




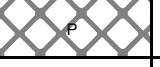



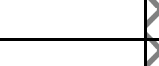

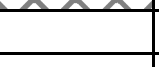

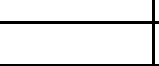



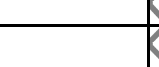

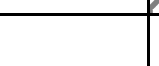



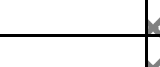



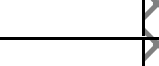

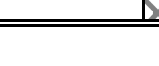

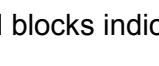






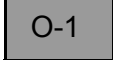


Reactor Oversight Process
Overall ROP

April–September 2001

Performance Metrics
Metrics Matrix

METRIC ¹		OBJECTIVE	RISK-INFORMED	UNDERSTAND-ABLE	PREDICTABLE	MAINTAINS SAFETY	EFFECTIVE, EFFICIENT, REALISTIC	ENHANCES PUBLIC CONFIDENCE	REDUCES UNNECESSARY REGULATORY BURDEN	DATA ² COLLECT	SURVEY ²
 O-1	Public perceives predictable and objective	 P			 P					HQ	E
 O-2	NRC perceives predictable and objective	 P			 P					HQ	I
 O-3	Public perceives risk-informed		 P							HQ	E
 O-4	NRC perceives risk-informed		 P							HQ	I
 O-5	Public perceives under-standable			 P						HQ	E
 O-6	NRC perceives understandable			 P						HQ	I
 O-7	Public perceive maintains safety					 P				HQ	E
 O-8	NRC perceives maintains safety					 P				HQ	I
 O-9	Analysis of event responses					 P				HQ	
 O-10	Analysis of significant events					 P				HQ/RES	
 O-11	Public perceives effective, efficient, realistic						 P			HQ	E
 O-12	NRC perceives effective, efficient, realistic						 P			HQ	I
O-13	Resources commensurate with performance						P			HQ	
 O-14	Public perceives enhances confidence							 P		HQ	E
 O-15	Public participation							 P		HQ	E
 O-16	Public perceives NRC is responsive							 P		HQ	E
 O-17	Public perceives implemented as defined							 P		HQ	E
 O-18	Public perceives reduced burden								 P	HQ	E
 O-19	Public perceives no unintended consequences								 P	HQ	E

¹ A shaded metric number (e.g., ) indicates a metric that did not meet its criteria. Crosshatched blocks indicate metrics not counted during this reporting period.

² REG = regions, HQ = Headquarters, RES = Office of Research, I = survey of internal stakeholders, E = comments from external stakeholders

O-1 (OO1a) Public Perceives the ROP to Be Predictable and Objective

Definition: Annually survey external stakeholders through a *Federal Register* notice asking if decisions are overly reliant on judgement, or not controlled by the process.

Criteria: Expect a stable or increasing positive perception over time.

Lead: IIPB

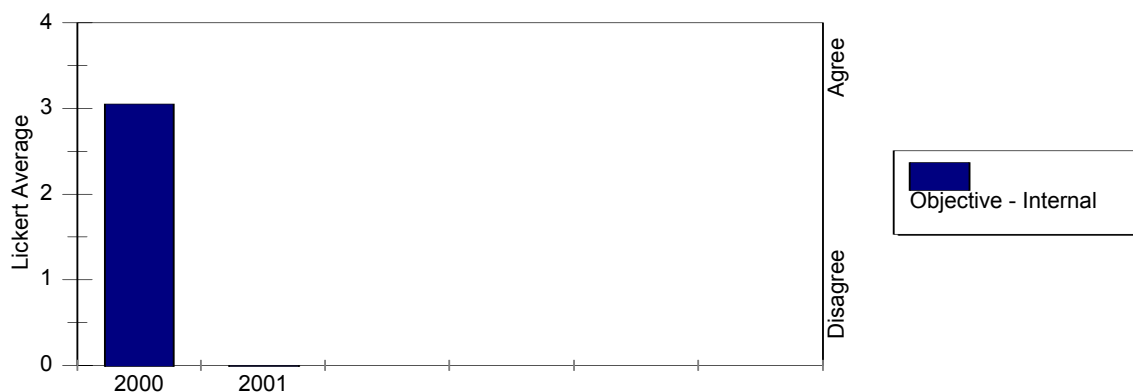
Comments: The ROP end-of-cycle Commission paper discusses the results of a request for public comments.

