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**Do not include proprietary materials.**

## DATE OF MEETING

6/19/01

The attached document(s), which was/were handed out in this meeting, is/are to be placed in the public domain as soon as possible. The minutes of the meeting will be issued in the near future. Following are administrative details regarding this meeting:

Docket Number(s)

05000220 &amp; 05000410

Plant/Facility Name

Nine Mile Point Unit 1 &amp; 2

TAC Number(s) (if available)

N/A

Reference Meeting Notice

Meeting Notice # 01-022

Purpose of Meeting  
(copy from meeting notice)

Meeting between NMPC management  
and the NRC staff to discuss the  
end-of-cycle plant performance  
assessment, as documented via letter dated  
May 31, 2001

NAME OF PERSON WHO ISSUED MEETING NOTICE

Michelle Cr. Everts

TITLE

Projects Branch 1, Chief

OFFICE

Region I

DIVISION

Division of Reactor Projects

BRANCH

Branch 1

Distribution of this form and attachments:

Docket File/Central File

PUBLIC

# **ANNUAL ASSESSMENT MEETING**



**Nuclear Regulatory Commission**

# Agenda

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- Introduction
- Review of Reactor Oversight Process
- Discussion of Plant Performance Results
- Licensee Remarks
- NRC Closing Remarks

# NRC Representatives

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- Michele Evans, Chief Reactor Projects Branch 1
  - (mge@nrc.gov (610) 337-5224)
- William Cook, Senior Project Engineer
  - (wac1@nrc.gov (610) 337-5074)
- Paulette Torres, Project Engineer
  - (pat3@nrc.gov (610) 337-5142)
- Gordon Hunegs, Senior Resident Inspector
  - (gkh@nrc.gov (315) 342-4041)
- Ricardo Fernandes, Resident Inspector
  - (raf1@nrc.gov (315) 342-4041)
- Brian Fuller, Resident Inspector
  - (bjf@nrc.gov (315) 342-4041)

# Reactor Oversight Process NRC Web site

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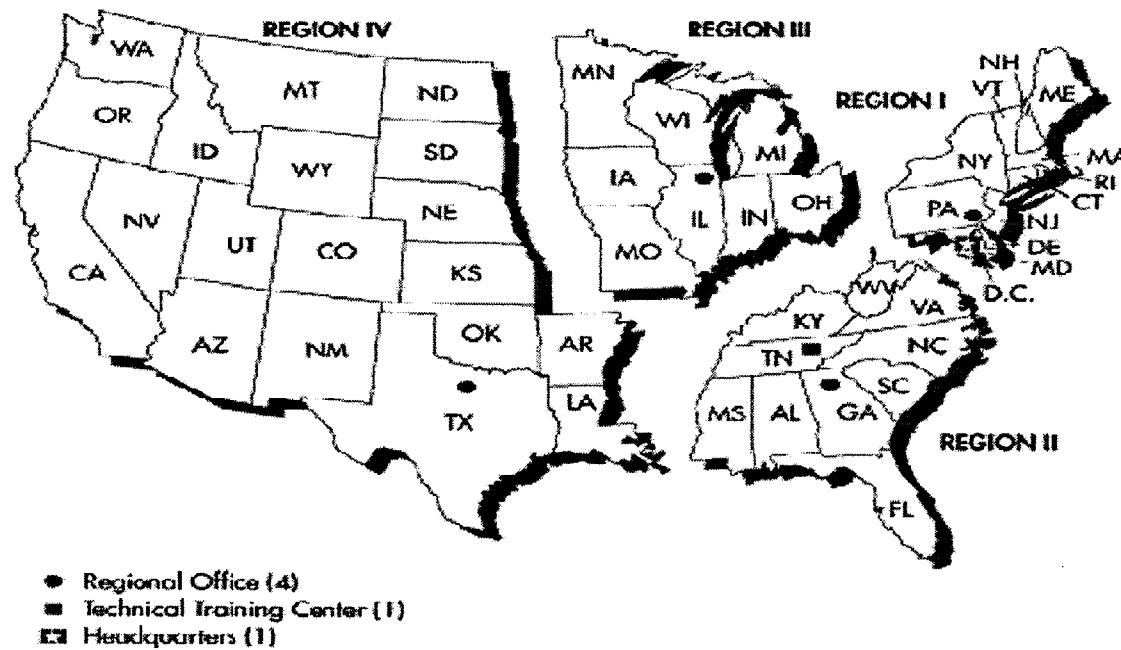
<http://www.nrc.gov/NRR/OVERSIGHT/index.html>

