

November 16, 2000

MEMORANDUM TO: John W. Craig, Executive Secretary
Executive Council

FROM: Janice Dunn Lee, Director */RA/*
Office of International Programs

SUBJECT: FY 2000 4th QUARTER OPERATING PLAN UPDATE

Attached please find the fourth quarter update to the Office of International Programs (OIP) operating plan in the International Nuclear Safety Support arena for Fiscal Year 2000-2001, including Participation in International Nuclear Safety Support Activities and Assistance to Foreign Regulators (Program Managers, Howard Faulkner and John Ramsey); Import/Export Licensing Reviews (Program Manager, Marvin Peterson); and Chapter B - Office Management/Organization Activities (Program Manager, Rita Hoskins). An electronic version has been forwarded to Connie Schum, OEDO, and Al Hirschman, OCFO. Questions regarding this operating plan should be directed to Rita Hoskins at 415-1739, e-mail RYH1.

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See previous concurrences*

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DATE	11/8/00		11/9/00		11/9/00		11/13/00		11/16/00	

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FY 2000 - 2001 OPERATING PLAN PARTICIPATION IN INTERNATIONAL NUCLEAR SAFETY SUPPORT ACTIVITIES

January 8, 2002

MANAGER/OFFICE: Howard J. Faulkner, OIP (Safety and Safeguards Exchange Activities), and John E. Ramsey, OIP (Assistance to Foreign Regulators)

SUPPORT OFFICES: NRR, NMSS, IRO, OGC (Safety and Safeguards Exchange Activities), and NRR, NMSS, OHR, IRO, RES (Assistance to Foreign Regulators)

DESCRIPTION: The NRC maintains a program of international nuclear safety activities in support of U.S. domestic and foreign policy interests in the safe, secure, and environmentally acceptable use of nuclear materials, energy, and in nuclear non-proliferation, as well as in support of NRC's public health and safety and national security mandates. As the regulator of the world's largest civilian nuclear program, the NRC has extensive regulatory experience to contribute to international programs in areas such as nuclear reactor safety, radiation protection, nuclear materials safety and safeguards, waste management, and decommissioning of nuclear facilities. Further, of the approximately 430 nuclear power reactors operating worldwide, approximately 320 are operating outside of the U.S. Of this latter group, around 60 to 65 percent are based on or are derived from U.S. technology. The U.S. is also a major supplier of nuclear fuel, equipment, maintenance, technical expertise, and other services needed to support operation of these facilities. Cooperation with foreign countries in the area of nuclear safety provides a considerably larger operational experience base than exists in the U.S. alone, enables the NRC to identify and resolve safety issues in an economical manner, and supports and enhances nuclear safety worldwide.

The NRC currently maintains ~~34~~ ~~35~~ **36** arrangements with the regulatory authorities of the following countries or areas: Armenia, Argentina, Belgium, Brazil, Canada, China, the Czech Republic, Egypt, Finland, France, Germany, Greece, Hungary, Indonesia, Israel, Italy, Japan, Kazakhstan, the Republic of Korea, Lithuania, Mexico, The Netherlands, Peru, The Philippines, **Romania**, Russia, the Slovak Republic, Slovenia, South Africa **(2)**, Spain, Sweden, Switzerland, Ukraine, the United Kingdom, and Taiwan. These arrangements provide communications channels that ensure the prompt reciprocal notification of power reactor safety problems that could affect both U.S. and foreign plants. They are an important component of NRC's public health and safety and national security mandate. They encourage the identification of possible precursor events warranting further investigation. They are the foundation for bilateral cooperation with other nations in nuclear safety, physical security, materials control and accounting, waste management, environmental protection, and other areas to which the parties agree. Finally, they establish a means through which NRC provides health and safety information and assistance to other countries attempting to develop or improve their regulatory organizations and their overall nuclear safety cultures.

FY 2000 - 2001 OPERATING PLAN PARTICIPATION IN INTERNATIONAL NUCLEAR SAFETY SUPPORT ACTIVITIES

January 8, 2002

Safety and Safeguards Exchange Activities: The NRC participates in a wide range of mutually beneficial programs involving information exchange with counterparts in the international community. In addition to its extensive program of bilateral cooperation with other countries, the NRC also works closely in the area of nuclear safety with international organizations such as the International Atomic Energy Agency (IAEA) in Vienna and the Nuclear Energy Agency (NEA) of the Organization for Economic Cooperation and Development (OECD) in Paris.

Assistance to Foreign Regulators: In support of NRC's public health and safety and national security mandate, the NRC also provides a carefully selected range of safety and safeguards assistance to help develop and strengthen foreign nuclear regulatory authorities, especially those in the New Independent States of the former Soviet Union (FSU) and countries of Central and Eastern Europe (CEE). This assistance includes helping them to strengthen their regulatory organizations by training foreign inspectors, and working together in the areas of operational safety, materials protection, and risk reduction. In providing this assistance, we work closely with the Departments of State, Energy, and Defense, and the Agency for International Development (AID). Presently, funding for the assistance to the FSU and CEE is provided by AID, DOE, and DOD.

RESOURCES:

TABLE 1: Safety and Safeguards Exchange Activities:¹

		(Cum.)	(Cum.)	(Cum.)	(Cum.)	(Cum.)	(Cum.)	(Cum.)	(Cum.)
	FY2000	Q1FY00	Q1FY00	Q2FY00	Q2FY00	Q3FY00	Q3FY00	Q4FY00	Q4FY00
	Planned	Planned	Expended	Planned	Expended	Planned	Expended	Planned	Expended
	FTE/K\$	FTE/K\$	FTE/K\$	FTE/K\$	FTE/K\$	FTE/K\$	FTE/K\$	FTE/K\$	FTE/K\$
Office									
OIP	7.0/60	3.0/60	1.5/0	3.0/60	3.0/60	5.3/60	5.3/60	7.0/60	7.0/60
NRR	2.0/0	0.5/0	0.5/0	1.0/0	0.9/0	1.5/0	1.5/0	2.0/0	2.0/0
NMSS	4.0/69.9*	1.5/14.5	1.0/15	2.0/25	3.1/29	3.0/40	5.2/36	4.0/50	6.3/49
Total	13.0/129.9								

*Includes \$19.9K for FY 2001 carryover.

TABLE 2: Assistance to Foreign Regulators:¹

			(Cum.)		(Cum.)		(Cum.)		(Cum.)
	FY2000	Q1FY00	Q1FY00	Q2FY00	Q2FY00	Q3FY00	Q3FY00	Q4FY00	Q4FY00
	Budget	Planned	Expended	Planned	Expended	Planned	Expended	Planned	Expended
	FTE/K\$	FTE/K\$	FTE/K\$	FTE/K\$	FTE/K\$	FTE/K\$	FTE/K\$	FTE/K\$	FTE/K\$
Office									
OIP	2.0	0.5	0.5 0.3	1.0	1.0 0.6	1.5	1.5 1.0	2.0	1.5

Note: Other offices usage will be included in the 4th Qtr update upon OCFO compilation of the data. See attached summary of hours for FY 2000 provided by OCFO.

1. Program Commitments

I.A Planned Accomplishments: International Nuclear Safety Support Activities

Effectiveness Metrics: Effectiveness is indicated by the extent to which regulation of the domestic nuclear industry is improved through the Commission’s international nuclear safety cooperation and assistance activities, while supporting the protection of the common defense and security of the U.S. This effectiveness is reflected in the extent to which (a) the NRC’s domestic regulatory program is improved, enhanced and strengthened through information

¹OIP will continue to refine this data with a goal of providing better data in the future updates to this plan.

acquired from counterpart foreign regulatory agencies, and (b) the Commission's international program interests and priorities are considered and acted on by the U.S. Government, foreign governments, and international organizations and association. OIP maintains effective relations with each of these entities in order to identify, assess, and appropriately disseminate information which potentially affects NRC's mandates.

Status: Actual performance for this program has been close to the quarterly targets. No specific problems are forecast for the future.

I.A.1-1 Planned Accomplishments: OIP manages NRC participation in exchanges of views at high-level meetings focused on international nuclear regulatory policy formulation and on developing approaches for the safe and secure use of nuclear material for peaceful purposes, in accordance with NRC's mandates.

I.A.1-1.1 Milestones:

I.A.1-1.1(a) OIP will continue to assist in identifying and resolving issues associated with the International Nuclear Regulators Association (INRA), will help in identifying agenda topics and policy issues for periodic (expected to be at least twice yearly) meetings of the Association, and will assist in coordinating discussion papers for the meetings. In addition, OIP will coordinate preparations for the Chairman's participation in these meetings and implementation of decisions reached by the Association insofar as they impact NRC.

