

**TRANSMITTAL OF MEETING HANDOUT MATERIALS FOR
IMMEDIATE PLACEMENT IN THE PUBLIC DOMAIN**

*This form is to be filled out (typed or hand-printed) by the person who announced the meeting (i.e., the person who issued the meeting notice). The completed form, and the attached copy of meeting handout materials, will be sent to the Document Control Desk on the same day of the meeting; under no circumstances will this be done later than the working day after the meeting.
Do not include proprietary materials.*

DATE OF MEETING

04/02/2002

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)	<u>50-224</u>
Plant/Facility Name	<u>R. E. Ginna Nuclear Power Plant</u>
TAC Number(s) (if available)	<u></u>
Reference Meeting Notice	<u>02-012</u>
Purpose of Meeting (copy from meeting notice)	<u>The NRC staff and RG&E management will discuss the</u> <u>results of NRC's assessment of the safety performance of</u> <u>Ginna for the period of April - December 31, 2001.</u>

NAME OF PERSON WHO ISSUED MEETING NOTICE

Michele G. Evans

TITLE

Branch Chief

OFFICE

Region I

DIVISION

Division of Reactor Projects

BRANCH

Projects Branch 1

Distribution of this form and attachments:

Docket File/Central File
PUBLIC

Annual Assessment Meeting

Reactor Oversight Program - Cycle 2

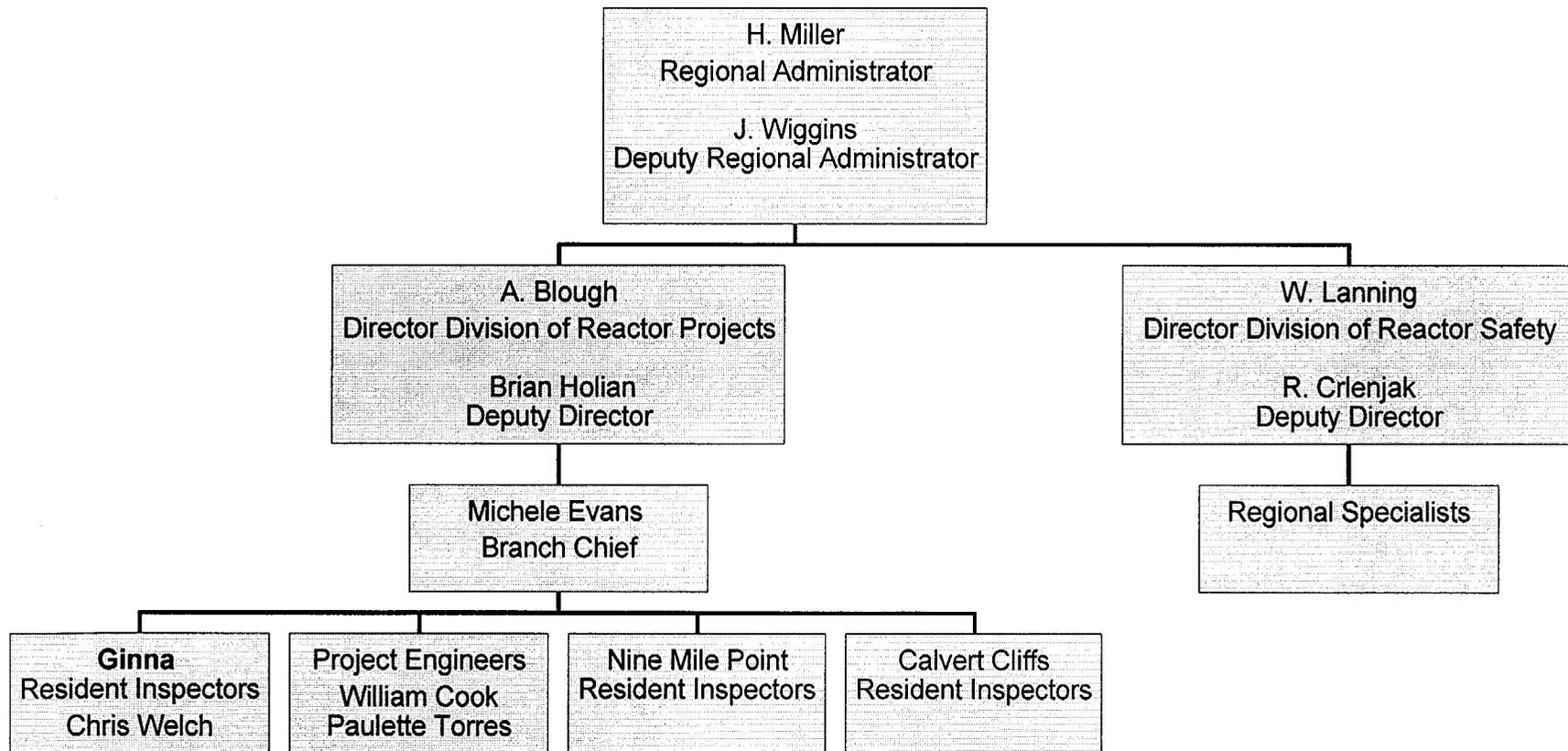


U.S. Nuclear Regulatory Commission - Region I
King of Prussia, PA

Agenda

- Introductions
- The NRC - Who We Are & What We Do
- The Reactor Oversight Process
