

U. S. NUCLEAR REGULATORY COMMISSION

Agency Information Collection Activities: Submission for the Office of Management and Budget (OMB) Review; Comment Request

AGENCY: U. S. Nuclear Regulatory Commission (NRC)

ACTION: Notice of the OMB review of information collection and solicitation of public comment.

SUMMARY: The NRC has recently submitted to OMB for review the following proposal for the collection of information under the provisions of the Paperwork Reduction Act of 1995 (44 U.S.C. Chapter 35). The NRC hereby informs potential respondents that an agency may not conduct or sponsor, and that a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

1. Type of submission, new, revision, or extension: New
2. The title of the information collection: Voluntary Reporting of Performance Indicators
3. The form number if applicable: Not applicable

4. How often the collection is required: One-time collection and quarterly thereafter
5. Who is required or asked to report: Power reactor licensees
6. An estimate of the number of responses: 264
7. The estimated number of annual respondents: 66 reactor sites
8. An estimate of the total number of hours needed annually to complete the requirement or request: 13,860 hours (210 hours per site), and a one-time start-up effort of 13,200 hours
9. An indication of whether Section 3507(d), Pub. L. 104-13 applies: Not applicable
10. Abstract: As part of a joint industry-NRC initiative, the NRC plans to receive information submitted voluntarily by power reactor licensees regarding selected performance attributes known as performance indicators (PIs). PIs provide objective measures of the performance of licensees' systems or programs. The NRC is revising its reactor oversight process to use PI information, along with the results of selected audits and inspections, as the basis for NRC conclusions regarding plant

performance and necessary regulatory response. PIs will be transmitted electronically to reduce burden on licensees and the NRC as part of the NRC's revised oversight process which is scheduled for implementation beginning in April 2000.

A copy of the draft supporting statement may be viewed free of charge at the NRC Public Document Room, 2120 L Street, NW (lower level), Washington, DC. OMB clearance requests are available at the NRC World Wide Web site (<http://www.nrc.gov/NRC/PUBLIC/OMB/index.html>). The document will be available on the NRC Home Page site for 60 days after the signature date of this notice.

Comments and questions should be directed to the OMB reviewer listed below by (insert date 30 days after publication in the Federal Register). Comments received after this date will be considered if it is practical to do so, but assurance of consideration cannot be given to comments received after this date.

Erik Godwin
Office of Information and Regulatory Affairs (3150-)
NEOB-10202
Office of Management and Budget
Washington, DC 20503

Comments can also be submitted by telephone at (202) 395-3087.

The NRC Clearance Officer is Brenda Jo. Shelton, 301-415-7233.

Dated at Rockville, Maryland, this 5th day of August 1999.

For the Nuclear Regulatory Commission

/RA/

Beth C. St. Mary, Acting NRC Clearance Officer
Office of the Chief Information Officer

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R/A

Beth C. St. Mary, Acting NRC Clearance Officer
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***SEE PREVIOUS CONCURRENCE**

DOCUMENT NAME: P:\final omb clearance pkg. voluntary report of performance indicators (Dave Allsopp)

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FINAL SUPPORTING STATEMENT
FOR
VOLUNTARY REPORTING OF PERFORMANCE INDICATORS
(New Collection)

Description of the Information Collection.

In mid-1998, the nuclear industry offered to voluntarily send selected performance attributes known as performance indicators (PIs) to the NRC as part of a larger effort to improve the NRC's oversight process. PIs provide objective measures of the performance of licensees' systems or programs. The NRC is revising its reactor oversight process to use PI information, along with the results of selected audits and inspections, to provide the basis for NRC conclusions regarding plant performance and necessary regulatory response. PIs will be transmitted electronically to reduce burden on licensees and the NRC as part of the NRC's revised oversight process which is scheduled for implementation beginning in April 2000.

Improvements to the oversight process are being developed through a joint effort with public stakeholders, industry representatives, and the Nuclear Energy Institute (NEI)¹. NEI issued a guidance document for reporting PI information (Regulatory Assessment Performance Indicator Guideline), which is expected to be endorsed by the NRC for use. Under the revised oversight process, licensees will need to conduct a one-time review of past records to identify information needed to calculate PIs for the initial reporting in January 2000; and there will be a one-time burden to develop and implement procedures for collecting and reporting PI data. Licensees already collect most of the PIs and report some of them to various industry groups. There is widespread industry support for the revised oversight process (see attached letter from NEI) and NEI has determined that all reactor licensees plan to voluntarily submit PIs.