<u>FY 2000</u>	<u>Target</u>	<u>Actual</u>
1 st Q	Plan for NRC participation in FY 2000 INRA meetings (Feb/Sept.) (i.e. correspondence with INRA chair, preparation of discussion papers)	Completed
2 nd Q	Chairman to attend Feb 3-4, 2000 INRA meeting in London, UK. Complete follow-on activities	Completed
3 rd Q	Plan for NRC participation in Sept 6-8 INRA Meeting	Completed
4 th Q	Chairman to attend Sept 6-8 INRA meeting in Edinburgh, Scotland Complete follow-on activities	Completed

Note: As of January 1, 2000, 1.A.1-1.1 has been transferred to the Office of the Chairman

I.A.1-1.1(b)

OIP will provide the Commission, EDO, and other NRC staff with information and policy recommendations on the most significant international safety and security issues and developments, including intelligence information related to nuclear safety, nuclear exports, nonproliferation, and international security, focusing on safety and security issues potentially applicable in the U.S. As appropriate, OIP will identify, recommend action, and initiate activities to address significant international safety and security issues and developments.

Schedule/Activities: Annually update OIP's briefing papers for foreign countries determined to be of interest and international organizations identifying issues, problems, and opportunities for NRC cooperation, including points for use by policy makers. OIP provide annual briefing for the Commission on NRC international activities.

Continuously monitor international nuclear safety and security activities to assess relevance and potential impact on the U.S. domestic nuclear program, and provide updates to the Commission and relevant program offices, such as by scheduling Executive Branch briefings which include relevant intelligence information.

<u>FY 2000</u>	<u>Target</u>	<u>Actual</u>
1 st - 4 th Q	Update briefing papers and interact with Commission and program offices as needed	Completed
3rd Q 4 th Q	Provide periodic annual briefing for Commission.	Completed
1 st - 4 th Q	Initiate contacts, attend meetings, provide briefings for Commission and program offices to develop NRC's understanding of the significant safety and security significant issues (8 meetings per year)	Completed
4 th Q.	Develop issues paper for Commissioners on State/KEDO requests	Completed
Status:	No significant assistance related items sent to Commission during first, second and third quarters. The KEDO issues paper was delayed due to lengthy multiple concurrence and should be issued in first quarter, FY 2001.	

I.A.1-1.1(c)

OIP will assist Commissioners, EDO and senior NRC staff in preparing for visits by senior foreign regulatory officials to NRC and in planning and arranging foreign travel so that their exchanges are as effective as possible. As appropriate, OIP will accompany the Chairman and Commissioners on foreign travel to provide policy guidance and advice and administrative support. OIP will

work with Commission and program offices to identify, recommend action, and initiate contact with foreign regulatory officials and foreign travel activities which address NRC and U.S. Government-identified priority international safety and security issues.

Schedule/Activities: OIP will arrange and participate in at least 4 visits to NRC by senior foreign regulatory officials.
 OIP will arrange and participate in at least 4 foreign trips by the Chairman and Commissioners.

<u>FY 2000</u>	<u>Target</u>	<u>Actual</u>
2 nd Q	Commissioner Dicus to participate in International Conference Safety of Radioactive Waste in Cordoba, Spain	Completed
3 rd Q	Chairman Meserve to participate in the Japan Atomic Industrial Forum Meeting in Tokyo, Japan	Completed
3 rd Q	Commissioner Diaz to participate in the Korean Atomic Industrial Forum meeting in Seoul, Korea	Completed
3 rd Q	Commissioner Diaz to participate in CSNI Workshop on Thermal Hydraulics & Neutron Codes in Barcelona, Spain	Cancelled
3 rd Q	Commissioner Dicus to participate in the Tenth Congress of the Radiation Protection Association in Hiroshima, Japan	Completed
3 rd Q	EDO may travel to Lithuania.	Cancelled
4 th Q	Commissioner Dicus will participate in the Conference of the Joint Coordination Committee on Radiation in St. Petersburg, Russia.	Completed

I.A.1-1.2 Support Office Milestones: None.

INTERNAL OUTPUT MEASURES

Measure: Coordinate NRC participation in exchanges of views at high-level meetings focused on international nuclear regulatory policy formulation and on developing approaches for the safe and secure use of nuclear material for peaceful purposes.

FY 00/2001 Target: Coordinate two meetings of the International Nuclear Regulators Association and one IAEA General Conference.

Milestones: See Milestones I.A.1-1.1 (a)

Note: As of January 1, 2000, coordination of the meetings of the International Regulators Association was transferred to the Office of the Chairman.

I.A.1-2 Planned Accomplishments: Maintain liaison with Executive Branch agencies to ensure that the NRC has effective relationships with international organizations and foreign governments in support of U.S. national security and other U.S. foreign policy objectives, and in concert with NRC public health and safety and national security mandates.

I.A.1-2.1 Milestones:

I.A.1-2.1(a) OIP will maintain liaison on international matters with the Executive Branch, particularly the National Security Council (NSC), U.S. Intelligence Community, the Office of the Vice President (OVP), the Departments of Defense (DOD), State (DOS), and Energy (DOE), and the Agency for International Development (AID). This activity ensures that the NRC has effective relationships with international organizations and foreign governments, contributes to the assurance of U.S. nuclear safety, and helps to support and shape U.S. national security and other U.S. foreign policy objectives.

Schedule/Activities: To be determined. This is a continuing activity which typically involves ad hoc contacts and tasks which arise unpredictably based on international developments. In order to stay abreast of such activities and to develop understanding of the issues, OIP will initiate contacts, attend meetings, and provide briefings to the Commission and relevant program offices as appropriate.

I.A.1-2.1(b) OIP will help maintain NRC's role in both U.S. government and international efforts to provide assistance to foreign regulators, working particularly with such U. S. government agencies as the DOS, DOE, AID, OVP, and NSC and with such international entities as the G-7 Nuclear Safety Working Group, G-24 NUSAC, IAEA, NEA, VVER Regulators Group, European Bank for Reconstruction and Development and European Commission. NRC participates in a wide, but carefully selected, range of safety and safeguards assistance

activities for the FSU and CEE countries, Pacific Rim nations, South Africa, Latin American, India, and others such as North Korea, as appropriate.

Schedule/Activities: OIP will interact actively with both U. S. Government and international organizations to present NRC views on key assistance issues and seek their adoption.

OIP will coordinate NRC's ongoing or planned regulatory assistance activities with other U. S. Government and international organizations.

OIP will support NRC participation in the Joint-Russian American Commission for Economic and Technological Cooperation, and the U. S. South Africa Binational Commission.

OIP will work to develop regulatory cooperative arrangements with countries where such arrangements ~~with countries where such arrangements~~ are not already in place.

OIP will seek funding to carry out assistance activities.

Status: During the first quarter, OIP:

- Continued active involvement in regulatory strengthening efforts for the Armenia, Czech, Kazakh, Lithuanian, Russian and Ukrainian regulatory authorities;
- Successfully renewed the NRC cooperative arrangement with the Kazakh Atomic Energy Committee;
- Conducted a series of meetings with a senior official from the Russian Federal Nuclear and Radiation Safety Authority;
- Continued to participate in efforts to obtain funding from DOE to support NRC involvement in MPC&A-related assistance activities with the FSU countries; and
- Continued to participate in the development of NRC assistance activities to the Russian Federal Nuclear and Radiation Safety Authority on issues associated with conversion of Russia's currently operating plutonium production reactors to a design that does produce weapons-grade plutonium.

Status: During the second quarter, OIP:

- Continued active involvement in regulatory strengthening efforts for the Armenia, Czech, Kazakh, Lithuanian, Russian and Ukrainian regulatory authorities;
- Participated in a G-24 NUSAC coordination meeting;
- Participated in G-7 Nuclear Safety Working Group meetings;

- Participated in preparatory meetings for the Joint Russian/American Commission on Economic and Technological Cooperation;
- Continued to participate in efforts to obtain funding from DOE to support NRC involvement in MPC&A-related assistance activities with the FSU countries; and
- Continued to participate in the development of NRC assistance activities to the Russian Federal Nuclear and Radiation Safety Authority on issues associated with conversion of Russia's currently operating plutonium production reactors to a design that does not produce weapons-grade plutonium.

Status: During the third quarter, OIP:

- Continued active involvement in regulatory strengthening efforts for the Armenia, Czech, Kazakh, Lithuanian, Russian and Ukrainian regulatory authorities;
- Participated in preparatory meetings for the Joint Russian/American Commission on Economic and Technological Cooperation;
- Participated in G-7 Nuclear Safety Working Group meetings; Successfully concluded a new interagency agreement with USAID for provision of \$2 million in FY 2000 funding for the FSU countries; Successfully modified existing interagency agreements with USAID to extend their completion dates to September 30, 2001;
- Continued to participate in efforts to obtain funding from DOE to support NRC involvement in MPC&A-related assistance activities with the FSU countries; and
- Continued to participate in the development of NRC assistance activities to the Russian Federal Nuclear and Radiation Safety Authority on issues associated with conversion of Russia's currently operating plutonium production reactors to a design that does not produce weapons-grade plutonium.