- Ginna's Plant Performance
- Comments by RG&E
- NRC Closing Remarks
- The NRC staff will be available following the meeting to address questions from the public

Region I Organization



NRC Representatives

- Michele Evans, Chief Reactor Projects Branch 1
 - (mge@nrc.gov (610) 337-5224)
- William Cook, Senior Project Engineer
 - (wac1@nrc.gov (610) 337-5074)
- Chris Welch, Acting Senior Resident Inspector
 - (crw@nrc.gov (315) 524-6935)

Reference Sources

- NRC Home Page
 - ▶ <http://www.nrc.gov>

- Reactor Oversight Process
 - ▶ <http://www.nrc.gov/NRR/OVERSIGHT/ASSESS/index.html>

- Public Electronic Reading Room
 - ▶ <http://www.nrc.gov/reading-rm/adams.html>

- Public Document Room
 - ▶ 1-800-397-4209 (Toll Free)

NRC Mission Statement

The mission of the Nuclear Regulatory Commission is to ensure adequate protection of public health and safety, promote the common defense and security, and protect the environment by regulating the Nation's civilian uses of nuclear fuels and materials. In undertaking this mission, we oversee nuclear power plants, non-power reactors, nuclear fuel cycle facilities, waste disposal, and the industrial and medical uses of nuclear materials.

NRC Performance Goals

- Maintain safety, protection of the environment, and the common defense and security
- Increase public confidence
- Make NRC activities and decisions more effective, efficient, and realistic
- Reduce unnecessary regulatory burden

