

# Reactor Oversight Process Self-assessment Regional Data Collection Form

Region \_\_\_\_\_  
Quarter \_\_\_\_\_

## Inspection Program Data:

1. Inspection program timeliness (EI3a&b, CI2a):
  - (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
  - (e) Number of PIM updates made: \_\_\_\_\_ PIM updates made this quarter
  - (f) Number of timely PIM updates: \_\_\_\_\_ timely PIM updates this quarter
2. Number of inaccuracies reported in inspection program information (IRs, PIMs, Web-based reports) from any source (CI2b): \_\_\_\_\_ inaccuracies reported
3. Changes to inspection schedules (PI1b, PI2b, EI2d):
  - (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
  - (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
4. Rates of completed scheduled inspections:
  - (a) No. of inspections scheduled in quarter \_\_\_\_\_ No. of inspections scheduled
  - (b) No. of scheduled inspections conducted \_\_\_\_\_ No. of conducted inspections
  - (c) Percentage of scheduled inspections conducted for quarter (a/bX100) \_\_\_\_\_ Percent scheduled inspections conducted for quarter

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**Inspection Program Data:**

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:

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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:

(a) Number of Phase 3 evaluations performed: \_\_\_\_\_ 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 upheld<sup>1</sup>: \_\_\_\_\_ 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

<sup>1</sup>

"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) Total time spent in preparing for/participating in quarterly, mid-cycle, and end-of-cycle reviews; staffing assessment and follow up letters: \_\_\_\_\_ hours this quarter
- (b) 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 (b) is greater than zero, explain who attended 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 assessment follow-up letters issued on time (within 2 weeks of letter providing SDP results): \_\_\_\_\_ Number and % of times this quarter

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**Assessment Data:**

- (c) 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
- (d) Number and percent of public meetings held on time (within 16 weeks of end of assessment period): \_\_\_\_\_ Number and % held on time this quarter
- (e) 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.