

**Reactor Oversight Process  
Assessment Program**

**July–September 2001**

**Performance Metrics  
Metrics Matrix**

METRIC <sup>1</sup>		OBJECTIVE	RISK-INFORMED	UNDERSTAND-ABLE	PREDICTABLE	MAINTAINS SAFETY	EFFECTIVE, EFFICIENT, REALISTIC	ENHANCES PUBLIC CONFIDENCE	REDUCES UNNECESSARY REGULATORY BURDEN	DATA <sup>2</sup> COLLECT	SURVEY <sup>2</sup>
AS-1	No. of deviations from the Action Matrix	P						S		HQ	
AS-2	No. of significant departures from IMCs 0305 and 0350	P					S			HQ	
AS-3	Actions taken on plants is at the appropriate level for the significance of the issue		P						S	HQ	
AS-4	Actions recommended by the AARM beyond those already taken			P	S					HQ	
AS-5	No. of timeliness goals (per IMC 0305) that were not met						P	S		REG	
AS-6	Timeliness of Web postings						S	P		HQ	
AS-7	No. of revisions to IMCs 0305 and 0350			S	P					HQ	
AS-8	Time to complete supplemental inspections					P	S			REG	
AS-9	Feedback on appropriateness of NRC actions			S		P				HQ	I
AS-10	Quality of assessment reports			P		S				HQ	I & E
AS-11	Action Matrix changes >1 column		P			S				HQ	

<sup>1</sup> A shaded metric number (e.g., AS-1 ) would indicate a metric that did not meet its criteria. Crosshatched blocks indicate metrics not counted during this reporting period.

<sup>2</sup> REG = regions, HQ = Headquarters, I = survey of internal stakeholders, E = external stakeholders comments

**AS-1 (OA1a) Subjective Judgment Is Minimized and Is Not a Central Feature of the Process. Actions Are Determined by Quantifiable Assessment Inputs (Examine PIs and SDP Results)**

**Definition:** Audit all assessment-related letters and count the number of deviations from the Action Matrix.

**Criteria:** Expect few deviations, with a declining trend.

**Lead:** IIPB

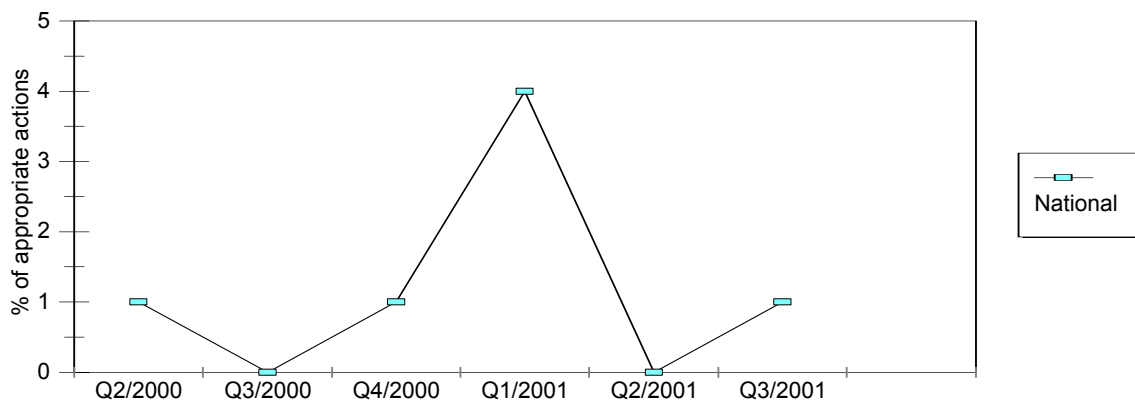
**Analysis:** There were no deviations from the Action Matrix during the first three calendar quarters of 2001.

**AS-2 (OA2a) The Program Is Well-defined Enough to Be Consistently Implemented**

**Definition:** Audit all assessment letters and assessment follow-up letters. Count the number of significant departures from requirements in IMCs 0305 and 0350. Timeliness goals are counted in metric AS-5.

**Criteria:** Few departures, steady or declining trend.

**Lead:** IIPB



**Results:** One assessment follow-up letter for a plant in the Regulatory Response Column of the Action Matrix in 3Q/2001 was signed by the regional branch chief instead of the division director.