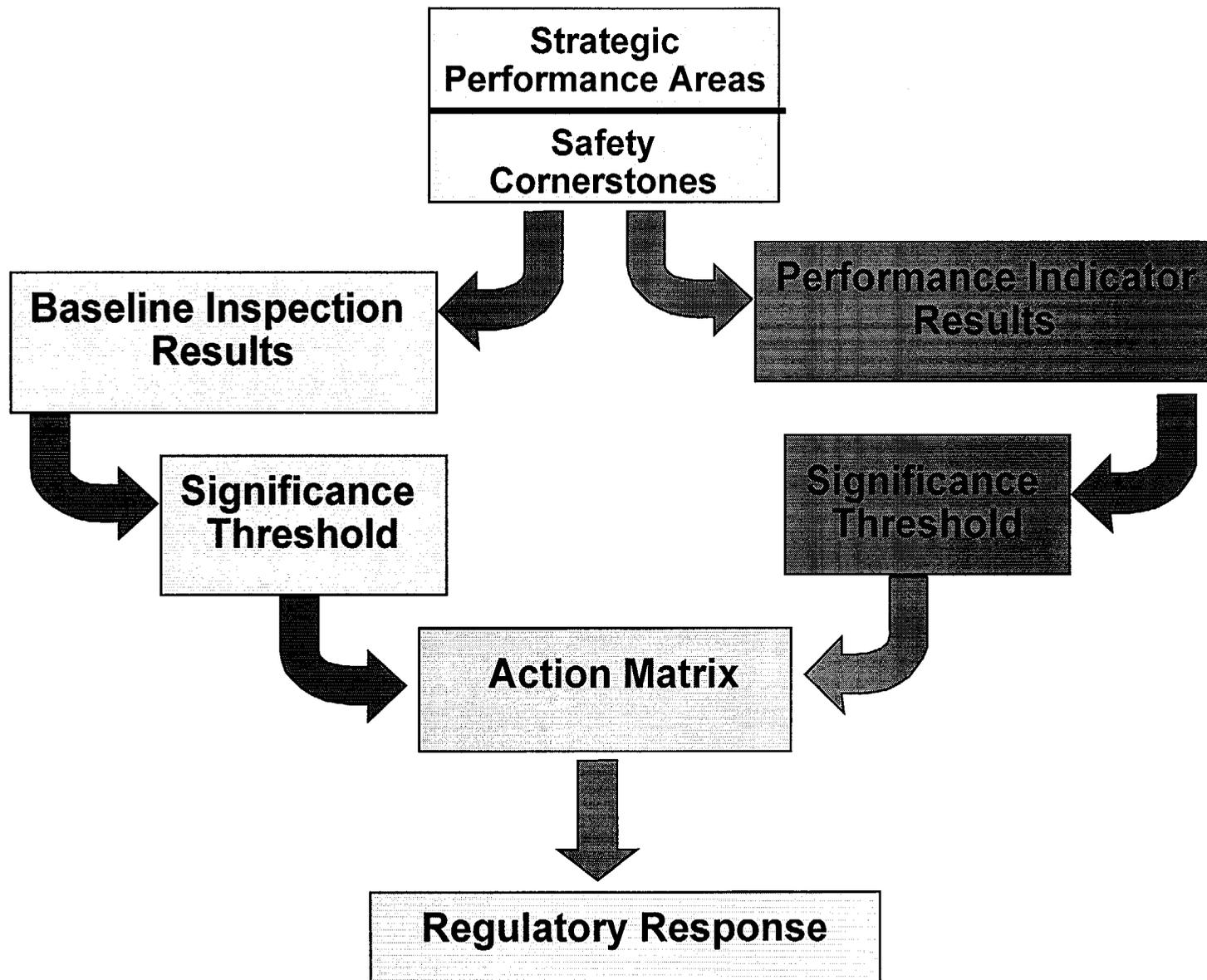
NRC Activities

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

NRC Response to 9/11

- Highest Level of Security Maintained
- Comprehensive Review of Security
- Closely Coordinated Response With:
 - Our Licensees
 - FBI
 - Military, State, and Local Agencies
 - Intelligence Communities
- Issued Security Advisories
 - Increased Patrols
 - Augmented Security Capabilities
 - Added Barriers and Posts
 - More Limited Access
 - Enhanced Security Awareness
- Issued Order on Security
- NRC Monitoring Enhanced Security

Reactor Oversight Process



Examples of Baseline Inspections

- Equipment Alignment ~ 70 hrs/yr
- Annual Fire Protection ~ 35 hrs/yr
- Triennial Fire Protection ~200 hrs every 3 yrs
- Operator Response ~ 125 hrs/yr
- Plant security ~40 hrs/yr
- Emergency preparedness ~60 hrs/yr
- Rad release controls ~100 hrs every 2 yrs
- Worker radiation protection ~125 hrs/yr
- Corrective action program 10% every inspection
- Corrective action program ~200 hr every 2 yrs

Significance Threshold

Green: Very Low safety significance

White: Low to moderate safety significance

Yellow: Substantial safety significance

Red: High safety significance

Green: Only baseline Inspection

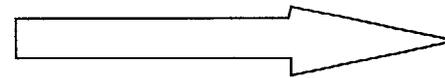
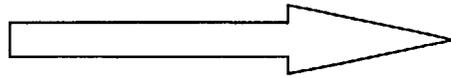
White: May increase NRC oversight

Yellow: Requires more NRC oversight

Red: Requires more NRC oversight

Action Matrix Concept

Licensee Response	Regulatory Response	Degraded Cornerstone	Multiple/Degraded Cornerstone	Unacceptable Performance
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Increasing Safety Significance

Increasing NRC Inspection Efforts

Increasing NRC/Licensee Management Involvement

Increasing Regulatory Actions

National Summary of Plant Performance

End of Calendar Year 2001

Licensee Response	74
Regulatory Response	24
Degraded Cornerstone	4
Multiple/Repetitive Degraded Cornerstone	1
Unacceptable	0
<hr/>	
Total Plants	103

National Summary

- Performance Indicator Results 4th Qtr Calendar Yr 2001

- ▶ Green 1834
- ▶ White 8
- ▶ Yellow 0
- ▶ Red: 0

- Total Inspection Findings (April 2001 - December 2001)

- ▶ Green 660
- ▶ White 23
- ▶ Yellow 2
- ▶ Red 0

Ginna Annual Assessment

(April 1 - Dec 31, 2001)

- Operated safely
- Fully met all cornerstone objectives
- Licensee Response Band of Action Matrix
 - ▶ All Inspection Findings Green or No Color
 - ▶ All Performance Indicators Green
- NRC Plans to conduct baseline inspections