Status: During the fourth quarter, OIP staff:

- Continued active involvement in regulatory strengthening efforts for the Armenian, Czech, Kazakh, Lithuanian, Russian and Ukrainian regulatory authorities;
- Continued participation in international efforts to assist the Kazakh authorities in developing a strategy for the permanent shutdown and decommissioning of the BN-350 reactor and for disposition of the BN-350 spent fuel;
- Participated in a meeting of the U.S./Russian Federation Joint Coordinating Committee for Radiation Effects Research in St. Petersburg, Russia;
- Participated in a program assessment and review meeting in Armenia;
- Participated in a Licensing Assistance Project (LAP) meeting in Lithuania;

- Successfully modified two interagency agreement with USAID involving both the provision of additional funds and the reprogramming of existing funds;
- Continued to participate in efforts to obtain funding from DOE to support NRC involvement in MPC&A-related assistance activities with the FSU countries; and
- Continued to participate in the development of NRC assistance activities for the Russian Federal Nuclear and Radiation Safety Authority on issues associated with conversion of Russia's currently operating plutonium production reactors to a design that does not produce weapons-grade plutonium.
- Provided documentation for the Chairman to sign renewal of regulatory cooperation arrangements with Spain, Republic of Korea, Czech Republic, Slovak Republic and Lithuania, and the initial arrangement with Romania during the September 2000 IAEA General Conference. Signed renewal of arrangement with Turkey, and a new arrangement with Bangladesh.

I.A.1-2.2 Support Office Milestones:

I.A.1-2.2-1 During FY 2000-2001, NMSS will continue to support U.S. programs for the disposition of nuclear materials released from weapons programs.

Schedule/Activities: Support Trilateral Initiative between IAEA, Russia and the U.S. to safeguard excess weapons materials (ongoing).

I.A.1-3 Planned Accomplishments:

To enhance NRC's public health and safety and national security mandate, OIP will facilitate NRC participation in activities to enhance domestic and global nuclear safety and security, such as through assisting in the development of international legal instruments (I.A.1-3.1-1); by engaging in bilateral activities with national organizations (I.A.1-3.1-2); and by improving understanding by foreign and international organizations of NRC regulatory policies and practices through visits, information exchanges, and assignments of foreign regulatory personnel with the NRC (I.A.1-3.1-3). OIP will work with program staff to assess the relevance and impact on NRC of these initiatives, and to recommend sunsetting activities, as appropriate.

I.A.1-3.1 Milestones:

I.A.1-3.1-1 Assist in the development of international legal instruments to enhance nuclear safety.

I.A.1-3.1-1(a) OIP will coordinate NRC's implementation of the Convention on Nuclear Safety (CNS). As needed, OIP will conduct liaison with NRC's Office of Congressional Affairs (OCA) in providing background materials and briefings for Senate staff on CNS and coordinate with the Executive Branch. OIP will support NRR and Executive Branch agencies in drafting, circulating and coordinating production of the U.S. National Report as required by the CNS, and in reviewing and commenting on the National Reports by other Contracting Parties in a timely way during the CNS 3-year cycles of activities.

Activities/Schedule: Activities through this year will include:

- Coordinate with NRR on review of National Reports submitted at the April 1999 review meeting of contracting parties and apply lessons learned to NRC activities
- Coordinate scope of work for updating of U.S. National Report
- Coordinate NRC activities with Executive Branch in preparation of production of U.S. National Report for April 2002 review meeting of parties

I.A.1-3.1-1(b) NMSS/OIP/OCA will assist in NRC's implementation of the Joint Convention on the Safety of Spent Fuel Management and the Safety of Radioactive Waste Management upon ratification by the U.S. Senate (DOE has the U.S. lead in implementation and NMSS is the primary involved office), with support as needed by OIP and OGC. A review of funding and resource implications of the Convention for the NRC, its licensees, the Agreement States and their licensees, and how to minimize this impact, was sent to the Commission on 10/20/99 via SECY-99-252. The ratification package was sent to the President on July 13, 2000.

Status: ~~Attended 3rd informal meeting on the Review Process at IAEA in 1st Q. Provided input on the Convention ratification package to the State Department. The Executive Branch had not finished its review of the Joint Convention, after which it will be sent to the President to be forwarded to the Senate for its advice and consent to ratification.~~

NRC has provided input on the Convention ratification package. ~~On July 13, 2000, The package was forwarded to the White House for transmittal~~ **sent** to the U.S. Senate for advise and consent ratification. **Twenty-two countries have ratified the convention.** ~~The Federal Steering Committee consisting of staff and management from the State Department, NRC, DOE and EPA are preparing for briefings of the U.S. Senate~~

staff. NRC management attended the Radioactive Waste Symposium in Cordoba, Spain in March 2000; the symposium focus was on implementation of the Joint Convention.

- I.A.1-3.1-2(c)** OIP will coordinate and support NRC participation in international visits and exchanges to obtain information on foreign regulatory approaches and operational experience that will help improve NRC’s domestic nuclear regulation. NRC will regularly interact with advanced nuclear countries, particularly France and Japan, to obtain requested technical safety information for use by NRC staff in NRC regulatory evaluations of current domestic safety issues.

<u>FY2000</u>	<u>Target</u>	<u>Actual</u>
1 st Q	3 interactions	3
2 nd Q	6 interactions	7
3 rd Q	9 interactions	11
4 th Q	12 interactions	15

- I.A.1-3.1-2(d)** Approximately every year, plan and make arrangements for an NRR bilateral meeting with counterparts in the Japanese Ministry of International Trade and Industry (MITI). NRR will continue to have regular contact with MITI to obtain regulatory information.

Activities/Schedule: OIP support to NRR for bilateral safety exchange with Japan Ministry of International Trade and Industry.

<u>FY 2000</u>	<u>Target</u>	<u>Actual</u>
1 st Q	0	0
2 nd Q	0	0
3 rd Q	1	1
4 th Q	0	1

- I.A.1-3.1-3** OIP will improve understanding by foreign and international organizations of NRC regulatory policies and practices through visits, information exchanges, and assignments of foreign regulatory personnel within the NRC. OIP and program office staff will attend appropriate international meetings and activities to advance NRC goals and

objectives and to represent the U.S. Government, as well as visit counterpart countries, as appropriate, to obtain information and to discuss issues of mutual concern. In addition to milestones below, OIP will:

Schedule/Activities: Maintain an up-to-date listing of key foreign regulatory officials to whom NRC regulatory documents are routinely sent.

Respond to 25 requests for information. (Since neither OIP nor the program offices have previously tracked the specific number of requests for information, this number is an estimate based on our best judgment. OIP and program offices will consider establishing a tracking system that does not impose a heavy burden on staff.)

I.A.1-3.1-3(a) In FY 2000 arrange assignments for 4 foreign personnel at NRC.

<u>FY 2000</u>	<u>Target</u>	<u>Actual</u>
1 st Q	1	1
2 nd Q	3	3
3 rd Q	4	4
4 th Q	4	5

Status: During the first, second and third quarters OIP made arrangements for one assignee from China Brazil and two from Japan. **During the fourth quarter, an assignee from Bulgaria reported to Region IV.**

I.A.1-3.1-3(b) In FY 00, NMSS will perform three technical information exchange visits on physical protection procedures and practices in foreign countries possessing or receiving U.S.-origin nuclear material or equipment (slightly less than one per quarter).

<u>FY 2000</u>	<u>Target</u>	<u>Actual</u>
1 st Q	0	0
2 nd Q	0	1
3 rd Q	-21	1*
4 th Q	31	1*

See 1.A.1-3.1-6*

- * **I.A.1-3.1-4** OIP will coordinate development of a wide, but carefully selected, range of NRC safety and safeguards assistance to the FSU and CEE countries, Pacific Rim nations, South Africa, Latin America, India, and others such as North Korea, as appropriate, to develop and strengthen independent nuclear regulatory authorities through training, information exchange, cooperative efforts, and provision of equipment. OIP will seek sources of funding to support proposed NRC nuclear safety-related assistance efforts for countries of the Pacific Rim, Latin America, India, and South Africa.

Activities/Schedule: Host 12 visits and assignments of regulatory personnel from developing countries per year.

Participate in at least 6 bilateral nuclear safety activities per year.

Participate in at least 4 nuclear safety activities sponsored by multilateral organizations per year.

Attend at least 6 international meetings representing NRC.

Visit at least 6 countries to conduct bilateral nuclear safety discussions on issues of mutual interest.

OIP will work to develop regulatory cooperative arrangements with countries where such arrangements are not already in place.

OIP will pursue funding for these assistance activities from the Agency for International Development (AID), the Department of Energy (DOE), the Department of Defense (DOD), and other potential sources.

- * **I.A.1-3.1-4(a)** OIP will closely monitor the nuclear-related programs and activities world-wide (including safety and non-proliferation/safeguards related issues), and will report regularly to NRC management on developments of relevance to NRC's goals and interests and recommend policies concerning bilateral cooperation.