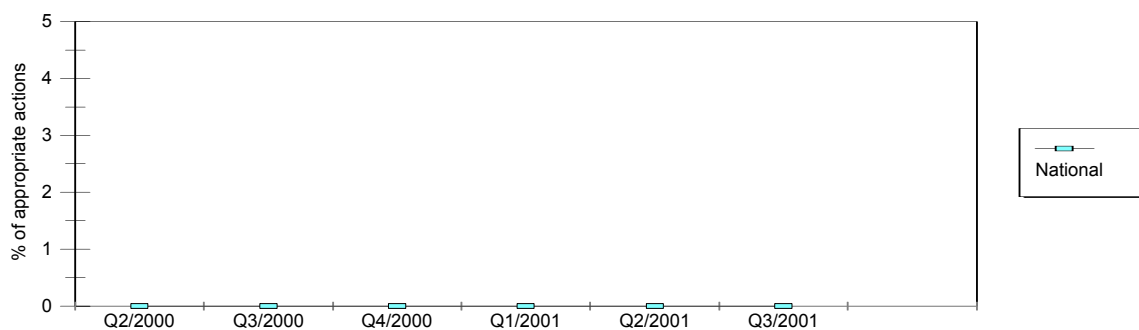
Four assessment follow-up letters for plants in the Regulatory Response Column of the Action Matrix in 1Q/2001 were signed by the regional branch chief instead of the division director. The revision to IMC 0305 dated March 23, 2001, clarified the guidance on signature authority for all assessment letters.

**AS-3 (RA1a) Actions Taken Are Commensurate with the Risk of the Issue and Overall Plant Risk**

**Definition:** Review actions taken for greater than green findings and performance. Track the number of actions (or lack of actions) taken by the regions that are not appropriate for the significance of the issues, based on inputs from PIs and inspection findings, and compared to the Action Matrix.

**Criteria:** Expect few departures, with a steady or declining trend.

**Lead:** IIPB



**Analysis:** All actions taken by the regional offices were consistent with the Action Matrix during the first three calendar quarters of 2001.

**AS-4 (PA2d) The Number And Scope of Additional Actions Recommended as a Result of The Agency Action Review Meeting (AARM) Beyond Those Actions Already Taken Are Limited**

**Definition:** Review the results of the Agency Action Review Meeting (AARM).

**Criteria:** The AARM should recommend few additional actions, with a steady or declining trend from the first-year benchmark.

**Lead:** IIPB

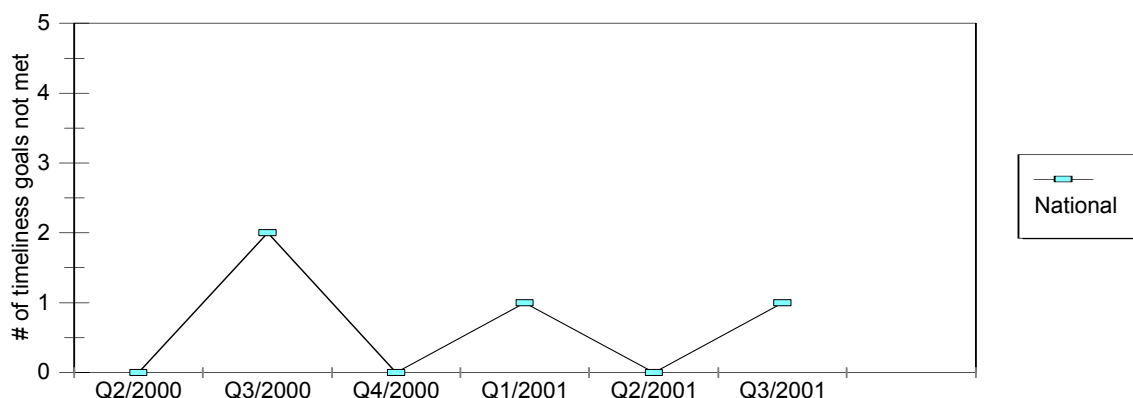
**Analysis:** The first AARM was held on June 27–28, 2001, in Atlanta, Georgia. The participants confirmed the appropriateness of agency actions for those plants discussed. The participants did not recommend any additional actions, beyond those already taken or planned.

**AS-5 (PA3a) Assessment Program Results (Assessment Reviews, Assessment Letters and Public Meetings) Are Completed in a Timely Manner**

**Definition:** Track the number of instances in which timeliness goals established in IMC 0305 were not met. The regions will collect timeliness data for the conduct of quarterly reviews (within 5 weeks after end of quarter); mid-cycle, and end-of-cycle reviews (within 6 weeks after end of quarter); issuance of assessment letters (within 2 weeks after quarterly review, 3 weeks after mid-cycle and end-of-cycle reviews); assessment followup letters (on or before the next quarterly review); and public meetings (within 16 weeks of end of assessment period).