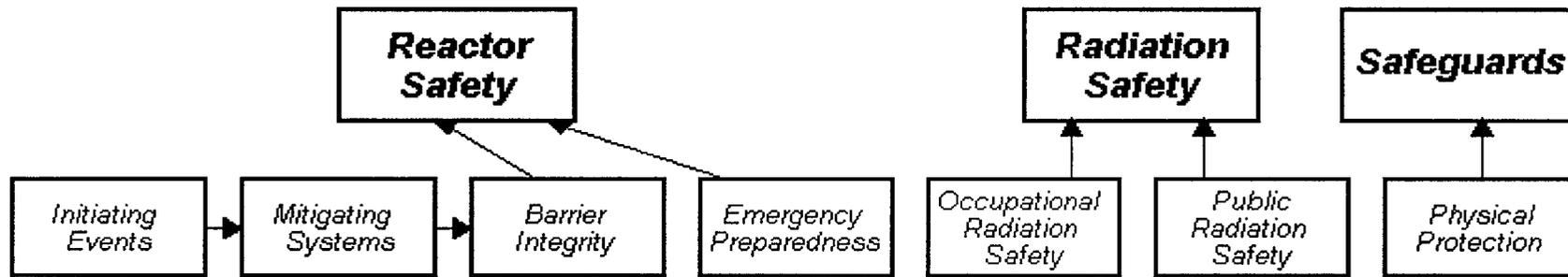
Ginna Inspection Activities

(Jan 1 - Dec 31, 2001)

- 4860 hours of inspection related activity
- Two resident inspectors performing resident inspections
- 12 inspections by regional inspectors
 - ▶ Includes 3 team inspections
- Inspection Findings
 - ▶ 4 findings of very low safety significance
 - ▶ 4 findings with no color

GINNA

Performance Indicators 4Q/2001

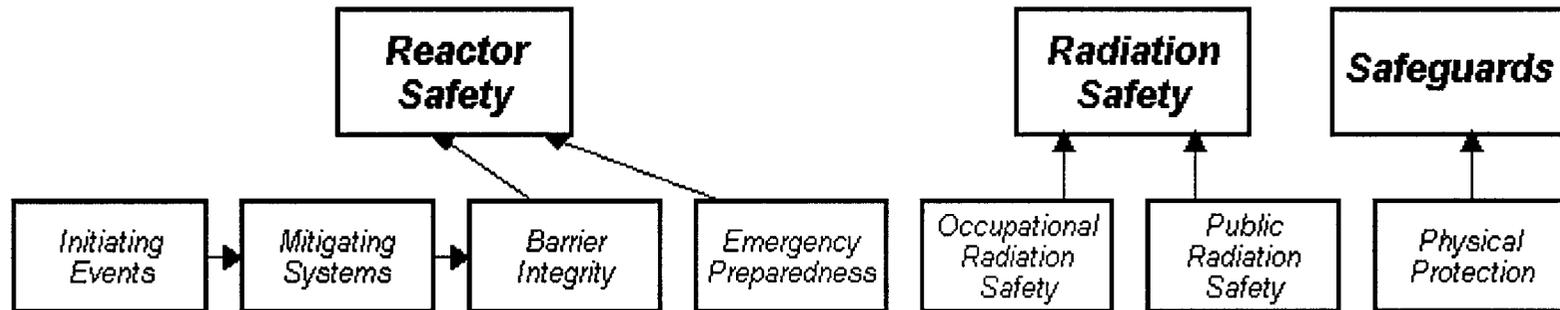


Performance Indicators

Unplanned Spawns (G)	Emergency Core Power System Availability (G)	Reactor Coolant System Availability (G)	Drill/Exercise Performance (G)	Occupational Exposure Control Effectiveness (G)	RETS/IDCM Radiological Effluent (G)	Protected Area Equipment (G)
Scrams With Loss of Normal Heat Removal (G)	High Pressure Injection System Availability (G)	Reactor Coolant System Leakage (G)	ERP Drill Participation (G)			Personnel Screening Program (G)
Unplanned Power Transients	Reactor Protection System Unavailability (G)		Alert and Notification System (G)			RAM Protection System (G)
	Reactor Protection System Unavailability (G)					
	Emergency Core Power System Unavailability (G)					

