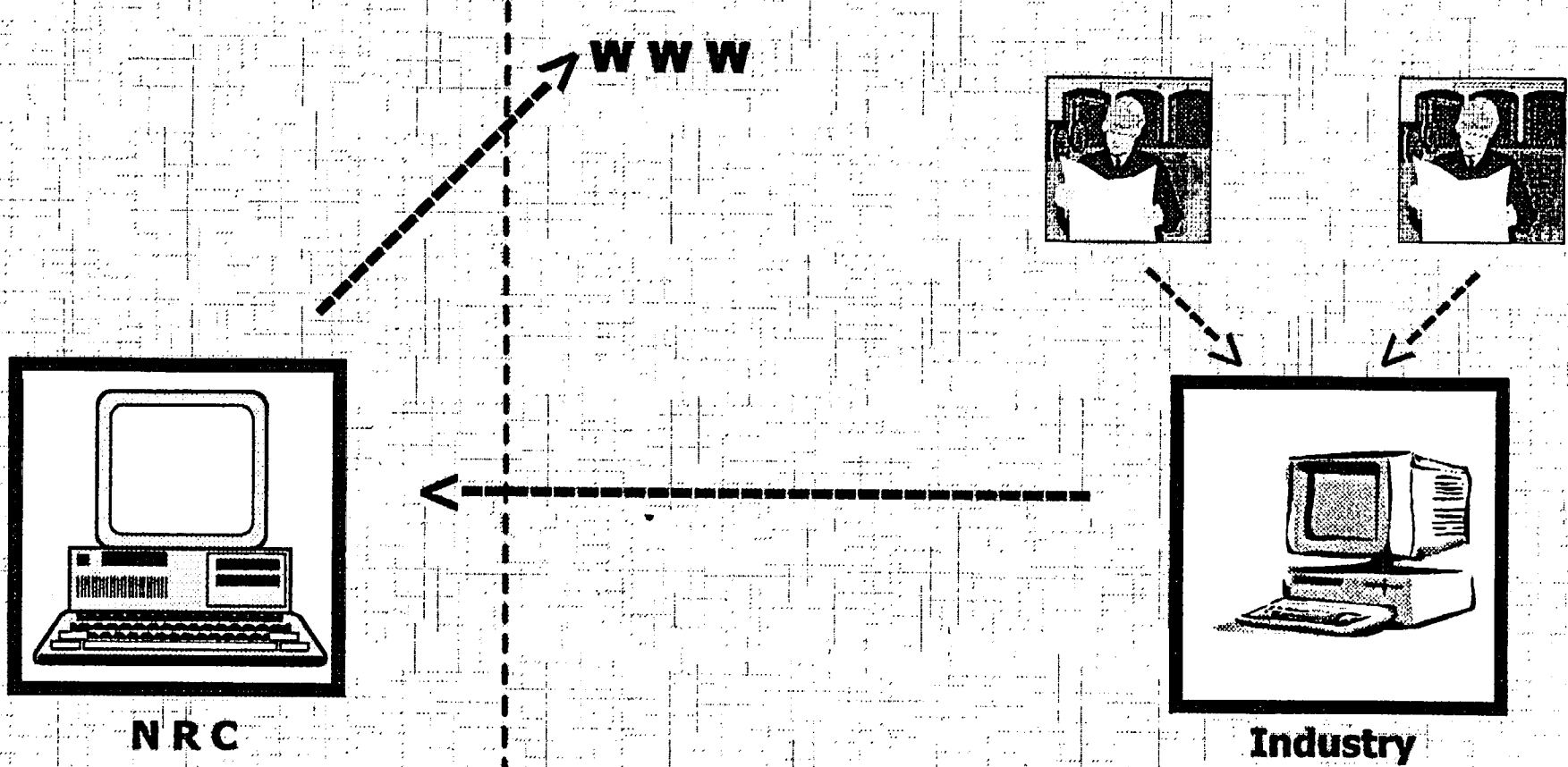
- o Industry develops software
- o NRC performs IDV & V and if accepted, incorporates it into NRC infrastructure
- o Copies of same software operating on external (NRC or Industry) and internal (NRC) servers
- o Industry analyzes, submits PI data
- o NRC receives and posts PI data to external web