- * **I.A.1-3.1-4(b)** NRC will also participate in multilateral and bilateral efforts to strengthen nuclear safety and safeguards in ~~the following countries~~ **other nations**, including providing assistance to strengthen their regulatory organizations, as appropriate.

Activities/Schedule:

OIP will consult with Commission offices and the EDO on evolving policy issues, including the relationship of the assistance program to Commission policy on international programs.

OIP will plan and execute periodic program review meetings with foreign regulatory officials.

OIP will plan and execute periodic coordination meetings with other assistance providers.

At least annually, or as needed, OIP will update OIP's briefing paper for these countries, identifying issues, problems, and opportunities for NRC cooperation, including points for use by policy makers.

- * **I.A.1-3.1-4(c)** OIP will participate in the AIT-TECRO Joint Meeting on Atomic Energy Matters in October 1999. Chair Safety Session at the meeting and represent NRC interests effectively with regard to the matrix of items in the NRC/Taiwan AEC Cooperation program.

<u>FY 2000</u>	<u>Target</u>	<u>Actual</u>
1 st Q	AIT-TECRO Joint Meeting	Completed (10/99)

Status: The AIT-TECRO Joint Meeting was held in October 19-21, 1999 in Taipei, Taiwan. The next meeting is planned for 1st Q, FY 2001.

- * **I.A.1-3.1-4(d)** OIP will prepare for and represent NRC at the annual meeting of the U.S.-Republic of Korea (ROK) Joint Standing Committee on Nuclear Energy Cooperation (JSCNEC).

<u>FY 2000</u>	<u>Target</u>	<u>Actual</u>
3 rd Q	JSCNEC	Completed

Note: Items I.A.1-3.1-4 a. to d. are reported under I.A.1-2.1(b) and will be consolidated into and reported under I.A.1-2.1(b) in the FY 2001 Operating Plan.

I.A.1-3.1-5 Support Office Milestones:

I.A.1-3.1-5(a) OGC provides legal advice, assistance and representation related to the negotiation and renewal of bilateral regulatory exchange arrangements.

I.A.1-3.1-5(b) NRR will participate in international technical exchanges and bilateral/multilateral activities with other nations with regard to safety issues, including meetings of senior regulators. NRR estimates twelve activities (report reviews, technical meetings, information exchange) internationally per year.

<u>FY 2000</u>	<u>Target</u>	<u>Actual</u>
1 st Q	3	3
2 nd Q	6	6
3 rd Q	9	10
4 th Q	12	13

I.A.1-3.1-5(c) During FY 2000, NMSS will continue to participate as a member of the U.S. interagency physical protection review team that evaluates the implementation of nuclear materials control and protection in countries processing or receiving nuclear exports from the U.S.

Milestones: Perform three foreign physical protection information exchange visits in FY 2000 (slightly less than one per quarter). See I.A.1-3.1.3(b) -6

I.A.1-3.1-5(d) OHR will continue to provide technical training assistance for foreign regulators. Foreign students will continue to attend technical training courses on a space-available basis in accordance with bilateral agreements. OHR will participate in select courses and conferences sponsored by international organizations (such as the IAEA and the NEA).

Schedule/Activities: OHR will provide slots for foreign nuclear regulatory staff to attend NRC courses in accordance with bilateral agreements on a space-available basis.

OHR will participate in courses and conferences sponsored by international organizations (such as the IAEA and the NEA) as subject matter experts.

I.A.1-3.1-6 Output Measures:

INTERNAL OUTPUT MEASURES

Measure: Participate in bilateral exchanges of safeguards information with other nuclear supplier States and States receiving or possessing U.S.-origin nuclear materials.

FY 00/2001 Target: Participate in safeguards bilateral exchange meetings, as arranged and resources permit, with Japan, France, Germany, UK, and EURATOM.

Measure: Provide on-the-job training for assignees from other countries.

FY00/2001 Target: Provide for training for 10 foreign assignees.

Measure: Negotiation/renewal of bilateral exchange arrangements between NRC and appropriate foreign counterparts to ensure that an effective framework for NRC's international exchanges is in place.

FY 00/2001 Target: Negotiate/renew 5 arrangements

Measure: Perform technical information exchange visits on physical protection procedures and practices in foreign countries possessing or receiving U.S.-origin nuclear material or equipment.

FY 00/2001 Targets: Perform three visits to maintain the schedule for visiting such countries on a maximum five year interval.

<u>FY 2000</u>	<u>Target</u>	<u>Actual</u>
1 st Q	0	0
2 nd Q	0	1
3 rd Q	2 1*	1
4 th Q	3 1*	1

*Visit to Spain/Portugal scheduled for 3rd Quarter has been rescheduled to FY 2001 at the request of the host country.

*Visit to Thailand/Philippines scheduled for 4th Quarter cancelled by DOE.

I.A.1-4 Planned Accomplishments: Negotiate/renew bilateral exchange arrangements between NRC and appropriate foreign counterparts to ensure that an effective framework for NRC's international exchanges is in place. OIP will review the effectiveness of existing arrangements and recommend sunsetting as needed.

Schedule/Activities: Sign 5 new or renewed exchange arrangements in FY2000.

<u>FY 2000</u>	<u>Target</u>	<u>Actual</u>
1st Q	Sign 5 New	1
2nd Q	or Renewed	2
3rd Q	Exchange	2
4th Q	Arrangements	8

Status: Signed renewal with Kazakstan in 1st Quarter. The NRC staff negotiated with the Romanian National Commission for Nuclear Activities Control a technical information exchange arrangement which was approved by the Commission (SECY-98-272; SRM approved 12/98); we are awaiting final Romanian approval. Signing of renewal arrangement delayed with South Africa, awaiting appointment of new SA Executive Officer

Signed renewal Arrangement with the National Nuclear Regulator of South Africa, March, 2000.
 Signed new Arrangement with the regulatory authority of Romania, and renewals with the Czech Republic, Republic of Korea, Lithuania, Slovak Republic and Spain in September 2000.

I.A.1-4.1 Output Measures:

EXTERNAL OUTPUT MEASURES

OUTPUT	FY 1999 ACTUAL	FY 2000 TARGET	FY 2001 TARGET
Negotiate/renew bilateral exchange arrangements between NRC and appropriate foreign counterparts to ensure that an effective framework for NRC's international exchanges is in place.	Negotiated/renewed 4 arrangements	Negotiate/renew 5 arrangements	Negotiate/renew 5 arrangements

I.A.1-5 Planned Accomplishments: In response to events such as the Chornobyl disaster, nuclear weapons proliferation concerns with Iran, Iraq, North Korea, and international consensus that global nuclear safety be given the highest possible priority, since the early 1990s extraordinary efforts have been

undertaken to develop, strengthen, and adopt internationally recognized nuclear safety and safeguards-related standards. The International Atomic Energy Agency (IAEA) has been at the forefront, with the U.S. Government strongly and actively in support, in the development of (1) conventions (on notification of nuclear accidents; provision of assistance to mitigate consequences of accidents; nuclear safety; waste management; and liability); (2) consensus Nuclear Safety Standards; (3) the Incident Reporting System and the International Nuclear Event Scale; and (4) strengthening the international nuclear safeguards regime. All of these activities have and will continue to have a direct impact on the manner in which NRC exercises its domestic public health and safety and national security mission. NRC, as part of the U.S. Government, is expected to exercise its regulatory and safety oversight responsibilities in accordance with domestic laws and regulations, as well as international treaties and commitments. It is essential that NRC maintain an active involvement in ongoing and planned IAEA activities in these areas, which will have to be implemented in the U.S. by NRC and other U.S. agencies.

In support of this national mission, OIP will facilitate NRC participation in activities to enhance domestic and global nuclear safety through multilateral organizations such as the IAEA and OECD/NEA, in keeping with NRC's public health and safety and national security mandates. Likewise, OIP will support the U.S. Mission to the United Nations Systems Organizations in Vienna, Austria in carrying out nuclear safety and safeguards exchange activities involving the IAEA.

I.A.1-5.1 Milestones:

I.A.1-5.1-1 OIP will represent NRC at periodic meetings of the NEA Steering Committee. Coordinate preparation of materials (including instruction cable) for Steering Committee meetings with other U.S. agencies (primarily DOE and DOS); participate, as appropriate, in Steering Committee meetings; and report on relevant Steering Committee developments affecting NRC programs and priorities.

FY 2000
3rd Q

Target
Attend NEA Steering Committee meeting

Actual
Completed

I.A.1-5.1-2 OIP will also plan and coordinate NRC's participation, normally at the Chairman level, in the annual General Conference of the IAEA.