GINNA

Inspection Finding Summary

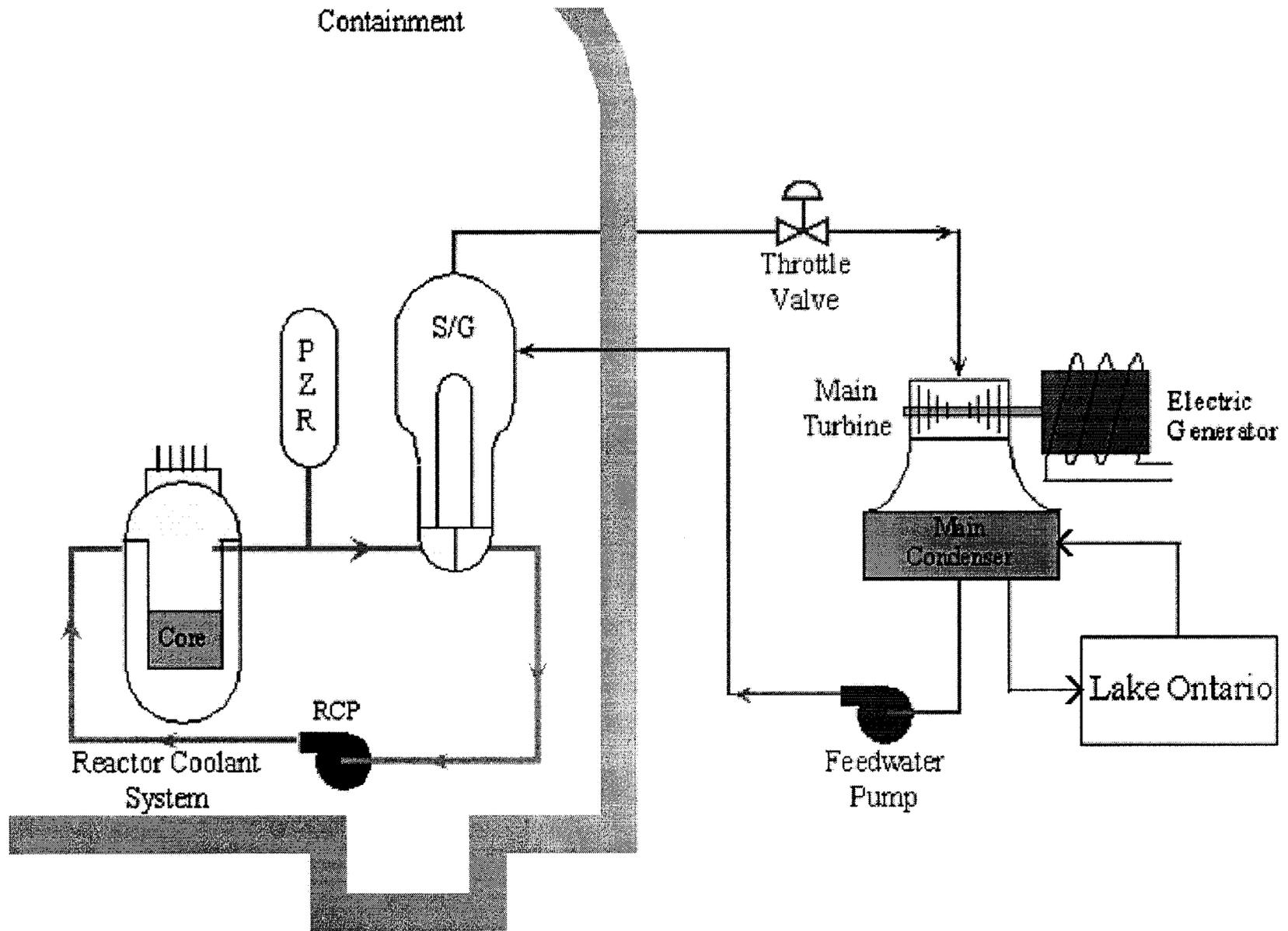


Most Significant Inspection Findings

	Initiating Events	Mitigating Systems	Barrier Integrity	Emergency Preparedness	Occupational Radiation Safety	Public Radiation Safety	Physical Protection
4Q/2001	No findings this quarter	Findings without color designation	C	No findings this quarter	No findings this quarter	No findings this quarter	No findings this quarter
3Q/2001	No findings this quarter	C	Findings without color designation	No findings this quarter	No findings this quarter	No findings this quarter	No findings this quarter
2Q/2001	No findings this quarter	C	No findings this quarter	No findings this quarter	No findings this quarter	Findings without color designation	No findings this quarter
1Q/2001	No findings this quarter	C	No findings this quarter	No findings this quarter	No findings this quarter	No findings this quarter	No findings this quarter