O-2 (OO1.b) NRC Perceives the ROP to Be Predictable and Objective

Definition: Annually survey internal stakeholders, asking if decisions are overly reliant on judgement, or not controlled by the process.

Criteria: Expect stable or increasingly positive perception over time.

Lead: IIPB



Comments: The questions in the previous internal survey were designed using a Lickert scale requiring a choice of one of five ordered responses; the higher numbers translating to positive responses (strongly agree) and the lower numbers translating to negative responses (strongly disagree). The responses for each question were averaged and the averages are displayed in the associated charts. Averages greater than 2.5 correspond to generally favorable responses, while averages lower than 2.5 correspond to generally unfavorable responses. No survey of internal stakeholders was taken during the 2001 ROP assessment cycle.

O-3 (RO1a) Public Perceives the ROP to Be Risk-informed

Definition: Annually survey external stakeholders through a *Federal Register* notice asking if ROP actions and outcomes are appropriately graded according to the significance of the issues at the plants.

Criteria: Expect stable or increasingly positive perception over time.

Lead: IIPB

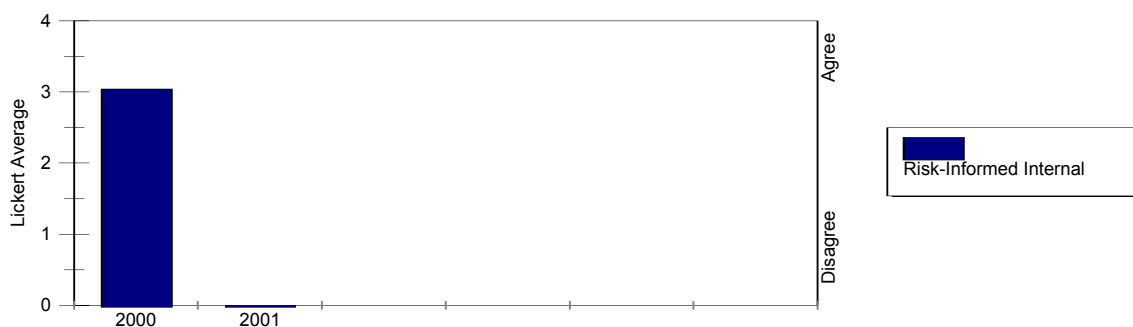
Comments: The ROP end-of-cycle Commission paper discusses the results of a request for public comments.

O-4 (RO1b) NRC Perceives the ROP to Be Risk Informed

Definition: Annually survey internal stakeholders asking if ROP actions and outcomes are appropriately graded according to the significance of the issues at the plants. Report survey results by strategic performance area.

Criteria: Expect stable or increasingly positive perception over time.

Lead: IIPB



Comments: The questions in the previous internal survey were designed using a Lickert scale requiring a choice of one of five ordered responses; the higher numbers translating to positive responses (strongly agree) and the lower numbers translating to negative responses (strongly disagree). The responses for each question were averaged and the averages are displayed in the associated charts. Averages greater than 2.5 correspond to generally favorable responses, while averages lower than 2.5 correspond to generally unfavorable responses. No survey of internal stakeholders was taken during the 2001 ROP assessment cycle.

O-5 (UO1a) Public Perceives the ROP to Be Understandable

Definition: Annually survey external stakeholders through a *Federal Register* notice asking if they understand the process, procedures, and outputs, and if products are clear and written in plain English.

Criteria: Expect stable or increasingly positive perception over time.