<u>FY 2000</u> 4 th Q	<u>Target</u> Plan and implement NRC participation in IAEA General Conference	<u>Actual</u> Completed
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I.A.1-5.1-3 To enhance and strengthen policy and technical information exchanges potentially beneficial to NRC’s mission and in line with U.S. Government nuclear safety and security priorities, OIP will support the U.S. Mission to the United Nations System Organizations in Vienna in carrying out nuclear safety and safeguards exchange activities involving the IAEA, as listed below:

I.A.1-5.1-3(a) IAEA Policy Organs: OIP will provide NRC views to other agencies on policy issues, papers and U.S. statements on IAEA activities of NRC interest, including instruction cables for U.S. delegations to meetings of IAEA policy organs, planning documents for IAEA budget process and U.S. voluntary contributions.

<u>FY 2000</u> 1 st Q	<u>Target</u> Participate in December Technical Assistance and Cooperation Committee and December Board of Governors meetings	<u>Actual</u> Completed
2 nd Q	Participate in March Board of Governors meeting	Completed
3 rd Q	Participate in May Program and Budget Committee and June Board	Completed
4 th Q	Participate in September Board of Governors meeting and annual IAEA General Conference	Completed

Status: In addition to participating in the ~~December, March and June~~ Technical Assistance and Cooperation ~~Committee and December~~ Board of Governors meetings, OIP continued to provide NRC views to other agencies on policy and technical issues, as well as those related to budget and program planning. NRC/OIP drafts all nuclear safety-related papers for all meetings of the IAEA Board of Governors and General Conference meetings.

I.A.1-5.1-3(b) Operational Safety and Review Team Visit (OSART): Regular consultation and assistance with IAEA and Virginia Power Company for conducting a pre-OSART mission at the North Anna Nuclear Power Plant in FY 99.

<u>FY 2000</u>	<u>Target</u>	<u>Actual</u>
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1 st Q	4 interactions with IAEA	Completed
2 nd Q	Host OSART mission	Completed
4 th Q	Schedule follow-up OSART visit	*

Status: NRC/OIP conducted regular contacts with the appropriate IAEA contacts concerning the OSART mission to North Anna nuclear power plant in the U.S. * Actual date of visit still under discussion with IAEA and Virginia Power Company.

I.A.1-5.1-3(c) IAEA Steering Committee: Convene and chair Nuclear Safety Subcommittee meetings as subsidiary body of Interagency IAEA Steering Committee. NRC also provides input to decisions related to allocation and expenditure of the U.S. voluntary contribution.

<u>FY 2000</u>	<u>Target</u>	<u>Actual</u>
1 st Q	1	1
2 nd Q	2	2
3 rd Q	3	3
4 th Q	4	4

Status: The IAEA Steering Committee's Nuclear Safety Subcommittee meets on a monthly basis to discuss nuclear safety-related issues at the IAEA. Chaired by NRC/OIP, it includes participants from DOS, DOE, EPA, and ACDA. Issues discussed include IAEA budget, programs, urgent needs, expenditure of the nuclear safety component of the U.S. voluntary contribution. Through this mechanism NRC provides principal guidance to the interagency IAEA-related community.

I.A.1-5.1-3(d) Cooperation with Vienna Mission Nuclear Safety Attache: Nuclear Safety Attache to attend 5 significant IAEA meetings per quarter to provide NRC and U.S. Government technical input, saving NRC cost of international travel by individual program staff. OIP will review activity reports by Safety Attache and circulate to relevant program offices, and will provide Safety Attache guidance as needed on relevant issues. OIP will arrange annual visit of Safety Attache to NRC headquarters and other relevant Washington agencies for consultations on issues of interest to the Commission. OIP will respond to ad hoc requests for assistance from Safety Attache.

<u>FY 2000</u>	<u>Target</u>	<u>Actual</u>
1 st Q	5 nuclear safety-significant IAEA meetings	5
2 nd Q	10 nuclear safety-significant IAEA meetings	10
	Arrange Safety Attache annual visit to HQ's	

3 rd Q	15 nuclear safety-significant IAEA meetings;	15
4 th Q	20 nuclear safety-significant IAEA meetings	20

Status: U.S. Nuclear Safety Attache attended several key technical meetings held during the first, second and third quarters. This includes the final Advisory Committee meeting of the Extrabudgetary Program for VVERs and RBMKs, and two meetings on the issue of RBMK pipe cracking.

I.A.1-5.1-3(e) IAEA Topical Meetings, Symposia and Conferences: Assist in identifying NRC representatives to topical meetings, symposia and conferences conducted under the auspices of the IAEA in areas of interest to the Commission. Ongoing.

Status: OIP played a key role in identifying NRR, NMSS and RES staff to participate in key technical meetings. This includes a meeting to discuss clearance and exemption issues, the safety of fuel cycle facilities and categorization of sources.

I.A.1-5.1-3(f) NRC Assignees at the IAEA: Assist in recruiting appropriate NRC candidates for professional assignments at the IAEA.

<u>FY 2000</u>	<u>Target</u>	<u>Actual</u>
1 st Q	1 assignee	1
2 nd Q	2 assignees	2
4 th Q	3 assignees	3

Status: OIP actively recruited NRC staff to apply for key IAEA positions in the Departments of Nuclear Safety and Nuclear Energy, and one was placed during the first quarter.

I.A.1-5.1-3(g) NRC Review of IAEA Technical Documents: Provide coordination for dissemination of IAEA draft documents for NRC review and comment.

<u>FY 2000</u>	<u>Target</u>	<u>Actual</u>
2 nd Q	Participate in annual Technical Assistance and Cooperation Committee meeting (Meeting occurred 1 st Qtr.)	Completed
3rd Q	Assist in developing materials and participate in IAEA Program and Budget Committee Meeting* Participate in Board of Governors Meeting*	

*These meetings are duplicates of meetings listed in 1.A.1-5.1-3(a)

Status: When received, OIP provides draft safety series documents to the EDO for distribution to program offices for comment, and conveys staff comments to the responsible IAEA office. In the first second and third quarters, OIP requested technical staff comments on four nine IAEA Safety series documents as part of the IAEA effort to revise all Safety Standard documents. OIP coordinated NRC technical staff input to meeting reports and summaries, including Advisory Commission on Safety Standard (ACSS) documents.

I.A.1-5.1-3(h) IRO will continue to participate in the international exchange of operating experience. In accordance with Commission policies, IRO will prepare INES reports for all U.S. events at the alert level or above.

<u>FY 00</u>	<u>Target:</u>	<u>Actual</u>
1 st Q	As necessary	1
2 nd Q	As necessary	2
3 rd Q	As necessary	2
4 th Q	As necessary	2

Participation in Extrabudgetary Program on the Safety of Nuclear Installations in Southeast Asia. Pacific and Far East Countries: Attend Advisory Group Meetings, participate in Missions to countries under the program, provide consultation to IAEA on aspects of program.

<u>FY 2000</u>	<u>Target</u>	<u>Actual</u>
1 st Q	Attend Advisory Group meeting	Completed
2 nd Q	Provide views on program activities	Completed
3 rd Q	Conduct PSA Application Workshop in Beijing (Postponed to 4 th Qtr.)	Rescheduled to 1 st Qtr FY 2001
4 th Q	Preparation for attendance in annual Advisory Committee	Completed

Meeting

Preparation for November 1999 Symposium on Restoration of Environments with Radioactive Residues: Provide support to EPA, as primary point of contact, in preparation for IAEA Symposium co-sponsored by NRC, DOE and EPA.

<u>FY 2000</u>	<u>Target</u>	<u>Actual</u>
1 st Q	Co-host meeting with EPA and DOE	Complete

I.A.1-5.1-4 Support Office Milestones:

I.A.1-5.1-4(a) NRR will obtain safety and regulatory information useful to its mission. NRR will support NRC interests at specialists meetings of the International Atomic Energy Agency and other international bodies each year. NRR estimates ten activities (report reviews, technical support, technical meetings, information exchange) internationally per year.

<u>FY 2000</u>	<u>Target</u>	<u>Actual</u>
1 st Q	2	2
2 nd Q	4	5
3 rd Q	6	8
4 th Q	8	10

I.A.1-5.1-4(b) NMSS will continue to participate in IAEA-sponsored international safeguards activities extending the application of international safeguards and nonproliferation activities; participate in U.S. interagency coordinated activities supporting the strengthening of international safeguards; promote and facilitate cooperation with IAEA inspection activities at U.S. nuclear facilities; exchange technical information on physical protection procedures and practices with other countries; and exchange technical information on the implementation of international safeguards with other countries.

Activities/Schedules:

Support Strengthening IAEA Safeguards Program:

<u>FY 2000</u>	<u>Target</u>	<u>Actual</u>
2nd Q TBD* -	Conduct rulemaking for revision of Parts 75, 110 and 150;	

4 th Q	TBD**-	rulemaking plan to EDO
4 th Q	TBD**	Develop procedures for implementing reporting requirements
4 th Q	TBD**	Develop guidance for implementing site access requirements (following ratification of Additional Protocol)
4 th Q	TBD**-	Implement expanded reporting requirements (following ratification of Additional Protocol)

* On hold pending request from Department of State for NRC to collect additional information.

