

Reactor Oversight Process Self-assessment Regional Data Collection Form(11/29)

Region _____
Quarter _____

Inspection Program Data:

1. Inspection program timeliness (EI3a&b):
 - (a) Number of inspection reports issued: _____ reports issued this quarter
 - (b) Number of timely reports: _____ timely reports this quarter
 - (c) Number of TIs completed: _____ TIs closed this quarter
 - (d) Number of TIs completed within TI requirements _____ TIs closed within requirements this quarter
2. Number of inaccuracies reported in inspection program information (IRs, PIMs, Web-based reports) from any source (C11b): _____ inaccuracies reported
3. Changes to inspection schedules (PI1b, PI2c, EI2c):
 - (a) The total number of inspection activities scheduled at beginning of quarter: _____ activities planned this quarter
 - (b) The number of requests made of the region to change planned frequency/schedule of inspections: _____ frequency/schedule changes requested this quarter
 - (c) The number of changes made to planned frequency/schedule of inspections: _____ frequency/schedule changes made this quarter
 - (d) The number of schedule changes that were made for reasons other than regulatory impact: _____ changes for reasons other than reg impact this quarter

List the reasons (other than regulatory impact) for any approved changes and the number of changes per reason (if accounting for more than one approved change). If the reason involved lack of qualified staff, list the discipline(s) in which skills were needed, the number of hours required, and the number of hours that could be accommodated:
- (e) The number of requests for regulatory impact that were accommodated: _____ reg impact changes accommodated this quarter
- (f) The number of regional requests to deviate from baseline inspection program: _____ baseline inspection program changes requested this quarter
- (g) The number of approved deviations from baseline inspection program: _____ baseline inspection program deviations approved this quarter

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Performance Indicator Data:

1. The number of discrepancies in PI reporting identified using IP 71151 in which the value change resulted in a threshold being crossed: _____ significant discrepancies identified this quarter

2. The number of PIs that crossed more than one threshold since the previous quarter (e.g., went from green to yellow in one quarter): _____ multiple threshold crossings this quarter

Indicate which plant(s) had PIs with multiple crossed thresholds:

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Significance Determination Process Data:

1. Number of findings processed through SDP:

- (a) Number of green findings: _____ green findings this quarter
(b) Number of white findings: _____ white findings this quarter
(c) Number of yellow findings: _____ yellow findings this quarter
(d) Number of red findings: _____ red findings this quarter

2. Number of interactions with licensee:

- (a) Number of docketed submittals re: SDP results: _____ docketed submittals this quarter
(b) Number of regulatory conferences re: SDP results: _____ regulatory conferences this quarter

Were all docketed submittals and regulatory conferences in response to this quarter's SDP results? If not, list the number of docketed submittals and regulatory conferences that refer to SDP results from each previous quarter in the current assessment year.

3. SDP timeliness:

- _____ Phase 3 evaluations performed
(a) Number of Phase 3 evaluations performed: _____ this quarter
(b) Number of untimely Phase 3 evaluations: _____ untimely Phase 3 evaluations this quarter
(c) Number of enforcement actions: _____ enforcement actions taken this quarter
(d) Number of untimely enforcement actions: _____ untimely enforcement actions taken this quarter

For each untimely evaluation/action reported above, note the number of days the evaluation/ action was late and the reason for the lateness.

4. Appeals of SDP results:

- (a) Number of appeals of green findings: _____ appeals this quarter
(b) Number of appeals of greater than green: _____ appeals this quarter
(c) Number of appeals upheld¹: _____ appeals upheld this quarter

Were all upheld appeals in response to this quarter's SDP results? If not, list the number of upheld appeals that refer to SDP results from each previous quarter in the current assessment year

¹

"Upheld" means the result remained unchanged after the appeal was adjudicated

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Significance Determination Process Data:

List the color of the finding(s) for which appeals were successful.

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Assessment Data:

1. Appeals of assessment results:

- (a) Number of appeals of assessment results: _____ appeals this quarter
- (b) Number of successful appeals: _____ successful appeals this quarter

Briefly describe the scope/type (i.e., was the appeal based on the action matrix column assignment, the action selected, etc.) of any appeals received.

Were all successful appeals in response to this quarter's assessment results? If not, state the quarters to which they were applicable.

Briefly describe the scope/type of any successful appeals.

2. Resource Expenditures

- (a) Number of times a person of a higher position than required by the action matrix conducted a meeting required by the action matrix or assessment process guidance documents: _____ times this quarter

If greater than zero, explain who conducted the meeting(s) and why:

3. Assessment program timeliness:

- (a) Number and percent of assessment letters issued on time (within 2 weeks after quarterly review, 3 weeks after mid-cycle review, and 1 week after Agency Action Review) _____ Number and % of times this quarter
- (b) Number and percent of review meetings held on time (quarterlies within 5 weeks of end of quarter; mid and end of cycles within 6 weeks of end of quarter): _____ Number and % held on time this quarter
- (c) Number and percent of public meetings held on time (within 16 weeks of end of assessment period): _____ Number and % held on time this quarter

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Assessment Data:

- (d) Average time between issuance of
assessment follow-up letters and completion
of supplemental inspection (no criteria): _____ times this quarter

For each untimely action reported above, note the number of days the action was late and the reason
for the lateness.