Lead: IIPB

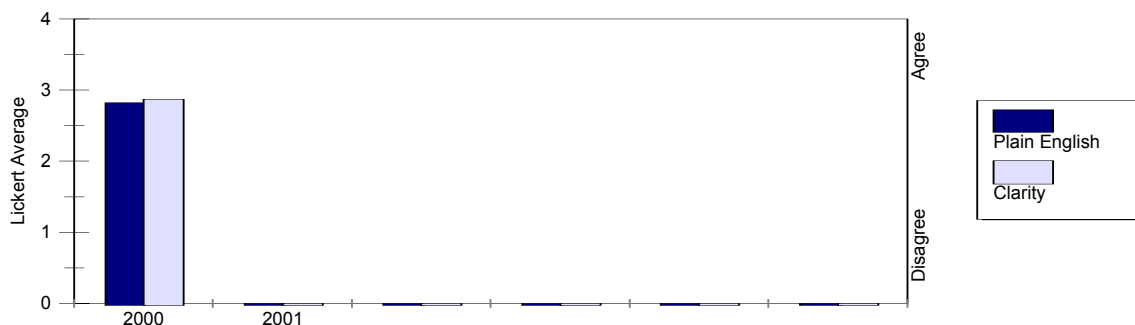
Comments: The ROP end-of-cycle Commission paper discusses the results of a November 2001 request for public comments.

O-6 (UO1b) NRC perceives the ROP to be understandable

Definition: Annually survey internal stakeholders asking if they understand the process, procedures, and outputs, and if products are clear and written in plain English.

Criteria: Expect stable or increasingly positive perception over time.

Lead: IIPB



Comments: The questions in the previous internal survey were designed using a Lickert scale requiring a choice of one of five ordered responses; the higher numbers translating to positive responses (strongly agree) and the lower numbers translating to negative responses (strongly disagree). The responses for each question were averaged and the averages are displayed in the associated charts. Averages greater than 2.5 correspond to generally favorable responses, while averages lower than 2.5 correspond to generally unfavorable responses. No survey of internal stakeholders was taken during the 2001 ROP assessment cycle.

O-7 (MO1a) Public Perceives the ROP Maintains Safety

Definition: Annually survey external stakeholders through a *Federal Register* notice asking if the ROP adequately assures that plants are being safely operated and maintained.

Criteria: Expect stable or increasingly positive perception over time.

Lead: IIPB

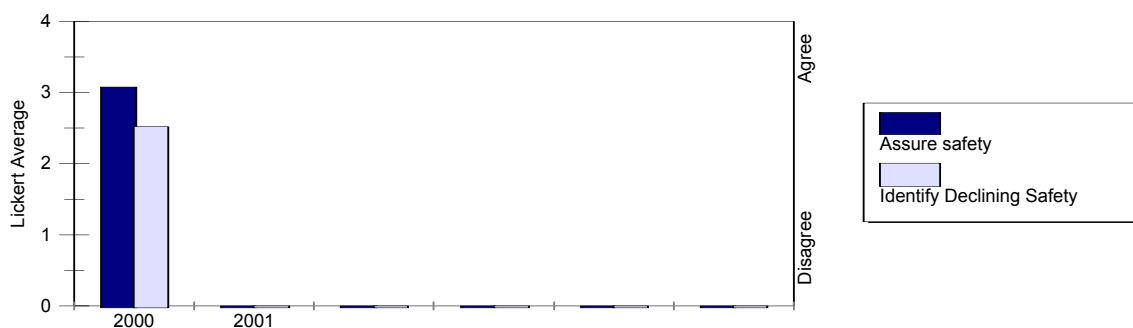
Comments: The ROP end-of-cycle Commission paper discusses the results of a November 2001 request for public comments.

O-8 (MO1.b.1) NRC perceives the ROP maintains safety.

Definition: Annually survey internal stakeholders.

Criteria: Expect stable or increasingly positive perception over time.

Lead: IIPB



Comments: The questions in the previous internal survey were designed using a Lickert scale requiring a choice of one of five ordered responses; the higher numbers translating to positive responses (strongly agree) and the lower numbers translating to negative responses (strongly disagree). The responses for each question were averaged and the averages are displayed in the associated charts. Averages greater than 2.5 correspond to generally favorable responses, while averages lower than 2.5 correspond to generally unfavorable responses. No survey of internal stakeholders was taken during the 2001 ROP assessment cycle.