# NRC Activities

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- Ensure nuclear plants are designed, constructed, and operated safely
- Issue licenses for the peaceful use of nuclear materials in the U.S.
- Ensure licensees use nuclear materials and operate plants safely, and are prepared to respond to emergencies

# NRC REGIONAL OFFICES



Note: Alaska and Hawaii are included in Region IV.  
Source: Nuclear Regulatory Commission

# NRC Performance Goals

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- Maintain safety and protect the environment
- Enhance public confidence
- Improve effectiveness, efficiency, and realism of processes and decision making
- Reduce unnecessary regulatory burden

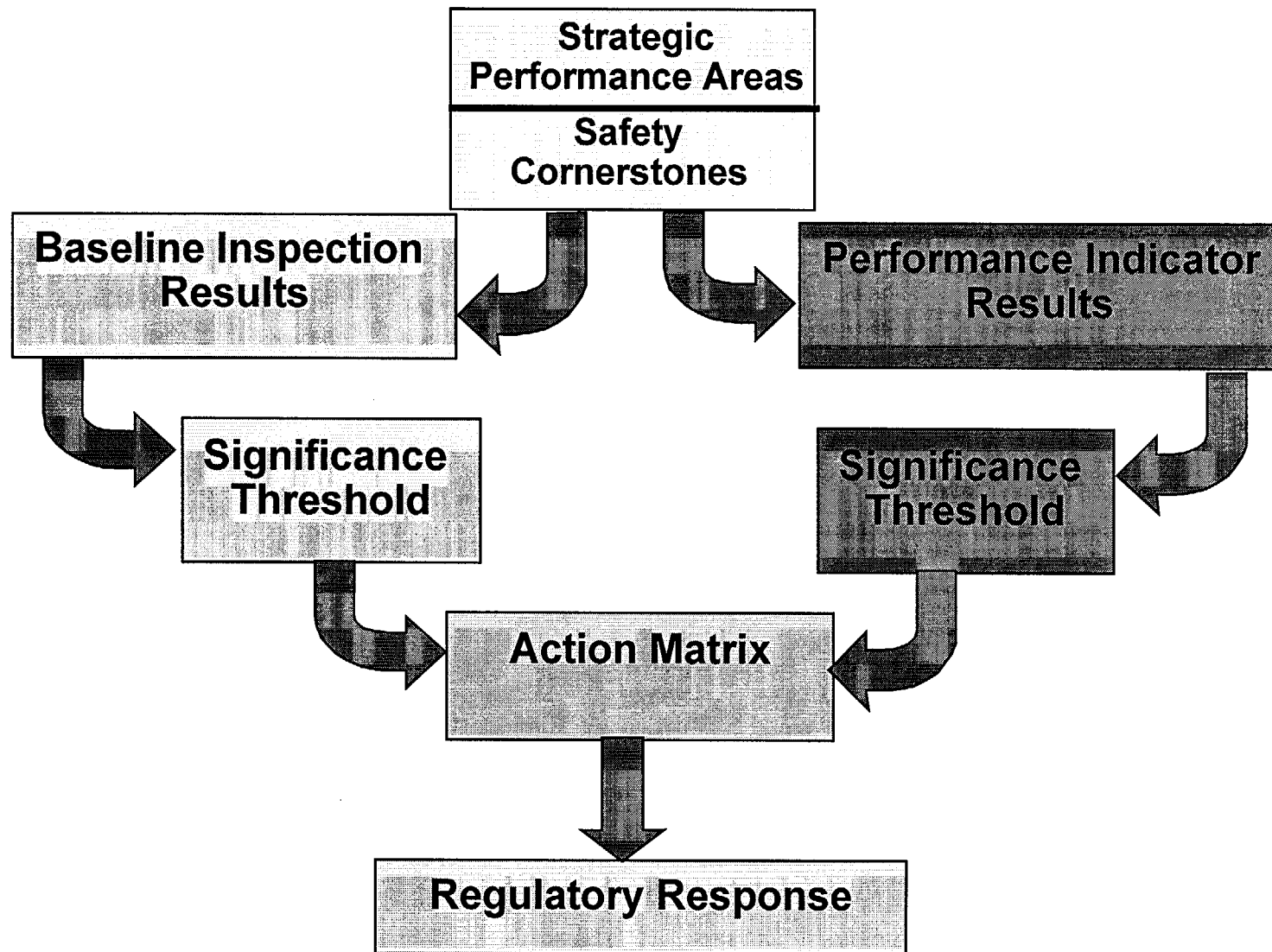


# NRC Oversight Activities

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- Provides assurance plants are operating safely and in accordance with the regulations
- Risk informed process
- Objective indicators of performance
- Inspections focused on key safety areas
- Defines expected NRC and licensee actions