** Department of State has lead responsibility for coordinating U. S. Federal agencies in preparations for the submittal of the Additional Protocol package to Congress and ratification by the Executive Department. The baseline dates for submittal to the Senate for advice and consent and for ratification by the President are currently undetermined. Completion of the texts by the other agencies is delayed by the same issues associated with determining the submittal date.

Ongoing

NMSS will support the implementation of the U.S./Russian High Enriched Uranium Transparency Agreement

Participate in Subcommittee on International Safeguards and Monitoring (SISM), a subsidiary body of IAEA Steering Committee (monthly meetings)

Convene and chair Subgroup on IAEA Safeguards in the U.S. meetings, a subsidiary body to SISM (monthly meetings)

Participate in Subgroup on Safeguards Technical Support, a subsidiary body to SISM (monthly meetings)

Provide U.S. Technical Representative to the IAEA DG's Standing Advisory Group on Safeguards Implementation (SAGSI)

<u>FY 00</u>	<u>Target</u>	<u>Status</u>
1st Q	2	2
2nd Q	2	2
3rd Q	4	3-4
4 th Q	4	4

INTERNAL OUTPUT MEASURES

Measure: Support the U.S. Mission to U.N. Systems Organizations in Vienna, Austria in carrying out exchange activities involving the IAEA.

FY 00/2001 Targets: Maintain nuclear safety attache position.

Milestone: Ongoing

Measure: Plan and conduct technical information exchanges on safety analysis and regulatory development, with priority on exchanges with countries having experience and safety information potentially beneficial to NRC’s mission (including participation in the NEA’s Committee on Nuclear Regulatory Activities (CNRA) and of IAEA’s Department of Nuclear Safety).

FY 00/2001 Target: Ensure that a significant number of NRR’s bilateral technical exchanges provide information beneficial to the NRC mission. Schedule at least one technical exchange meeting with the regulatory authorities of France, Japan, UK, Sweden, Finland and Spain. Participate in two meetings of the NEA’s CNRA and two IAEA exchange meetings.

<u>FY 00</u>	<u>Target</u>	<u>Actual</u>
1 st Q	2	2
2 nd Q	4	4
3 rd Q	6	8
4 th Q	8	8

Measure: Coordinate IAEA safeguards inspections of downblending of the high enriched uranium included in Phase II of Project Sapphire processing.

FY 00/2001 Target: Participate in IAEA inspections of Phase II downblending activities and facilitate resolution of identified problems. IAEA inspections are scheduled for January, March, April, May, and June.

FY 00/2001 Target: Coordinate negotiation of IAEA verification approach and coordinate IAEA verification inspections of downblending of DOE-excess HEU at BWR technologies. Negotiate in 3rd Q. Inspections TBD.

Measure: Assist the Executive Branch with implementation of the IAEA Strengthened Safeguards System in the U.S. as it pertains to NRC-licensed facilities.

FY 00/2001 Target: Implement new NRC responsibilities as reflected in the Additional Protocol to the US/IAEA Safeguards Agreement pending final US/IAEA negotiations. (Schedules set by IAEA.)

Measure: NRR will prepare and submit reports of U.S. operational experience to the IAEA/NEA Incident Reporting System (IRS). NRR will analyze reports submitted to the IRS by other nations to extract safety lessons applicable to domestic nuclear power plants.

<u>FY 00</u>	<u>Target:</u>	<u>Actual</u>
1 st Q	Submit 8 reports	7
2 nd Q	Submit 16 reports	14
3 rd Q	Submit 24 reports	17
4 th Q	Submit 32 reports	23*

*Industry performance continues to improve so the number of reportable events has decreased. The reduction of the actual IRS reports is a reflection of this improved industry performance.

SUBCHAPTER II: SIGNIFICANT INFORMATION TECHNOLOGY INITIATIVES

This Operating Plan does not include STARFIRE or ADAMS projects, or other Capital Planning and Investment Control Projects, and does not include any of the “mission critical” or “business critical” systems listed in Enclosure 2 of the February 18, 1998 Operating Plan Update Guidance. IT improvements and initiatives to improve efficiency and expedite licensing reviews will be made within the normal NRC IT infrastructure.

SUBCHAPTER III: PROGRAM ASSUMPTIONS

The NRC will continue through at least FY 2001 its current efforts in support of Vice President’s initiatives to assist Russia in nuclear safety and security areas through the Joint Russian-American Commission for Economic and Technological Cooperation and to assist South Africa in nuclear safety through the Gore-Mbeki Binational Commission.

NRC resources will be required to implement several major elements of the Convention on Nuclear Safety and to support implementation of the Joint Convention on the Safety of Spent Fuel Management and the Safety of Radioactive Waste Management.

Requests by Western Allies and international organizations to cooperate with NRC in the exchange of nuclear regulatory information and to coordinate approaches on international nuclear safety issues will continue at about the current level of effort through at least FY 2000.

Through In FY 2000, NRC will continue to receive significant requests to support activities related to enhancing nuclear safety and safeguards regulation in the former Soviet Union (FSU) and Central and Eastern Europe (CEE).

Increased energy needs and the attendant planned increases in nuclear power production abroad are expected to lead to increased requests for expansion of NRC assistance to foreign regulatory bodies, particularly China and other countries of the Pacific Rim/Asia, through at least FY 2000.

US Government interest in strengthening the International Atomic Energy Agency (IAEA) safeguards program will continue to result in requests from the Executive Branch for NRC support for this effort, at least through FY 2000.

SUBCHAPTER IV: SCENARIO PLANNING

Scenario 2	None.		
Scenario 3	OIP	Rank 56	Few exchange efforts and less support to FSU countries.
	NRR	Rank 61	Reduce international activities.
	NMSS	Rank 62	Eliminate international activities.

SUBCHAPTER V: Self Assessments/Evaluations

None specifically performed. SUBCHAPTER VI applies here.

SUBCHAPTER VI: MANAGEMENT CONTROLS

OIP management remains committed to NRC’s policy as iterated in Management Controls Directive 4.4. To this end, management is vigilant in critical areas such as travel and the use of Official Representation Funds (ORF) to ensure cost-effective use of resources that are consistent with the agency’s mission. Quarterly reports are prepared on ORF use. In 1998, an ORF audit by the OIG produced no negative comments or recommendations. ~~The office continues to support GAO’s recent and on-going reviews in the following areas: International Nuclear Regulators Association, Safety Assistance to the countries of the former Soviet Union and Central and Eastern Europe, and the Nuclear Safety Convention.~~

**FY2000 - 2001 OPERATING PLAN
IMPORT/EXPORT LICENSING REVIEWS**

January 8, 2002

Manager/Office: ~~Ronald D. Hauber~~ Marvin Peterson, OIP

Support Offices: NMSS, OGC, NRR

Description: Under the Atomic Energy Act of 1954, as amended, the NRC is responsible for licensing the export and import of nuclear materials and equipment to ensure these items are used for peaceful purposes. In this role, the NRC facilitates exports which meet U.S. legal and policy requirements, thereby helping to assure the reliability of the United States as a supplier of nuclear materials and equipment under the Nuclear Non-Proliferation Treaty. NRC's licensing authority extends to nuclear reactors and other fuel cycle facilities and equipment, to source and special nuclear materials, to byproduct materials, and to certain other commodities, including heavy water, nuclear grade graphite and radioactive waste. The NRC obtains the views and recommendations of other governmental agencies and departments in its pre-licensing reviews, and, in turn, provides its views and recommendations to the Departments of State, Energy and Commerce on nuclear-related export authorizations under Executive Branch jurisdiction.

Table 1²

Resources:	FY 2000	(Cum.) Q1FY00	(Cum.) Q1FY00	(Cum.) Q2 FY00	(Cum.) Q2FY00	(Cum.) Q3FY00	(Cum.) Q3FY00	(Cum.) Q4FY00	(Cum.) Q4FY00
	Budget FTE/K\$	Planned FTE/K\$	Expended FTE/K\$	Planned FTE/K\$	Expended FTE/K\$	Planned FTE/K\$	Expended FTE/K\$	Planned FTE/K\$	Expended FTE/K\$
Office									
OIP	2.5/02.0/0	0.5/00.5/0	0.6/00.4/0	1.3/01.0/0	0.6/0	1.9/01.5/0	0.8/0	2.5/0 2.0/0	2.0/0
NMSS	2.5/02.0/0	0.6/00.5/0	0.6/00.4/0	1.3/01.0/0	0.6/0	1.9/01.5/0	0.8/0	2.5/0 2.0/0	1.0/0

Subchapter I: Program Commitments

I.A Planned Accomplishments: Import/Export Licensing Reviews

I.A.1 Milestones

I.A.1-1 Take action on about 75-100 import and export license applications per year.

Activities

²Offices with less than 1 FTE budgeted for this program are not included in the Table.