Miscellaneous findings

Simplified Pressurized Water Reactor



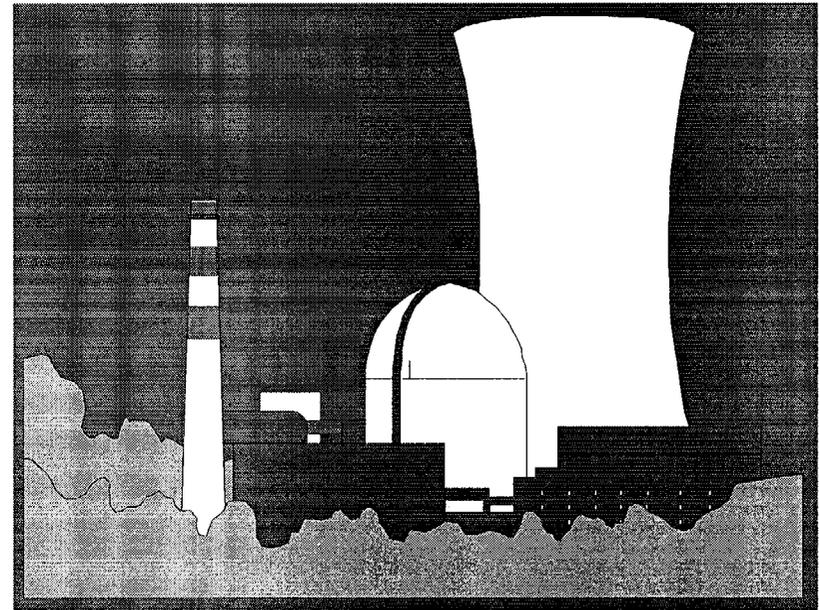
Strategic Performance Areas / Safety Cornerstones

- 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

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

- Conducted at all plants
- Objective evidence of safety in all cornerstones
- A Risk Informed Process that emphasizes safety significant systems, components, activities, and events
- Monitors licensee effectiveness in finding and fixing safety issues
- Standardized inspection report format to describe significant findings and non-compliance
- Inspection reports are publicly accessible

Event Follow-up & Supplemental Inspection

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

Performance Indicators

- 18 Performance Indicators
- Covers all cornerstones
- Licensee submits data to NRC quarterly
- Baseline Inspection program verifies accuracy
- Available on Reactor Oversight Program Web site

Key Aspects of Assessment Program

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

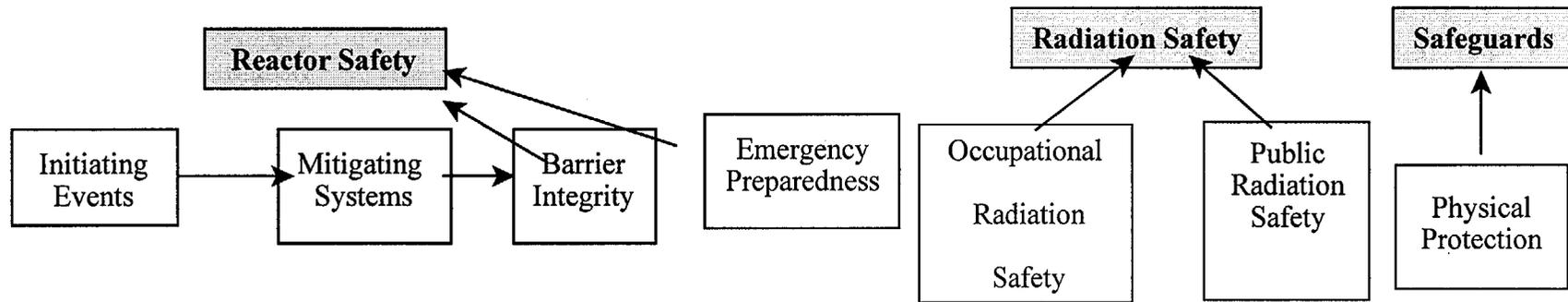
Substantive Cross Cutting Issue

- Multiple inspection findings with a common cause in:
 - ▶ Human performance
 - ▶ Problem Identification and Resolution
 - ▶ Safety conscious work environment