A. JUSTIFICATION

1. Need For and Practical Utility of the Collection of Information.

In response to concerns expressed by congressional committees, the nuclear industry, public interest groups, as well as the NRC's own internal reviews, the NRC is revising its inspection and oversight process for commercial nuclear power plants. The new process uses PIs as a means of measuring the performance of key attributes. The use of PIs allows the new process to be more objective and allows for a reduction in the amount of NRC inspections. For those attributes for which PIs could not be identified or were not sufficiently comprehensive, the NRC developed baseline inspection activities to obtain necessary information. The NRC also developed additional inspection activities to verify the accuracy and completeness of the reported PI data. The use of PI information is a basic tenet of the revised oversight program and is expected to result in significant reduction of overall NRC burden on reactor licensees.

¹ NEI is a utility group whose mission is to "foster and encourage the continued safe utilization and development of nuclear energy in order to meet the nation's energy, environmental, and economic goals."

The revised oversight process was issued for public comment several times during its development. Comments received indicate that industry supports the approach, and in an effort to advance the development and implementation of the new program, nine reactor sites have voluntarily submitted PIs as part of a pilot process that began in June 1999. Lessons learned from the pilot effort may result in incremental adjustments to the identified PIs. The NRC and NEI are continuing to develop an additional PI in each of the following areas: shutdown operations, fire protection, and the unreliability of systems listed in paragraph "b" below.

Full implementation of the revised oversight process will begin April 2000. Licensees who report PIs, would do so quarterly and retain records as long as necessary to calculate specific indicators, but in no case longer than 3 years.

The specific PI information is listed below:

- a. The number of:
 - unplanned scrams per 7,000 hours of critical operation
 - scrams with loss of the normal heat removal in the preceding 36 months
 - unplanned transients per 7,000 hours of critical operation
 - safety system functional failures in the preceding 12 months
 - non-conformances with 10 CFR Part 20 requirements for high or very high radiation areas, or unintended personnel exposures in the preceding 36 months
 - occurrences of radiological effluent releases that exceed values derived from the Radiological Effluent Technical Specifications (RETS) or provisions in the Offsite Dose Calculation Manual (ODCM), if applicable, in the preceding 36 months
 - reportable failures of the security program to screen personnel in the preceding 12 months
 - reportable failures of the security program for personnel reliability in the preceding 12 months
- b. The unavailability (the percentage of time the system was unavailable for operation in the preceding 36 months) of the following systems:
 - high-pressure injection
 - high-pressure heat removal
 - residual heat removal
 - emergency AC power
- c. The percentage of:
 - reactor coolant activity (as a percent of the Technical Specification limit)
 - reactor coolant leakage (as a percent of the Technical Specification limit)
 - containment leakage (as a percent of the Technical Specification limit)
 - successful (accurate and timely) classifications, notifications, and protective action recommendations (as a percent of all such actions) by the Emergency Response Organization (ERO) during drills, exercises, and actual events in the preceding 24 months
 - key ERO members who participated in emergency drills, exercises, or actual events in the preceding 24 months
 - sirens that operated reliably in the preceding 12 months

- guard duty required to compensate for the unavailability of protected area security equipment (as a percent of total time) in the preceding 12 months
- d. A point of contact for PI data, including a name, e-mail address, and phone number.

2. Agency Use of Information.

The Office of Nuclear Reactor Regulation (NRR) will use PIs, along with the results of audits and inspections, as a basis for determining if specific performance thresholds (as described in the oversight program guidance) have been exceeded. The oversight process relies, in part, on performance insights gained from PI data to trigger regulatory actions and to aid in the assessment of plant performance. PIs, along with the results of inspection, will be made publically available on the Internet shortly after the end of each quarter.

3. Reduction of Burden Through Information Technology.

All PI data will be transmitted electronically to reduce burden on both industry and the NRC. The NRC is in the process of selecting the best process to receive PI information and store it in the Agencywide Documents Access and Management System. One approach being considered is the use of electronic information exchange capability being developed by OCIO. The NRC is continuing to work with industry while developing its capability to receive electronic information.

4. Effort To Identify Duplication and Use Similar Information.

The PIs were selected to maximize usefulness, and consequently, they track specific performance over predetermined periods. Although licensees report similar information for 6 of the 19 indicators, this information is not always reported in sufficient detail to properly characterize issues to meet the requirements of the revised oversight program.

The industry expressed a strong preference to report PIs separately from other reporting requirements (even if there is some overlap with required reports) to expedite the development and implementation of the revised oversight process. Licensees report similar information for three of the six PIs under the general reporting requirements in 10 CFR 50.72 and 50.73. As a separate action, both of these requirements are being reviewed to identify changes to reduce the reporting burden (reduce scope and lengthen response time) on licensees and to better align the reporting requirement with the NRC's current reporting needs.

5. Effort to Reduce Small Business Burden.

This information collection does not impact small business as all respondents are nuclear power plant licensees.

6. Consequences to Federal Program or Policy Activities if the Collection Is Not Conducted or Is Conducted Less Frequently.