O-9 (MO2) Analysis of NRC's Responses to Significant Events

Definition: Review reports from incident investigation teams (IITs) and augmented inspection teams (AITs) to collect lessons learned regarding ROP programmatic deficiencies (i.e., did the baseline inspection program inspect this area, did the SDP accurately characterize resultant findings). IITs already have the provision to determine NRC program deficiencies. AITs will be reviewed by IIPB to identify any weaknesses.

Criteria: Expect no major programmatic voids.

Lead: IIPB

Comments: This analysis will be performed early in 2002.

O-10 (MO2.b) Analysis of Significant Events

Definition: Annually review all accident sequence precursor (ASP) events that have a risk significance of more than 10^{-6} to identify any ROP programmatic voids (i.e., did the baseline inspection program inspect this area, did the SDP accurately characterize resultant findings, etc).

Criteria: Expect no major programmatic voids.

Lead: RES

Comments: Analysis for 2001 expected early in 2002.

O-11 (EO1a) Public Perceives the ROP to Be Effective, Efficient, Realistic

Definition: Annually survey external stakeholders through a *Federal Register* notice asking specific questions (based on NRC Strategic Plan) regarding whether the ROP is effective, efficient, and realistic.

Criteria: Expect stable or increasingly positive perception over time.

Lead: IIPB

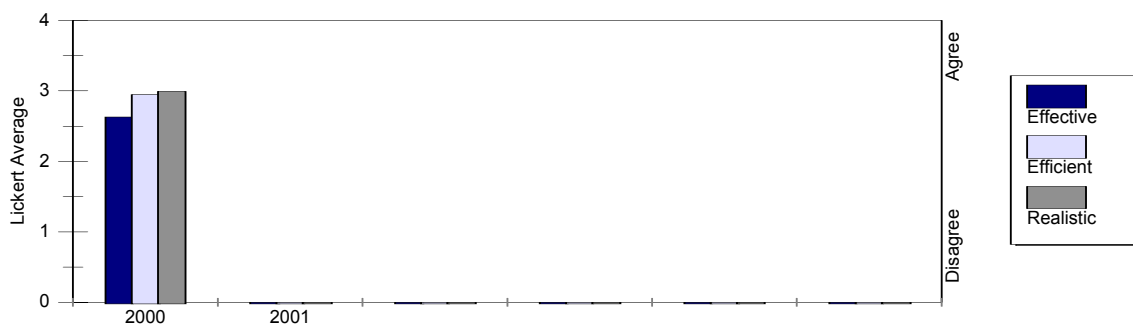
Comments: The ROP end-of-cycle Commission paper discusses the results of a November 2001 request for public comments.

O-12 (EO1.b) NRC Perceives the ROP to Be Effective, Efficient, Realistic

Definition: Annually survey internal stakeholders asking specific questions (based on NRC Strategic Plan) regarding whether the ROP is effective, efficient, and realistic..

Criteria: Expect a stable or increasingly positive perception over time.

Lead: IIPB



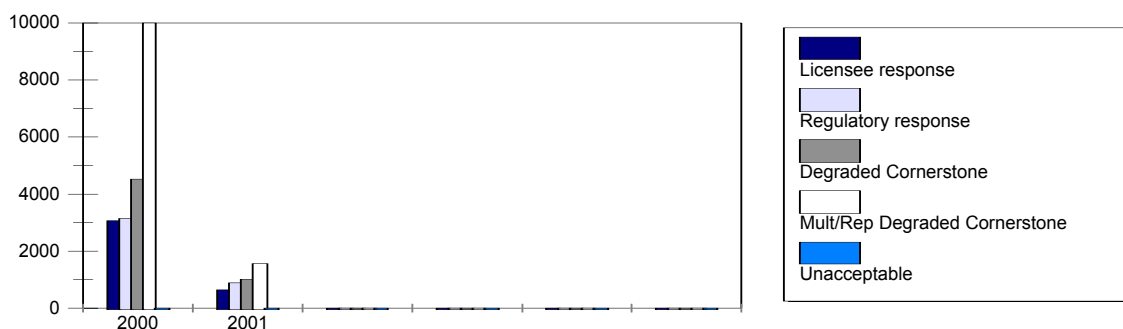
Comments: The questions in the previous internal survey were designed using a Lickert scale requiring a choice of one of five ordered responses; the higher numbers translating to positive responses (strongly agree) and the lower numbers translating to negative responses (strongly disagree). The responses for each question were averaged and the averages are displayed in the associated charts. Averages greater than 2.5 correspond to generally favorable responses, while averages lower than 2.5 correspond to generally unfavorable responses. No survey of internal stakeholders was taken during the 2001 ROP assessment cycle.