**Criteria:** Expect few instances in which timeliness goals were not met, with a steady or declining trend from the first-year benchmark.

**Lead:** Regions



**Analysis:** Q3/2001: One of the three assessment follow-up letters did not meet the established timeliness goals.

Q2/2001: All of the 66 annual assessment letters met timeliness goals.

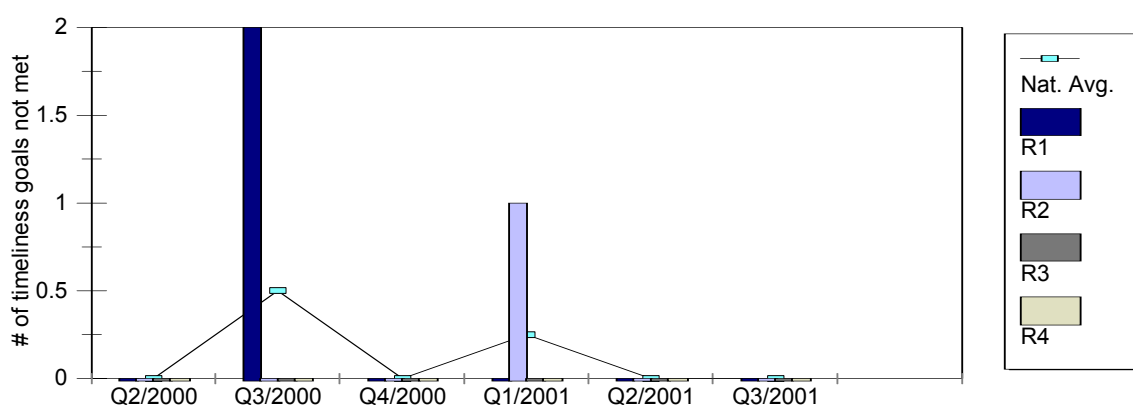
Q1/2001: One of the six assessment followup letters did not meet the established timeliness goals.

**AS-6 (PA3b) The Web Posting and Availability via ADAMS of Assessment Letters Is Timely**

**Definition:** Review the posting of letters to the NRC's external Web site and availability in ADAMS and compare to the timeliness goals. Record the number of letters not available in ADAMS and number of letters not posted to the Web site within goals.

**Criteria:** IIPB posts assessment letters to the NRC's external Web site using the electronic version in ADAMS within 10 weeks after the end of mid-cycle and end-of-cycle assessment periods and 8 weeks after the end of intervening quarters.

**Lead:** IIPB



**Analysis:** Q3/2001: assessment letters were not posted to the web due to the terrorist attacks on September 11, 2001.

Q2/2001: All of the 66 annual assessment letters were posted to the web within timeliness guidelines.

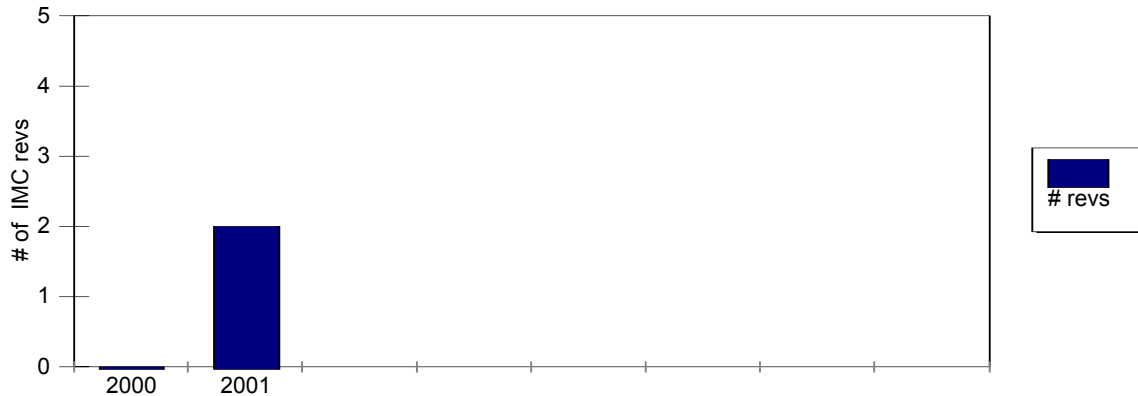
Q1/2001: Only one of six assessment followup letters issued during this calendar quarter was posted to the web beyond the timeliness guidelines.