FY 2000-2001 OPERATING PLAN
IMPORT/EXPORT LICENSING REVIEWS

January 8, 2002

Review applications against statutory and policy criteria; obtain Executive Branch recommendations; obtain recipient Foreign Government assurances; notify the public and interested parties, and consider their views; make necessary recommendations to the Commission; issue or deny the requested licenses or return the applications without action.

Provide guidance to U.S. and foreign shippers and government licensing and customs officials on NRC import/export licensing regulations and the scope of NRC's licensing jurisdiction vis-a-vis Executive Branch authorizing agencies.

Administer fee-collection regulations.

Amend regulations (10 CFR Part 110) in response to statutory and policy changes and to clarify public understanding.

- I.A.1-2** Recommend and coordinate NRC responses to about 6 requests per year from the Executive Branch agencies (Departments of State and Energy) for Commission views on international transfers of nuclear technology under 10 CFR 810, re-transfers of U.S.-obligated nuclear material and equipment abroad and other subsequent arrangements under Section 131 of the AEA, proposed U.S. Peaceful Nuclear Cooperation Agreements with other countries under Section 123 of the AEA, and proposed changes in U.S. or multilateral export control requirements.

Activities

Prepare Commission decision papers, provide or arrange briefings and carry-out Commission decisions.

Represent NRC in about 20 meetings of the Sub-group on Nuclear Export Coordination, an interagency group chaired by the Department of State.

Represent NRC in meetings of multilateral export control groups, i.e., the Nuclear Suppliers Group and the Zangger Committee, and in U.S. interagency preparatory working groups.

- I.A.1-3** Provide the Commission, Executive Director for Operations (EDO), and other NRC staff with information and policy recommendations on the most significant international safety and security issues and developments, including intelligence information related to nuclear safety, nuclear exports, nonproliferation, and international security.

**FY 2000-2001 OPERATING PLAN
IMPORT/EXPORT LICENSING REVIEWS**

January 8, 2002

I.A.1-4. Preparation of a draft Environmental Information Report.

<u>Schedule</u>	<u>Target</u>	<u>Actual</u>
Statement of Purpose Completed	2 nd Q	3 rd Q
Detailed Outline Completed	3 rd Q	3 rd Q
Draft Report Out for Staff Review	3rd Q 4 th Q	-
Draft Report to the Commission	3rd Q 4 th Q	-
Follow-up Actions Completed	4 th Q	-

I.A.2 Support Office Milestones

I.A.2-1 NMSS will maintain a database containing evaluations of the implementation of international safeguards and physical security in foreign states and will complete the review and evaluation of international safeguards, physical security, and radioactive waste aspects of import-export license applications, proposed changes to export control regulations, and proposed Executive Branch subsequent arrangements, technology transfers, Agreements for Cooperation and nuclear dual-use and balance-of-plant equipment export authorizations.

Activities

Monitor IAEA and foreign nuclear program information, attend interagency safeguards and fuel cycle meetings, and participate in bilateral exchange activities with foreign governments; develop and maintain files to facilitate staff reviews and provide technical and policy comments on export issues.

Schedule

Complete the review and evaluation of approximately 110 OIP referrals.

	FY 1999	FY 2000	FY 2000
	<u>Actuals</u>	<u>Target</u>	<u>Actual</u>
1 st Q	23	27	51
2 nd Q	54	55	64
3 rd Q	106	82	82
4 th Q	123	110	114

**FY 2000-2001 OPERATING PLAN
IMPORT/EXPORT LICENSING REVIEWS**

January 8, 2002

I.A.2-2 NMSS will coordinate and transmit official responses to ~100 inquiries on proposed nuclear material shipments to the U.S. each year pursuant to the U.S. Agreements for Cooperation with foreign states.

Schedule

	FY 1999 Actuals	FY 2000 Target	FY 2000 Actual
1 st Q	22	25	58
2 nd Q	68	50	125
3 rd Q	72	75	168
4 th Q	95	100	247

Status: Actual completions substantially exceeded target completions due to an unusually large number of requests received from EURATOM for the return of seals and confirmations to ensure that U. S. facilities receiving EURATOM material were authorized to receive such material and did not exceed authorized possession limits.

I.A.2-3 OGC will provide legal advice to OIP on export and import license applications, Part 810 technology transfer requests, Section 131 Subsequent Arrangements, and Section 123 Agreements for Cooperation; draft or review proposed rules modifying 10 CFR 110; and provide legal advice and counsel to the Commission and the staff, including drafting of proposed decisions on import/export application intervention petitions, and prepare any final decisions on such applications, as well as represent the staff and Commission in any related administrative and judicial proceedings.

I.A.3 Output Measures

EXTERNAL OUTPUT MEASURES			
Output	FY 1999 Actual	FY 2000 Target	FY 2001 Target
NRC Licensing Actions	103	75-100	75-100
Timely Staff Reviews of EBProposals	23	6	6

Quarterly Targets/Schedule

***FY 2000-2001 OPERATING PLAN
IMPORT/EXPORT LICENSING REVIEWS***

January 8, 2002

NRC Licensing Actions

FY2000-2001 Targets: Complete 75-100 Cases

	<u>FY1999 Actual</u>	<u>FY 2000Target</u>	<u>FY 2000 Actual</u>
1 st Q	17	19-25	47
2 nd Q	50	37-50	89
3 rd Q	77	56-75	119
4 th Q	103	75-100	156*

Status: Actual completions substantially exceeded target completions due to an unusually large number of amendments received attributable to industry administrative organizational changes.

Metrics: Effectiveness: Commission action is definitive in 99% of the cases -- no Presidential override or successful administrative, legislative or judicial appeal; All NRC authorized shipments clear U.S. Customs.

Efficiency: 90% of the cases are completed, on average, with less than 30 hours of direct NRC staff effort.

Quality: Fewer than 5% of completed cases raise questions, from licensees, U.S. or foreign government agencies, public interest groups, nuclear industry groups, the Commission or the Congress, concerning the quality of the staff's technical, policy or legal reviews, the staff's processing of the application, or the fairness of the final NRC decision.

Quantity: New licensing caseload is externally driven. All cases are processed and reviewed.

Timeliness: Staff reviews are completed in less than 60 days.

Timely Staff Reviews of Executive Branch Proposals

**FY 2000-2001 OPERATING PLAN
IMPORT/EXPORT LICENSING REVIEWS**

January 8, 2002

FY 2000/2001 Targets: Complete 100% of reviews within 60 days.

	<u>FY 2000 Target</u>	<u>FY 2000 Actual</u>
1 st Q	2/0	2/0
2 nd Q	5/0	4 08/0
3 rd Q	6/0	7 012/0
4 th Q	6/0	15/0*

*NRC reviews are driven by the Executive Branch based on their cases.

* China proposals on hold by State Dept.; other proposals expected to decrease in FY 2000.

Metrics: Effectiveness: 90% of the staff's comments/recommendations are incorporated, as is, in the Commission's formal response to the Executive Branch; 90% of the Commission's recommendations to the Executive Branch are accepted/used by the Executive Branch.

Efficiency: Most reviews are completed and conveyed to the Commission in a SECY decision paper with only 6-7 concurrences: the OIP drafter, the OIP direct supervisor, the NMSS technical branch chief, the OGC attorney, OEDO (1or2), and the OIP Director/signer.

Quality: < 10% of SRM's raise quality-of-analysis or quality-of-review issues.

Quantity: New licensing caseload is externally driven. All cases are processed and reviewed.

Timeliness: Staff reviews are completed in less than 60 days.

I.A.4 STATUS

~~4th Q: 3rd Q: Another~~ A continuing surge of recent applications, several many of which involved amendments of licenses due to corporate ownership changes, raised the casework numbers past the high end of the projected range. The effort on an Environmental Information Report for the Export Licensing program has ~~not~~ now been restructured to make a qualitative OIP-OGC analysis, with technical appendices. A full draft is expected to be completed by OIP in the ~~2nd 4th~~ 1st quarter of FY 2000 ~~2000~~ 2001.

OFFICE OF INTERNATIONAL PROGRAMS (OIP)
FY 2000 - 2001 OPERATING PLAN
OFFICE MANAGEMENT/ORGANIZATION ACTIVITIES

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SUBCHAPTER II: SIGNIFICANT INFORMATION TECHNOLOGY INITIATIVES

This plan does not include any STARFIRE or ADAMS projects, or other Capital Planning and Investment Control Projects, and does not include any of the mission critical or business critical systems listed in Enclosure 2 of the Feb. 18, 1998 Operating Plan Update Guidance. IT enhancements and initiatives to improve efficiency and expedite effective licensing reviews will be made within the existing NRC IT infrastructure.

SUBCHAPTER III: PROGRAM ASSUMPTIONS

NRC will receive about ~~75~~ 85 to 100 specific import/export license applications per year through the year 2001.