ALTERNATIVE B



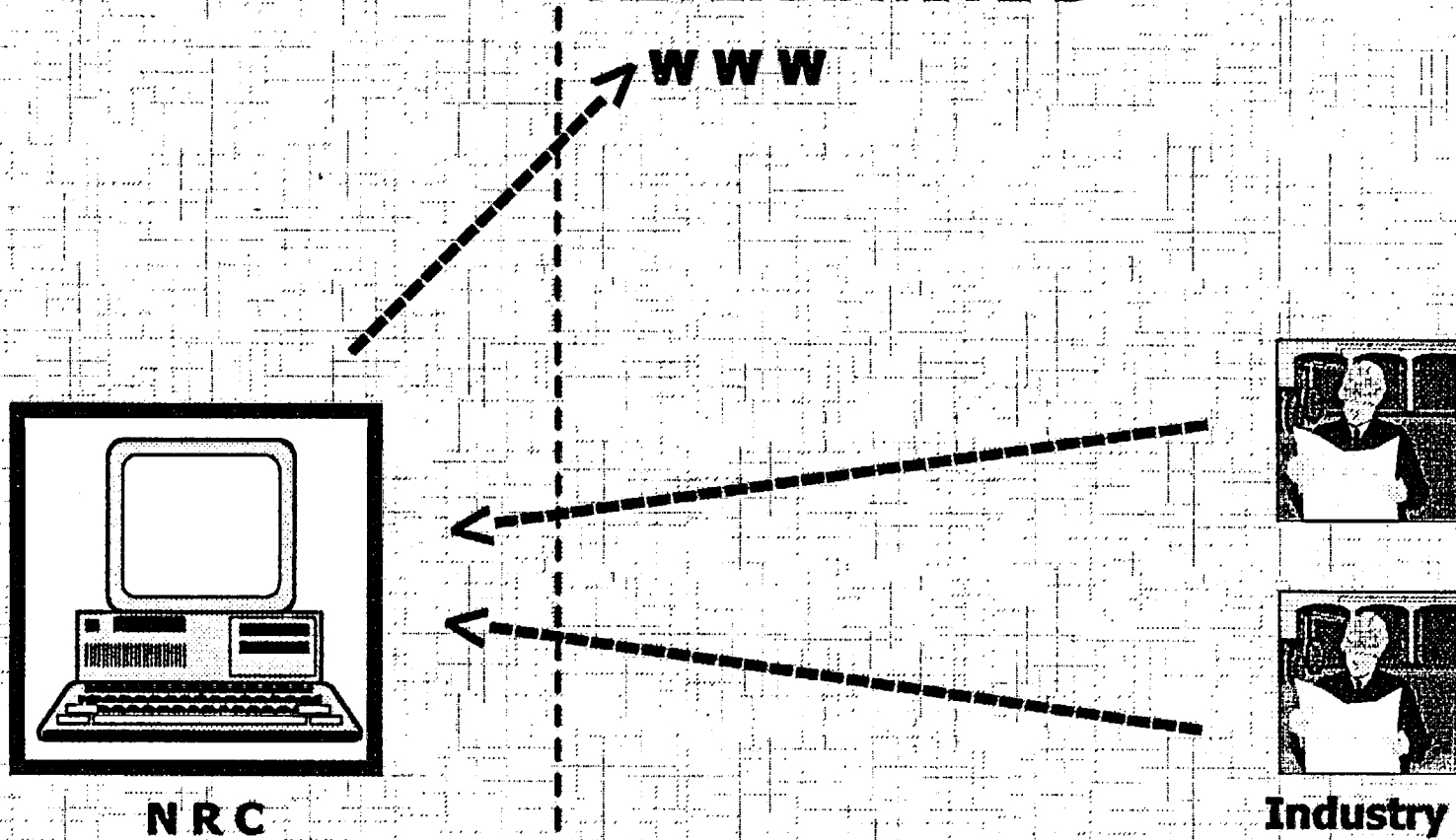
- o Same as Alternative A, except NRC funds and develops software based on NRC standards/infrastructure
- o NRC works collaboratively with Industry on required functionality
- o NRC develops and maintains software for internal (NRC) and external (Industry) use
- o Industry analyzes, submits PI data
- o NRC receives and posts PI data to external web