The NRC would not be able to implement the revised oversight process as it is currently structured if PI information were limited or not available. The insights gained from PIs are a critical element of the new oversight program. The PIs establish an objective basis for the assessment of licensee performance and for allocating NRC inspection resources. The NRC would be forced to rely on inspections to obtain assessment information to the extent that PI information is not available.

7. Circumstances which Justify Variation from OMB Guidelines.

This information collection does not vary from OMB guidelines.

8. Consultations Outside the NRC.

The NRC has worked closely with industry and public stakeholders in revising the reactor oversight program, including the collection of PI data. NRC and industry representatives have met frequently (more than 10 times in 1998 and biweekly in 1999), and the NRC has held a number of public meetings (a 4-day public workshop on September 28-October 1, 1998, and public Commission briefings on April 2, 1998, November 2, 1998, January 20, 1999, and March 26, 1999) to provide information and to solicit comments on the new process.

NRC and industry representatives have discussed PIs, including the availability of data, the frequency of collection, the clarity of each indicator, and the reporting format. On January 22, 1999, the NRC issued a *Federal Register* notice (64 FR 3576) soliciting public comments on the scope and content of the revised oversight process, including PIs. Comments overwhelmingly support the new oversight process, including the collection of PIs. Additional workshops on the revised oversight process, including PIs, were open to the public and conducted on April 12-15 and May 17-20, 1999.

The NRC issued a *Federal Register* notice (64 FR 28530) soliciting public comments on the collection of PI data on May 26, 1999. No comments were received.

9. Payment or Gift to Respondents.

Not applicable.

10. Confidentiality of the Information.

No information normally considered confidential is requested. The NRC intends to place PI information on its Web site for public viewing.

11. Justification for Sensitive Questions.

Not applicable.

12. Estimate of Industry Burden and Burden Hour Cost.

The following table reflects licensee burden to provide PI information and is based on information from industry (see attached letter from NEI) and staff's best estimate. The estimates include only additional hours needed above those already expended by licensees to report indicators to the Institute of Nuclear Power Operations or to comply with other regulatory requirements (e.g., the maintenance rule, 10 CFR 50.73 reporting, etc.). The NRC anticipates that the reporting of PIs under the revised oversight process will result in an overall reduction in the amount of time licensees must expend supporting NRC inspection activities. This information collection imposes a minimal recordkeeping burden due to efficiencies inherent with electronic storage and transmission of data.

The following table assumes there will be one response per reactor site on a quarterly basis (4 X 66 = 264 annual responses) and that licensees will occasionally need to update the PIs and related procedures based on experience.

ANNUAL REPORTING BURDEN

	No. Annual Responses	Burden per Response	Total Annual Burden Hours	Annual Cost at \$141/hr
PI Reporting	264	50	13,200	\$1,861,200

ANNUAL RECORDKEEPING BURDEN

	No. of reactor Sites	Burden per reactor site	Total Annual Burden Hours	Annual Cost at \$141/hr
Recordkeeping	66	10	660	\$93,060

ONE-TIME BURDEN

Licensees will need to review historical records to collect and report eight quarters of PI data for the initial, one time, report.

	No. of reactor sites	Burden per reactor site	Total Burden Hours	One-time Cost at \$141/hr
Review of Historical Records	66	100	6,600	\$930,600

Licensees will need to develop and implement site-specific procedures to collect and report PI data.

Develop and Implement PI Procedures	No. of reactor sites	Burden per reactor site	Total Burden Hours	One- time Cost at \$141/hr
	66	100	6,600	\$930,600

Combining these one-time activities and converting to an annual burden spread over the three-year period of this clearance request yields a burden of 4,400 hours (13,200/3) at a cost of \$620,400. Total burden equals 18,260 (4,400 hours plus 13,200 plus 660 annual burden hours) for the first 3 years. After the first 3 years the estimated annual burden will be 13,860 hours.

13. Estimate of Other Additional Costs.

None.

14. Estimated Annualized Cost to the Federal Government.

The overall cost to the Government should decrease because the reduction in costs related to NRC oversight will more than offset any increased costs associated with reviewing PI data. The review of PI data will involve minimal incremental cost to the Government as most of the information contained in these indicators is reviewed as part of the routine inspection and assessment process. This cost is fully recovered through fee assessments to NRC licensees pursuant to 10 CFR Parts 170 and/or 171.

15. Reasons for Change in Burden or Cost.

This will create a new burden for licensees to implement and maintain a voluntary PI program. The burden is expected to be offset by a reduction in the amount of time licensees must devote to responding to NRC inspections.

16. Publication for Statistical Use.

This information will not be published for statistical use.

17. Reason for Not Displaying the Expiration Date.

The expiration date will be displayed.

18. Exceptions to the Certification Statement.

There are no exceptions.

B. COLLECTIONS OF INFORMATION EMPLOYING STATISTICAL METHODS

Not applicable.