SUBCHAPTER IV: SCENARIO PLANNING

N/A

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CHAPTER B -- OFFICE MANAGEMENT/ORGANIZATION ACTIVITIES

A. HUMAN RESOURCES

OFFICE:	IP
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FTE Utilization Target

FY 2000 FTE CEILING	FY 2000 EOY PROJECTION	FY 2001 FTE CEILING
25	21	25

1st Quarter Accomplishments:

OIP remains under its FY 2000 FTE utilization target of 25 due to retirements and attrition. OIP filled one GG-14 Senior Program Assistant vacancy, and one GG-10 Administrative Secretary vacancy and selected a Deputy Director (SES-level position) in the 1st quarter. OIP initiated action to recruit one GG-15 Sr. Policy Analyst, one GG-14 Licensing Officer and one GG-11 Licensing Assistant. OIP completed negotiations with the office partnership to reorganize and fully use all positions available.

2nd Quarter Accomplishments:

OIP remains under its FY 2000 FTE utilization target due to the loss of 1 employee during the quarter. OIP recruited a Sr. Policy Analyst, GG-15 and a Licensing Assistant, GG-10 in the 2nd quarter.

3rd Quarter Accomplishments:

OIP remains under its FY 2000 FTE utilization target due to the loss of 3 2 employees during the quarter. OIP recruited a GG-8 International Relations Assistant in the 3rd quarter. **OIP initiated recruitment for an entry level GG-9/11 International Relations Specialist.**

4th Quarter Accomplishments:

OIP remains under its FY 2000 FTE utilization target. OIP recruited a GG-10 Administrative Secretary and a GG-14 Licensing Officer in the 4th quarter.

TARGET PERCENTAGE OF GG-14 AND ABOVE POSITIONS

**OFFICE OF INTERNATIONAL PROGRAMS (OIP)
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OFFICE:	FY 2000 TARGET % ¹ of GG-14 +	FY 2000 CURRENT % ² of GG-14 +	# OF GG-14+ Over/Under Target
	%	%	#
IP	65%	1Q 64% 2Q 64% 3Q 68% 4Q 72%	1Q 0 2Q 0 3Q 1 4Q 2

1st Quarter Accomplishments:

OIP is within its target percentage of GG-14 and above positions. OIP requires the addition of one additional GG-14 position to effectively meet mission requirements and to adequately compensate employees for the work performed.

2nd Quarter Accomplishments:

A GG-15 Sr. Policy Analyst was hired during this quarter. A GG-14 position was downgraded to a GG-13 to be advertised at the entry level.

3rd Quarter Accomplishments:

An SES employee was detailed to OIP. OIP initiated recruitment for an entry level (GG-9/11) International Relations Specialist with FPL to the GG-13.

4th Quarter Accomplishments:

An SES employee was reassigned as the NS Attache to OIP and was converted to an SL position. Initiated action to repost the entry level International Relations Specialist vacancy to obtain a broader pool of applicants at the entry level. OIP initiated recruitment for a GG-12 International Programs Officer. A GG-14 Licensing Officer was recruited in the 4th quarter.

SUPERVISOR-TO-EMPLOYEE RATIO TARGET

¹ Target % of GG-14 and above is GG-14 and above positions as a percentage of FTE ceiling.

²Current % of GG-14 and above is the number of actual GG-14 and above staff as a percentage of FTE ceiling.

**OFFICE OF INTERNATIONAL PROGRAMS (OIP)
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OFFICE	FY 2000 Supervisory Ratio Target	Current Supervisory Ratio	# of Supervisors/MGRS Over/Under Target
IP	1:8.5	1Q 1:7.0 2Q 1:7.0 3Q 1:6.7* 4Q 1:11.5	1Q 1 2Q 1 3Q 1 4 Q 0

1st Quarter Accomplishments:

With the selection of the Deputy Director, effective 11/7/99, OIP now has two SES-level supervisors. OIP hired one GG-14 and one GG-10 to fill vacancies left by retiring or departing professional and clerical staff. A staff reorganization was coordinated with the office partnership that has improved supervisory ratios by reducing from 3 to 2 supervisors/managers. OIP expects to recruit one GG-15 Sr. Policy Analyst and one GG-14 Licensing Officer and one GG-11 Licensing Assistant during the 2nd Quarter.

2nd Quarter Accomplishments:

Although OIP hired a Sr. Policy Analyst during the 2nd Quarter, an International Relations Specialist and an International Relations Assistant left the office during this quarter.

3rd Quarter Accomplishments:

An Administrative Secretary left the office during this quarter. An SES employee was detailed to OIP during the 3rd Quarter. Shortly after the end of the quarter, this employee was reassigned to a non-supervisory position.

4th Quarter Accomplishments:

An Administrative Secretary, GG-9 and a Licensing Officer, GG-14 were hired during the 4th quarter.

B. INFORMATION TECHNOLOGY

**OFFICE OF INTERNATIONAL PROGRAMS (OIP)
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N/A

C. EQUAL EMPLOYMENT OPPORTUNITY REQUIREMENTS

Guiding Principles

1. Create a working environment that is free of discrimination, including harassment, and is accessible to individuals with disabilities.

Objectives:

Encourages open communication and discussion with employees related to office EEO initiatives to facilitate understanding and demonstrate support. Actively seeks to promptly resolve issues that could lead to formal EEO complaints. Provides reasonable accommodations to employees with disabilities.

Accomplishments:

Staff meetings and informal liaison with staff allows for airing of issues and facilitates appropriate response to employee concerns in these areas in a timely way. Management maintains an open door policy with staff. The staff includes an active EEO counselor who contributes to open communication in these areas.

2. Ensures that Agency policies, processes, and procedures provide all employees the opportunity to develop, participate, and compete fairly and equitably.

Objectives:

Ensures that all hiring authorities reflect specific affirmative action efforts to include minorities and women in the pool of candidates. Uses broad rating factors to facilitate a more diverse pool of applicants. Provides candid feedback to employees through the performance appraisal process, and ensures fair and equitable participation by minorities and women for awards.

Accomplishments:

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Staff hired in the 1st quarter included a white female, GG-14 and a black female, GG-10. Of the five performance awards given in the 1st quarter, four were given to female employees of which two were minorities.

Staff hired in the 2nd quarter included a white female, GG-15, a black female, GG-10. Three black females received a group award during the rating period ~~2nd quarter~~. An instant cash award was given to a white female, GG-14. As part of the OIP reorganization, one of the 2 team leader positions was filled by a female.

Staff hired in the 3rd quarter included an asian female, GG-8. A GG-15, black female employee received a Meritorious Service Award.

Staff hired in the 4th quarter included a female, GG-9 and a female GG-14. During the 4th quarter, a black female, GG-10 was given an instant cash award.

3. Employ and empower a competent and highly skilled workforce, representative of America's great diversity, which enables the Agency to accomplish its mission. Assures that minorities and women are provided equal opportunity to participate in employee development and career enhancement through rotations, details, reassignments, and formal training. Encourages employees to develop transferrable skills and expanding their areas of expertise through developmental work assignments. Encourages qualified minorities and women to participate in executive leadership programs (e.g., Federal Executive Institute (FEW), Supervisory Development Program, Senior Executive Service Candidate Development Program, Women's Executive Leadership (WEL) Program.

Objectives: Assures that minorities and women are provided equal opportunity to participate in employee development and career enhancement through rotations, details, reassignments, and formal training. Encourages employees to develop transferable skills and expanding their areas of expertise through developmental work assignments. Encourages qualified minorities and women to participate in executive leadership programs (e.g., Federal Executive Institute, Supervisory Development Program, Senior Executive Service Candidate Development Program, and the Women's Executive Leadership Program.)

Accomplishments:

During the 3rd Quarter, an OIP female employee was nominated for a Congressional Fellowship and was approved by the agency. Also in the 3rd Quarter, formal training was approved for a female employee to attend training at the Department of Commerce and another female employee was approved to attend foreign policy courses at a university.

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4. Recognize, appreciate, and value diversity, thereby establishing trust, respect, and concern for the welfare for all employees within the Agency.

Objectives:

Supports the Agency's Managing Diversity (MD) initiative, including support of EEO Advisory Committee activities, attendance at the biannual EEO Commission meetings, and EEO training for managers, supervisors, and employees.

Accomplishments:

All managers have taken the EEO training. The OIP Office Director attends the bi-annual EEO Commission meetings. The Sr. Program Assistant who is responsible for personnel type functions also attends. Management is sensitive to needs of a diverse work force and fosters a cooperative environment for accomplishing the workload. **OIP management is supportive of the EEO counseling activities of an OIP employee. OIP actively supported staff attendance at the Managing Diversity training held during the 4th quarter.**

D. FOREIGN TRAVEL

	<u>FY 2000 Planned Core/Non-Core</u>	<u>FY 2000 Actual Core/Non-Core</u>
Qtr 1	8/1	8/1
Qtr 2	7/2	7/2
Qtr 3	5/2	7/2
Qtr 4	4/1 3	<u>4/3</u>
Total	24/ 6 8	<u>26/8</u>