**AS-7 (PA4a) Assessment Program Procedures Are Stable Enough to Be Perceived as Predictable**

**Definition:** Count the number of revisions to IMCs 0305 and 0350.

**Criteria:** Expect few revisions, with a steady or declining trend from the first-year benchmark.

**Lead:** IIPB



**Analysis:** During calendar year 2001, there was one revision to IMC 0350, “Oversight of Operating Reactor in a Shutdown Condition with Performance Problems,” and one revision to IMC 0305, “Operating Reactor Assessment Program.” Additionally, another revision to IMC 0305 was issued in early 2002, which will be counted in the first quarter of 2002.

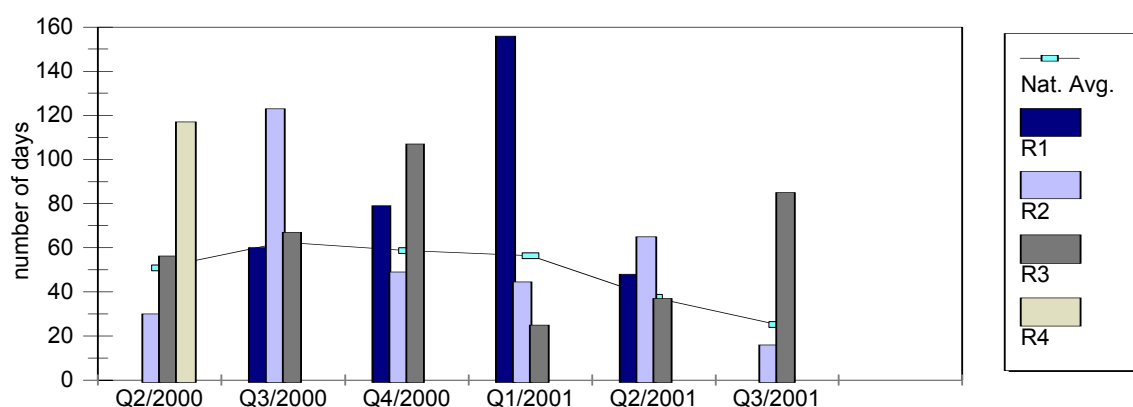


## AS-8 (MA2a) The NRC's Response to Performance Issues Is Timely

**Definition:** Count the number of days between issuance of an assessment letter discussing an issue of more than very low safety significance and completion of the supplemental inspection (by exit meeting date, not issuance of the inspection report).

**Criteria:** The time should stay steady or decrease when compared to the benchmarking data (first few years of the ROP).

**Lead:** Regions



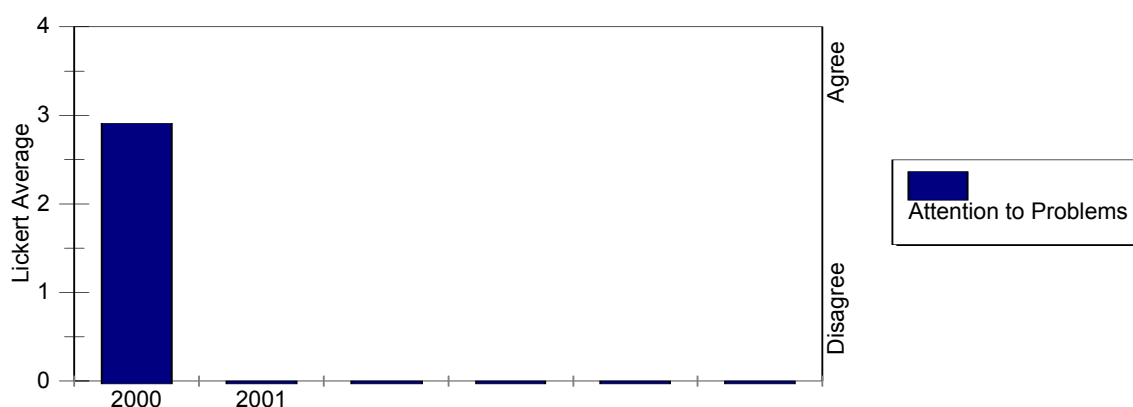
**Analysis:** Baseline data for this metric are still being collected. However, data collected to date indicate a positive short-term trend regarding the elapsed time between the issuance of an assessment letter and the completion of the corresponding supplemental inspection.

**AS-9 (MA1a) The Agency Takes Appropriate Actions to Address Performance Issues for Those Licensees Outside of the Licensee Response Column of the Action Matrix**

**Definition:** Solicit feedback on the appropriateness of regulatory attention given to licensees with performance problems via a survey question to both internal and external stakeholders.

**Criteria:** Expect steady or improved perception of appropriateness of actions as compared to the first-year benchmark.