O-13 (EO3a) Resources Commensurate with Performance

Definition: Correlate resources expended to Action Matrix column. Use RPS data to compare expended inspection resources to Action Matrix column by plant. Report high, low, and average.

Criteria: Expended resources should increase as licensee performance degrades (as noted by Action Matrix column). Establish baseline during first year of ROP.

Lead: IIPB



Comments: Base hours on total hours (not just beyond baseline). The hours for the 2000 ROP cycle are from April 2, 2000, through March 10, 2001, and for the 2001 ROP cycle are from April 1, 2001, through September 30, 2001, which represents the first two quarters of the 9-month 2001 ROP assessment cycle. Figures represent average hours per unit in each column. The location of each unit in the Action Matrix represents its most degraded condition during the reporting period. No units were in the unacceptable column for the current reporting period, and only one unit (Indian Point 2) is in the multiple/repetitive degraded cornerstone column.

Analysis: The distribution of hours indicates a clear separation between plants within differing columns of the Action Matrix. More effort is expended on those plants with performance problems. The hours for 2001 are much lower than those for 2000 because the 2001 hours are only for 6 months.

O-14 (CO1a) Public Perceives the ROP Enhances Public Confidence

Definition: Annually survey external stakeholders through a *Federal Register* notice asking if the ROP enhances public confidence.

Criteria: Expect stable or increasingly positive perception over time.

Lead: IIPB

Comments: The ROP end-of-cycle Commission paper discusses the results of a November 2001 request for public comments.

O-15 (CO2a) Opportunities for Public Participation in the Process

Definition: Annually survey external stakeholders through a *Federal Register* notice asking if there are sufficient opportunities for the public to participate in the process.

Criteria: Expect positive responses or an improving trend over time.

Lead: IIPB

Comments: The ROP end-of-cycle Commission paper discusses the results of a November 2001 request for public comments.

O-16 (CO2.b) The Public Perceives the NRC to Be Responsive to its Inputs and Comments

Definition: Annually survey external stakeholders through a *Federal Register* notice asking if the NRC is response to the public's inputs and comments.

Criteria: Expect positive responses or an improving trend over time.

Lead: IIPB

Comments: The ROP end-of-cycle Commission paper discusses the results of a November 2001 request for public comments.

O-17 (CO3a) Public Perceives the ROP Was Implemented as Defined

Definition: Annually survey external stakeholders through a *Federal Register* notice asking if the ROP has been implemented as designed.

Criteria: Expect stable or increasingly positive perception over time.

Lead: IIPB

Comments: The ROP end-of-cycle Commission paper discusses the results of a November 2001 request for public comments.

O-18 (BO1a) Public Perceives the ROP Reduces Unnecessary Regulatory Burden

Definition: Annually survey external stakeholders through a *Federal Register* notice asking if the ROP reduces unnecessary regulatory burden.

Criteria: Expect stable or increasingly positive perception over time.

Lead: IIPB

Comments: The ROP end-of-cycle Commission paper discusses the results of a November 2001 request for public comments.

O-19 (BO2a) Public Perceives the ROP Does Not Result in Unintended Consequences

Definition: Annually survey external stakeholders through a *Federal Register* notice asking if the ROP results in unintended consequences.

Criteria: Expect stable or increasingly positive perception over time.

Lead: IIPB

Comments: The ROP end-of-cycle Commission paper discusses the results of a November 2001 request for public comments.