# Reactor Oversight Process



# Strategic Performance Areas

## Safety Cornerstones

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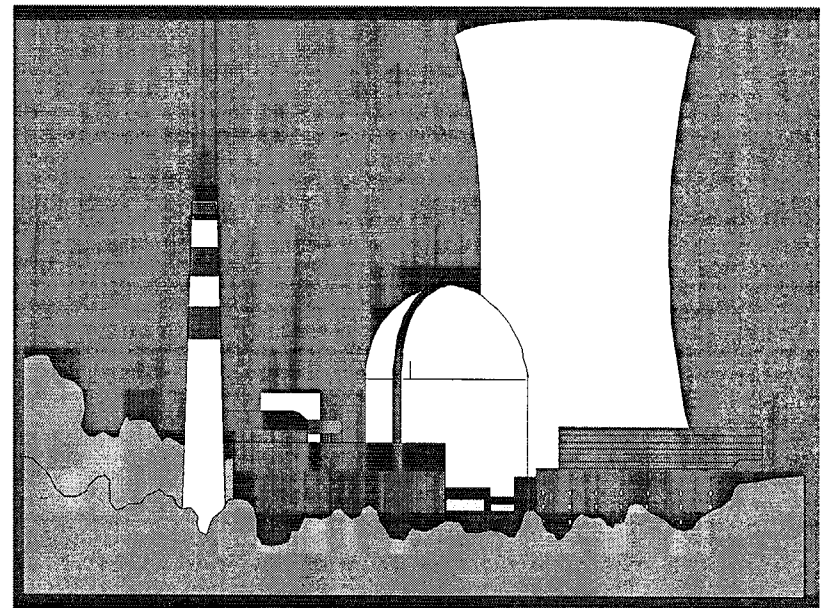
- Reactor Safety
  - Initiating Events
  - Mitigating Systems
  - Barrier Integrity
  - Emergency Preparedness
- Radiation Safety
  - Occupational Radiation Safety
  - Public Radiation Safety
- Safeguards
  - Physical protection

# NRC Resident and Regional Inspectors Conduct Safety Inspections

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Baseline Inspections at all  
reactor sites to monitor plant  
safety performance in each of  
the Strategic Performance Areas

Event Follow-up and  
Supplemental Inspections when  
required



# Key Aspects of Baseline Inspection Program

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- Objective evidence of plant safety
- Conducted at all plants
- Emphasizes safety significant systems, components, activities, and events
- Monitors licensee effectiveness in finding and fixing safety issues
- Inspection reports describe significant findings and non-compliance
- Inspection reports are publicly accessible

# Examples of Baseline Inspections

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- Plant safety tours
- Plant control room tours
- Maintenance and alignment of equipment
- Operator response during simulated emergency conditions
- Worker radiation protection
- Controls for radiation releases
- Plant security

# Event Follow-up and Supplemental Inspection

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- Review events for significance
- Follow-up significant inspection findings
- Determine causes of performance declines
- Provides for graduated response

# Significance Threshold

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## Performance Indicators

**Green:** Performance requiring no NRC oversight beyond baseline Inspection

**White:** Performance may result in increased NRC oversight

**Yellow:** Performance that minimally reduces safety margin and requires more NRC oversight

**Red:** Performance that represents significant reduction in safety, requires more NRC oversight, but provides adequate protection to public health and safety



# Significance Threshold

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## Inspection Findings

- Green: Very Low safety issue
- White: Low to moderate safety issue
- Yellow: Substantial safety issue
- Red: High safety issue


# Key Aspects of Assessment Program

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- Objective assessment of performance
- “Action Matrix” to determine agency response to performance
  - Inspection level increases
  - Management involvement increases
  - Regulatory action increases
- Plant specific assessment letters
- Information on NRC public web site