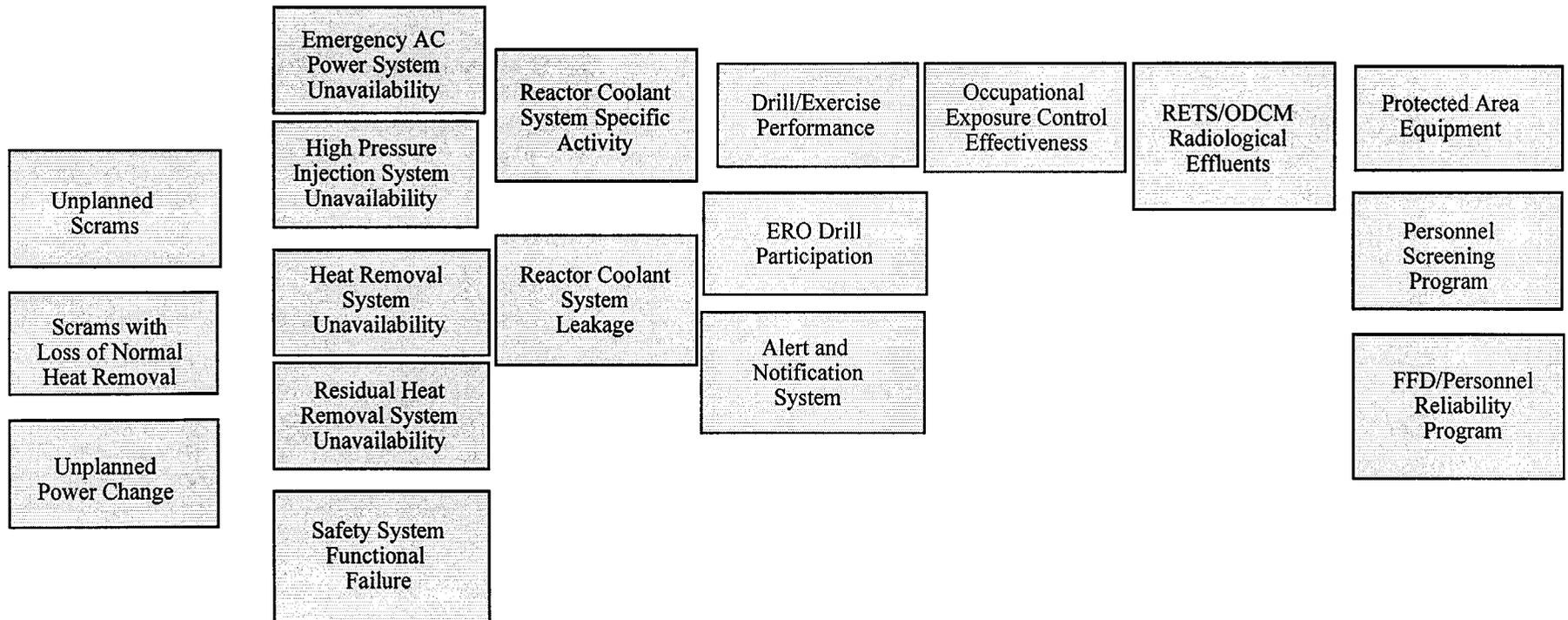
- Common cause of inspection findings

- Common cause documented in an assessment letter

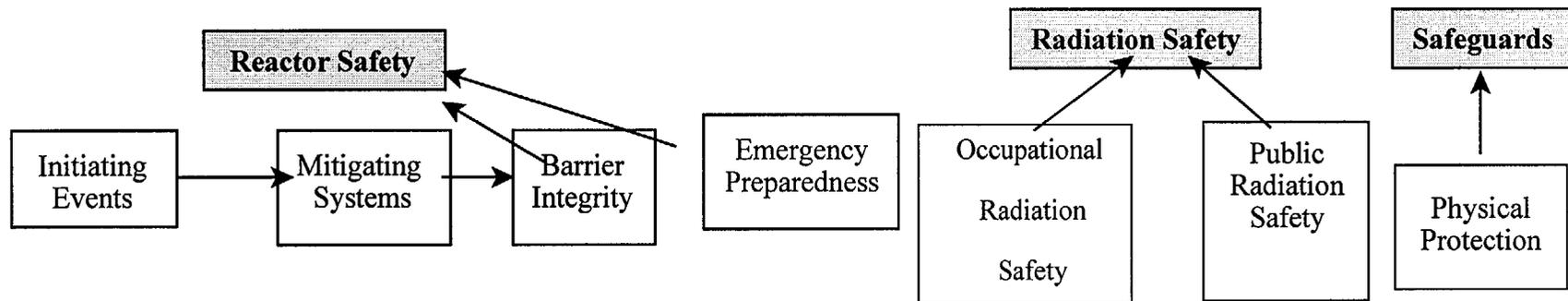
Performance Indicators



Performance Indicators



Inspection Areas



Inspection Procedures

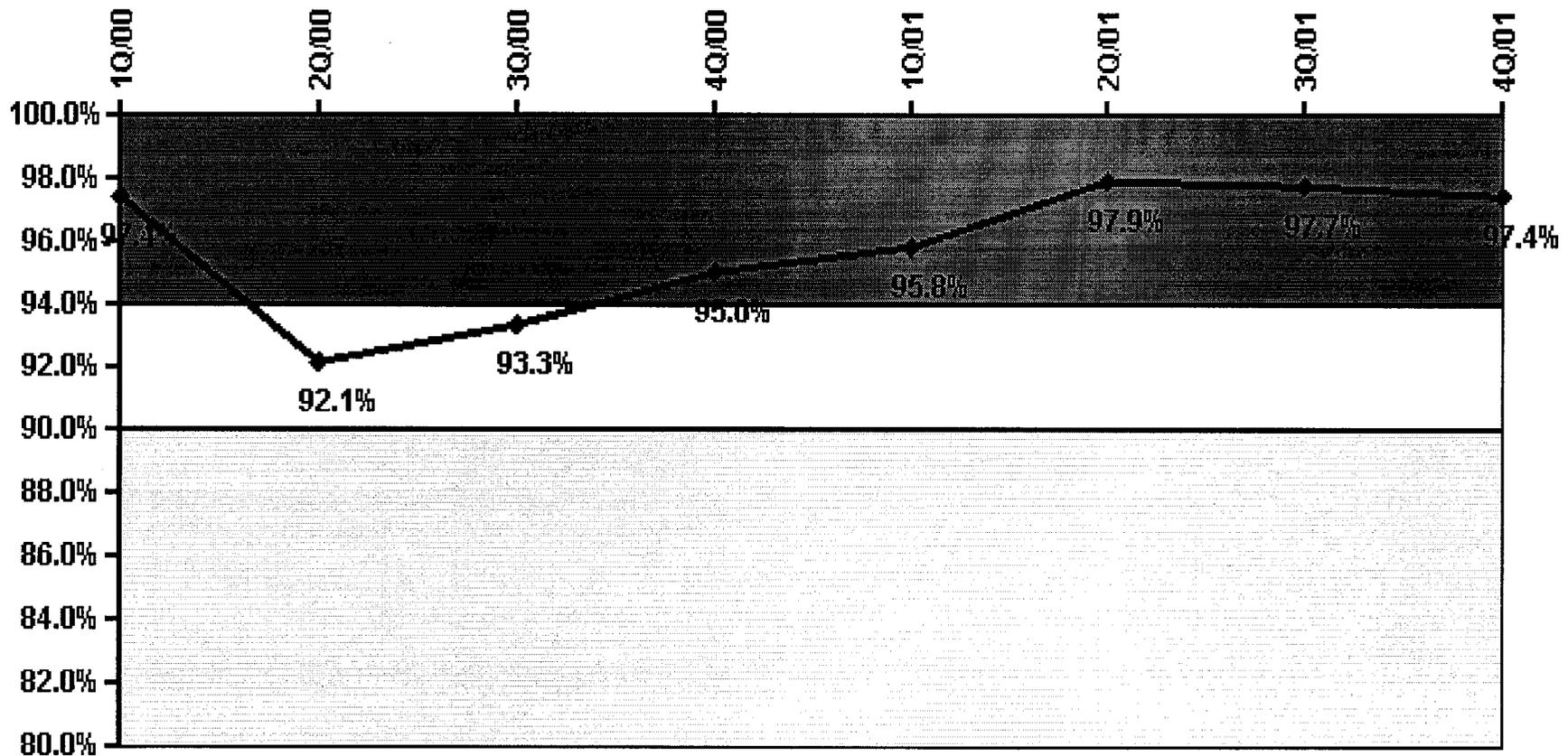
- Adverse Weather
- Evaluation of Changes
- Equipment Alignment
- Fire Protection
- Flood Protection
- Heat Sink
- In Service Inspection
- Operator Requalification
- Maintenance Rule Imp
- Maintenance Risk Assessment
- Non-Routine Events
- Operability Evaluation
- Operator Workarounds
- Permanent Mods-Online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

NRC Action Matrix

		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 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 Reports	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 →					

Performance Indicator

Alert & Notification System



Thresholds: White < 94.0% Yellow < 90.0%