**Lead:** IIPB



**Comments:** The staff did not survey internal stakeholders for this ROP cycle.

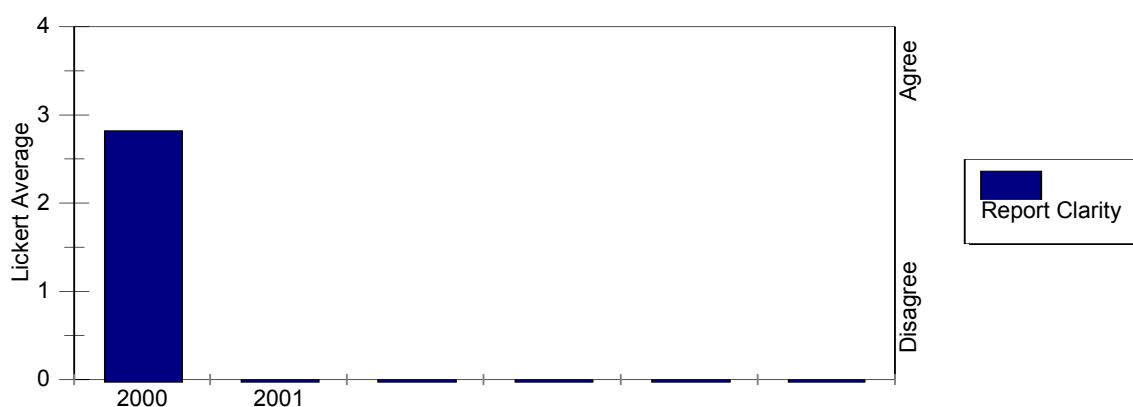
Comments from external stakeholders in response to a November 2001 *Federal Register* notice are discussed in the Commission paper regarding the 2001 ROP cycle.

**AS-10 (CA3a) Information Contained in Assessment Reports Is Relevant, Useful, and Written in Plain Language**

**Definition:** Perform surveys to determine internal and external stakeholder views on assessment reports.

**Criteria:** Steady or improved perception of the relevance, usefulness, and understandability of assessment reports as compared to the first year benchmark.

**Lead:** IIPB



**Comment:** 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. The staff did not survey internal stakeholders for this ROP cycle.

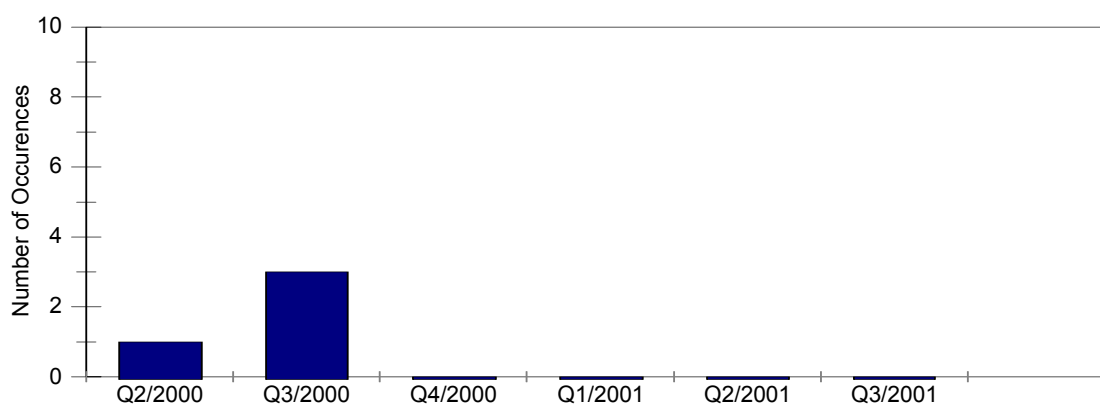
**Analysis:** Comments from external stakeholders in response to a November 2001 *Federal Register* notice are discussed in the Commission paper regarding the 2001 ROP cycle.

**AS-11 Degradations in Plant Performance, as Measured in the Action Matrix, Is Gradual and Allows Adequate Agency Engagement of the Licensees**

**Definition:** Track the number of instances each quarter in which plants move more than one column to the right in the Action Matrix (as indicated on the Action Matrix Summary).

**Criteria:** Expect few instances in which plant performance causes a plant to move more than one column to the right in the Action Matrix. Provide a qualitative explanation of each instance in which this occurs. Expect a steady or declining trend from the first-year benchmark.

**Lead:** IIPB



**Analysis:** During the first three quarters of calendar year 2001, there were no instances in which a plant moved more than one column to the right in the Action Matrix.