# Action Matrix Concept

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Licensee Response	Regulatory Response	Degraded Cornerstone	Multiple/Degraded Cornerstone	Unacceptable Performance
<div><p>Increasing Safety Significance</p><p>Increasing NRC Inspection Efforts</p><p>Increasing NRC/Licensee Management Involvement</p><p>Increasing Regulatory Actions</p></div>				

# National Summary

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## First Quarter Calendar Year 2001 Performance Indicator Results

**Green: 1818**  
**White: 14**  
**Yellow: 0**  
**Red: 0**

## Total Inspection Findings (April 2000 - March 2001)

**Green: 1031**  
**White: 20**  
**Yellow: 1**  
**Red: 1**

# National Summary of Plant Performance - 102 Plants End of First Quarter Calendar Year 2001

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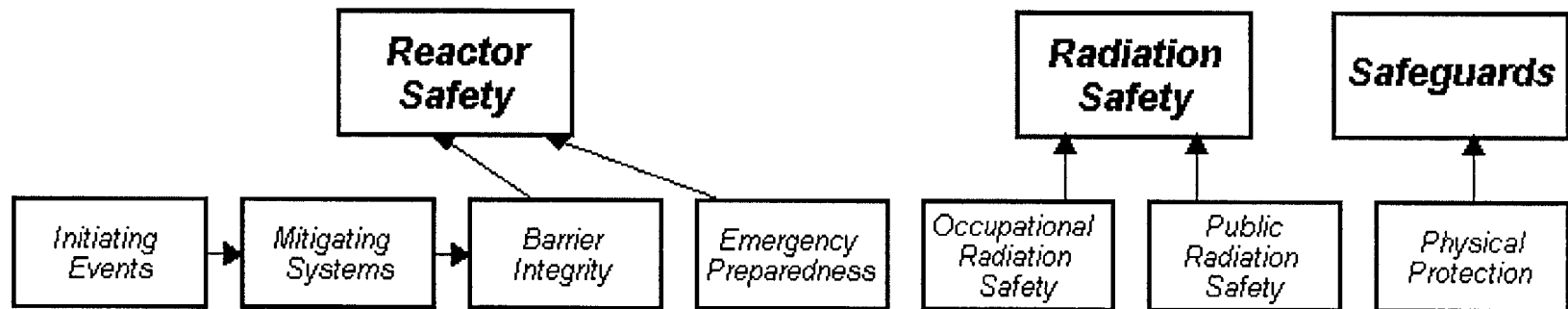
Licensee Response	83
Regulatory Response	15
Degraded Cornerstone	3
Multiple/Repetitive Degraded Cornerstone	1
Unacceptable	0

# Nine Mile Point Annual Assessment

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- Operated safely
- Fully met all cornerstone objectives
- Current performance within Licensee Response Band of Action Matrix - End of First Quarter 2001
  - All Inspection Findings of very low safety significance (Green)
  - All Performance Indicators requiring no additional NRC oversight (Green)
- NRC Plans to conduct baseline inspections

# Nine Mile Point 1 1Q/2001 Performance Summary



## Performance Indicators

Unplanned Scrams (G)	Emergency AC Power System Unavailability (G)	Reactor Coolant System Activity (G)	Drill/Exercise Performance (G)	Occupational Exposure Control Effectiveness (G)	RETS/ODCM Radiological Effluent (G)	Protected Area Equipment (G)
Scrams With Loss of Normal Heat Removal (G)	High Pressure Injection System Unavailability (G)	Reactor Coolant System Leakage (G)	ERC Drill Participation (G)			Personnel Screening Program (G)
Unplanned Power Changes (G)	Heat Removal System Unavailability (T)		Alert and Notification System (G)			RED/Personnel Reliability Program (G)
	Residual Heat Removal System Unavailability (G)					
	Safety System Functional Failures (G)					

*Initiating  
Events*



*Mitigating  
Systems*



*Barrier  
Integrity*

*Emergency  
Preparedness*

*Occupational  
Radiation  
Safety*

*Public  
Radiation  
Safety*

*Physical  
Protection*

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**Most Significant Inspection Findings**

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**1Q/2001**

No findings  
this quarter

No findings  
this quarter

No findings  
this quarter

No findings  
this quarter

No findings  
this quarter

No findings  
this quarter

No findings  
this quarter

**4Q/2000**

No findings  
this quarter

G

No findings  
this quarter

No findings  
this quarter

No findings  
this quarter

No findings  
this quarter

No findings  
this quarter

**3Q/2000**

No findings  
this quarter

G

No findings  
this quarter

No findings  
this quarter

No findings  
this quarter

No findings  
this quarter

No findings  
this quarter

**2Q/2000**

No findings  
this quarter

No findings  
this quarter

No findings  
this quarter

No findings  
this quarter

No findings  
this quarter

No findings  
this quarter

No findings  
this quarter

*Miscellaneous  
findings*

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**Additional Inspection & Assessment Information**