ALTERNATIVE C



- o NRC develops its own software based on NRC standards/infrastructure, but leaves up to Industry their own analytical and presentation capabilities
- o Industry would decide on and develop its own software (not necessarily compatible with NRC's)
- o Industry analyzes, submits PI data
- o NRC receives and posts data to external web

ALTERNATIVE D



- o NRC develops its own software based on NRC standards/infrastructure
- o NRC developed software would run on an internal (NRC) server that could be accessed by both NRC and Industry to enter, analyze and generate PI information
- o NRC would build into its software required Industry functionality
- o NRC would post data to external web

SUMMARY OF ATTRIBUTES BY ALTERNATIVE	A	B	C	D
SOFTWARE DEVELOPMENT				
<i>O INDUSTRY DEVELOPS SOFTWARE</i>	●		●	
<i>O NRC PERFORMS IDV&V</i>	●			
<i>O NRC DEVELOPS SOFTWARE</i>		●	●	●
<i>O SAME SOFTWARE USED BY NRC AND INDUSTRY</i>	●	●		●
TOPOLOGY				
<i>O COPIES OF SOFTWARE OPERATING ON EXTERNAL (NRC OR INDUSTRY) AND INTERNAL(NRC) SERVERS</i>	●	●		
<i>O SOFTWARE OPERATING ON INTERNAL (NRC) SERVER ONLY</i>			●	●
<i>O ACCESS TO INTERNAL(NRC) SERVER BY INDUSTRY</i>				●
<i>O WEB BASED ELECTRONIC SUBMISSION OF PI DATA</i>	●	●	●	
PROCESS				
<i>O INDUSTRY ANALYZES AND SUBMITS PI DATA</i>	●	●	●	●
<i>O NRC RECEIVES AND POSTS PI DATA TO EXTERNAL WEB</i>	●	●	●	●

SCHEDULE (KEY DATES)

<i>CPIC Screening Form Submitted to OCIO</i>	<i>Jan 27, 1999</i>
<i>CPIC Screening Approved</i>	<i>Mar 16, 1999</i>
<i>CPIC Business Case to be Submitted to OCIO</i>	<i>May, 1999</i>
<i>CPIC Business Case Approval</i>	<i>Jun, 1999</i>
<i>Near Term Capability in Place</i>	<i>May 14, 1999</i>
<i>Pilot Initiated at nine sites</i>	<i>Jun 1, 1999</i>
<i>Longer Term Capability Developed</i>	<i>Jun-Dec 1999</i>
<i>NEI ceases operation of server relying on longer term solution</i>	<i>Jan 1, 2000</i>
<i>Longer Term Capability Operational (All sites)</i>	<i>Jan 1, 2000</i>

NEXT STEPS AND SUPPORT REQUIRED FROM OCIO

- **INPUT FROM OCIO AT APRIL 15 MEETING ON MATERIAL PRESENTED AND SUPPORT REQUIRED INCORPORATED**
- **INCORPORATE FEEDBACK FROM NEI MEETING WITH OCIO ON APRIL 20 (POTENTIAL INTERFACES AS PART OF EIE)**
- **INCORPORATE VIEWS FROM NRR BRIEFING TO THE CIO ON APRIL 22**
- **KEY SUPPORT REQUIRED**
 - *Expedient Review and Approval of CPIC Business Case*
 - *Near Term Support in Posting Charts to the External WEB*
 - *Longer Term Support in the Implementation of EIE Capabilities*
 - *Longer Term Support in assisting with the selection and timely implementation of software and infrastructure capabilities.*