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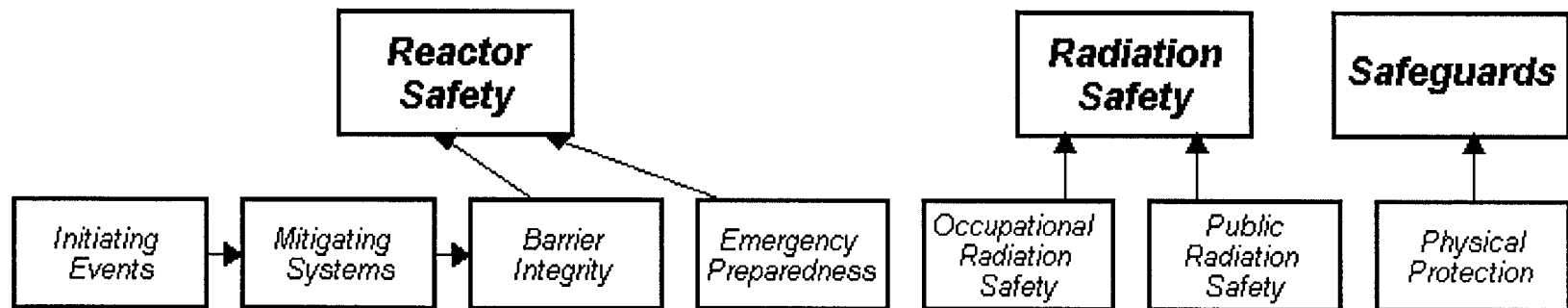
**☒ Assessment Letters/Inspection Plans:**

- ◉ 1Q/2001
- ◉ 4Q/2000
- ◉ 3Q/2000
- ◉ 2Q/2000

**☒ Inspection Reports**



# Nine Mile Point 2 1Q/2001 Performance Summary



## Performance Indicators

Unplanned Scrams (G)	Emergency AC Power System Unavailability (G)	Reactor Coolant System Activity (G)	Drill/Exercise Performance (G)	Occupational Exposure Control Effectiveness (G)	RETS/OBDM Radiological Effluent (G)	Protected Area Equipment (G)
Scrams With Loss of Normal Heat Removal (G)	High Pressure Injection System Unavailability (G)	Reactor Coolant System Leakage (G)	ERO Drill Participation (G)			Personnel Screening Program (G)
Unplanned Power Changes (G)	Heat Removal System Unavailability (G)		Alert and Notification System (G)			FFD/Personnel Reliability Program (G)
	Residual Heat Removal System Unavailability (G)					
	Safety System Functional Failures (G)					

*Initiating  
Events*



*Mitigating  
Systems*



*Barrier  
Integrity*

*Emergency  
Preparedness*

*Occupational  
Radiation  
Safety*

*Public  
Radiation  
Safety*

*Physical  
Protection*

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**Most Significant Inspection Findings**

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**1Q/2001**

No findings  
this quarter

**G**

No findings  
this quarter

Findings without  
color designation

No findings  
this quarter

No findings  
this quarter

No findings  
this quarter

**4Q/2000**

No findings  
this quarter

**G**

No findings  
this quarter

No findings  
this quarter

No findings  
this quarter

No findings  
this quarter

No findings  
this quarter

**3Q/2000**

No findings  
this quarter

**G**

No findings  
this quarter

No findings  
this quarter

No findings  
this quarter

No findings  
this quarter

No findings  
this quarter

**2Q/2000**

No findings  
this quarter

No findings  
this quarter

No findings  
this quarter

No findings  
this quarter

No findings  
this quarter

No findings  
this quarter

No findings  
this quarter

*Miscellaneous  
findings*

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**Additional Inspection & Assessment Information**

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**☒ Assessment Letters/Inspection Plans:**

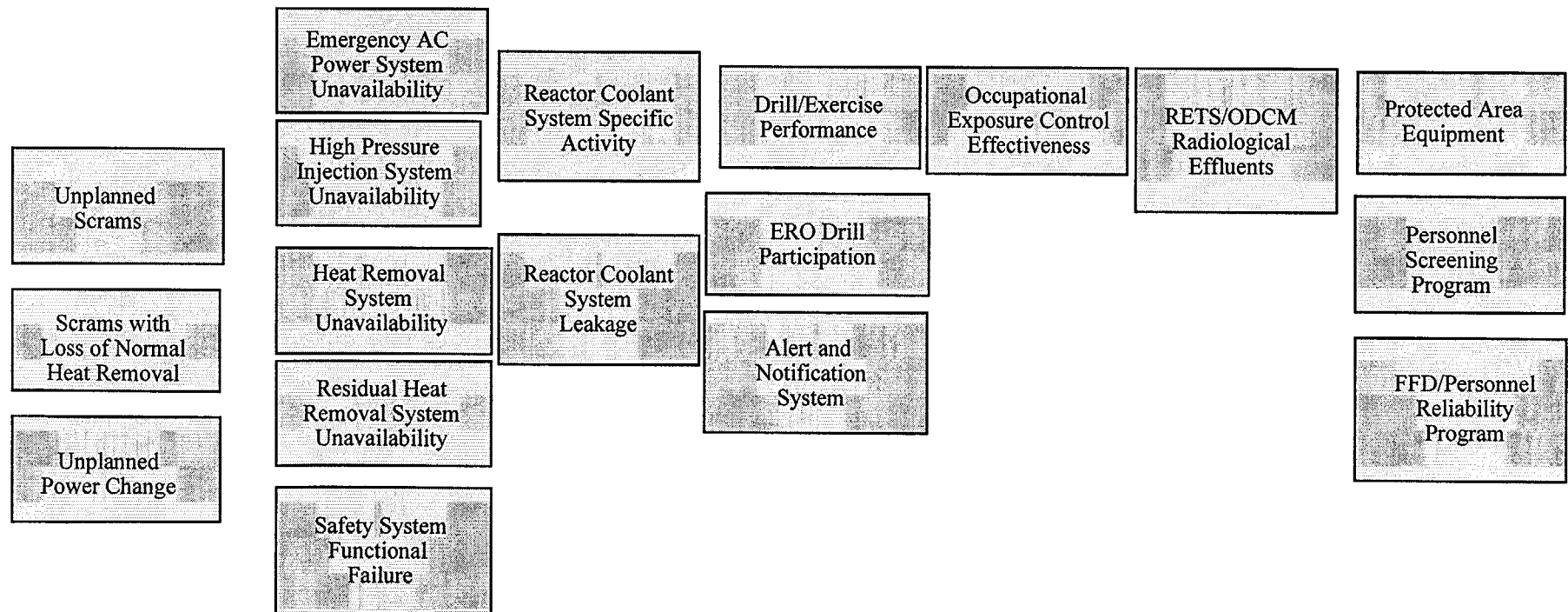
- ◉ 1Q/2001
- ◉ 4Q/2000
- ◉ 3Q/2000
- ◉ 2Q/2000

**☒ Inspection Reports**

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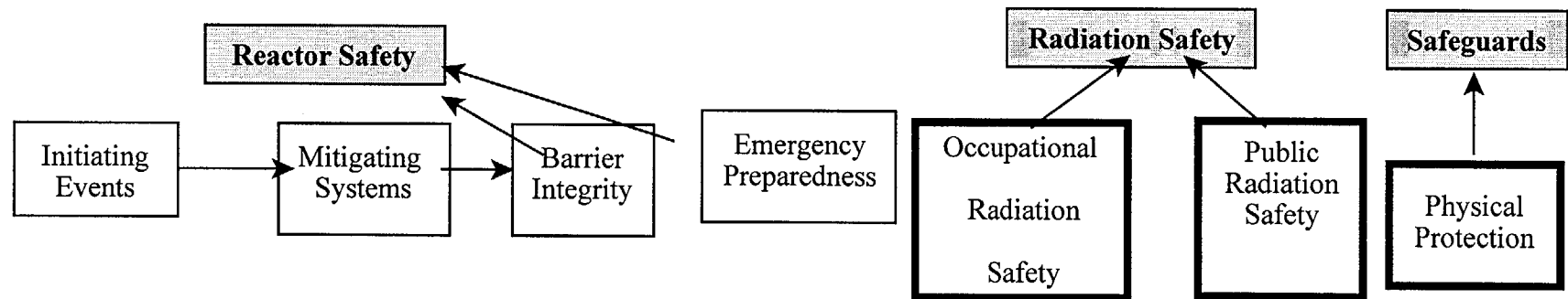


Performance Indicators	
1. Customer Satisfaction	85%
2. Employee Engagement	78%
3. Operational Efficiency	92%
4. Financial Performance	105%
5. Innovation & Growth	88%



# Inspection Areas

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## Inspection Procedures

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- |                               |                           |                       |                            |
|-------------------------------|---------------------------|-----------------------|----------------------------|
| ● Adverse Weather             | ● Operability Evaluation  | ● Exercise Evaluation | ● Sec Authorization Access |
| ● Evaluation of Changes       | ● Operator Workarounds    | ● Alert and Notice    | ● Sec Search               |
| ● Equipment Alignment         | ● Permanent Mods-Online   | ● ERO Augment         | ● Sec Response             |
| ● Fire Protection             | ● Permanent Mods          | ● EAL                 | ● Sec Plan change          |
| ● Flood Protection            | ● Post Maintenance Test   | ● EP Preparation      |                            |
| ● Heat Sink                   | ● Refueling Outage        | ● Drill Evaluation    |                            |
| ● In Service Inspection       | ● SSDI                    | ● RAD Access          |                            |
| ● Operator Requalification    | ● Surveillance Testing    | ● ALARA Plan          |                            |
| ● Maintenance Rule Imp        | ● Temporary Modifications | ● RAD monitoring      |                            |
| ● Maintenance Risk Assessment | ● PI&R                    | ● RAD Effluents       |                            |
| ● Non-Routine Events          | ● Event Follow-up         | ● RAD Transport       |                            |
|                               | ● PI Verification         | ● RAD Environmental   |                            |

An Action Matrix is used to assess overall plant safety performance and specify thresholds for NRC/Enforcement Actions

	Licensee Response Column		Regulatory Response Column	Degraded Cornerstone Column	Multiple/ Repetitive Degraded Cornerstone Column	Unacceptable Performance Column
RESULTS		All Assessment Inputs (Performance Indicators (PIs) and Inspection Findings) Green; Cornerstone Objectives Fully Met	One or Two White Inputs (in different cornerstones) in a Strategic Performance Area; Cornerstone Objectives Fully Met	One Degraded Cornerstone (2 White Inputs or 1 Yellow Input) or any 3 White Inputs in a Strategic Performance Area; Cornerstone Objectives Met with Minimal Reduction in Safety Margin	Repetitive Degraded Cornerstone, Multiple Degraded Cornerstones, Multiple Yellow Inputs, or 1 Red Input; Cornerstone Objectives Met with Longstanding Issues or Significant Reduction in Safety Margin	Overall Unacceptable Performance; Plants Not Permitted to Operate Within this Band, Unacceptable Margin to Safety
RESPONSE	Regulatory Performance Meeting	None	Branch Chief (BC) or Division Director (DD) Meet with Licensee	DD or Regional Administrator (RA) Meet with Licensee	RA (or EDO) Meet with Senior Licensee Management	Commission meeting with Senior Licensee Management
	Licensee Action	Licensee Corrective Action	Licensee root cause evaluation and corrective action with NRC Oversight	Licensee Self Assessment with NRC Oversight	Licensee Performance Improvement Plan with NRC Oversight	
	NRC Inspection	Risk-Informed Baseline Inspection Program	Baseline and supplemental inspection procedure 95001	Baseline and supplemental inspection procedure 95002	Baseline and supplemental inspection procedure 95003	
	Regulatory Actions	None	Supplemental inspection only	Supplemental inspection only	-10 CFR 2.204 DFI -10 CFR 50.54(f) Letter - CAL/Order	Order to Modify, Suspend, or Revoke Licensed Activities
COMMUNICATION	Assessment Letters	BC or DD review/sign assessment report (w/ inspection plan)	DD review/sign assessment report (w/ inspection plan)	RA review/sign assessment report (w/ inspection plan)	RA review/sign assessment report (w/ inspection plan) Commission Informed	
	Annual Public Meeting	SRI or BC Meet with Licensee	BC or DD Meet with Licensee	RA (or designee) Discuss Performance with Licensee	EDO (or Commission) Discuss Performance with Senior Licensee Management	Commission Meeting with Senior Licensee Management
	INCREASING SAFETY SIGNIFICANCE ----->					