

UNITED STATES
NUCLEAR REGULATORY COMMISSION
OFFICE OF NUCLEAR REACTOR REGULATION
WASHINGTON, D.C. 20555-0001

May 15, 1997

NRC GENERIC LETTER 97-02: REVISED CONTENTS OF THE MONTHLY OPERATING REPORT

Addressees

All holders of operating licenses for nuclear power reactors, except those who have permanently ceased operations and have certified that fuel has been permanently removed from the reactor vessel.

Purpose

The purpose of this generic letter is to inform licensees that the NRC is requesting the submittal of less information in the monthly operating report. This generic letter requires no specific action or written response.

Discussion

OVERVIEW

The assessment of NRC information gathering needs has been the subject of several staff reviews. These reviews have focused on identifying duplicative reporting, determining whether some reports could be reduced in scope or eliminated, and determining whether the frequency of reporting could be reduced. In this regard, the NRC staff concludes that the scope of the information requested in the monthly operating report, which is called for in the Technical Specifications, may be reduced.

NEED FOR THE MONTHLY OPERATING REPORT

The impetus for the monthly operating report came from the 1973-1974 oil embargo. Draft Regulatory Guide 1.16, Revision 4, "Reporting of Operating Information - Appendix A Technical Specifications," published for comment in August 1975, identifies operating statistics and shutdown experience information then desired in the operating report. Licensees have generally followed the guidance of the draft Regulatory Guide. The NRC initially compiled this information on a monthly basis and published it in hard copy form as NUREG-0020, "Licensed Operating Reactors - Status Summary Report" (referred to as the "Gray Book"). Beginning in 1990, this information was published on an annual basis in hard copy form and was also made available on diskette monthly. NUREG-0020 was discontinued after the December 1995 report.

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The NRC staff assessed the information that is submitted in the monthly operating report and determined that it is a unique source of information for two of the eight performance indicators approved by the Commission for the NRC Performance Indicator (PI) Program. Performance indicator data are fundamental tools used by the NRC staff to independently analyze nuclear power plant safety performance trends. The performance indicator data provided in the monthly operating report include the **number of reactor critical hours** for the *equipment forced outage* indicator, the **forced outage hours and generator on-line hours** for the *forced outage rate* indicator, the **number of forced outages** for the *equipment forced outage* indicator, and the **outage type (whether forced or scheduled)** for the *forced outage rate* and *equipment forced outage* indicators. NRC will retain the monthly operating report because the agency has a continuing need to receive this performance indicator data, and at the same frequency. Attachment 1 to this generic letter delineates the information that is needed for the PI Program.

The NRC also has a need to provide operating factor (**availability and capacity factors**) data to Congress and other government agencies on a regular basis. This information is useful as an indicator of the ability of a plant to perform its design function, and provides insights into the safety performance of a plant. In general, a plant with high **availability and capacity factors** is less likely to experience transients which challenge safety systems. These data are often used by senior NRC managers in meetings and presentations. The monthly operating report is a unique source of reliable and timely operating factor data for all commercial nuclear power plants to support the information needs of senior NRC managers. Attachment 1 also delineates the operating factor data that is needed.

Voluntary Response Requested

Effective immediately, licensees of operating nuclear power plants submitting monthly operating reports called for in the Technical Specifications may do so in accordance with the guidance provided in Attachment 1 to this generic letter. Implementation of this option by licensees is voluntary. However, licensees will have to take whatever means are appropriate to negate any prior commitments or requirements to provide monthly operating reports which contain the information identified in Draft Regulatory Guide 1.16, Revision 4, Section C.1.c; this may include an amendment to the facility operating license to remove a license condition. Licensees who choose not to implement this option may continue to submit monthly operating reports as they have in the past.

Backfit Discussion

The NRC staff has determined that the backfit rule, Section 50.109 of Title 10 of the *Code of Federal Regulations* (10 CFR 50.109), does not apply to this generic letter because the reduction by licensees of the scope of the monthly operating report to that described in Attachment 1 is strictly voluntary.

Federal Register Notification

A notice of opportunity for public comment was published in the *Federal Register* (60 FR 43174) on August 18, 1995. Comments were received from 6 utilities, 2 private industries, 1 university, 1 industry organization, 1 government agency, 3 public interest groups, and 2 individuals (no affiliation). Copies of the staff evaluation of these comments are available from the NRC Public Document Room.

Paperwork Reduction Act Statement

This generic letter contains voluntary reductions in the public reporting burden. The resultant information collections are subject to the Paperwork Reduction Act of 1995 (44 U.S.C. 3501 et seq.). These information collections were approved by the Office of Management and Budget, approval number 3150-0011, which expires July 31, 1997.

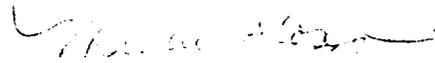
The public reporting burden for this collection of information is estimated to average 10 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The U.S. Nuclear Regulatory Commission is seeking public comment on the potential impact of the collection of information contained in the generic letter and on the following issues:

1. Is the proposed collection of information necessary for the proper performance of the functions of the NRC, including whether the information will have practical utility?
2. Is the estimate of burden accurate?
3. Is there a way to enhance the quality, utility, and clarity of the information to be collected?
4. How can the burden of the collection of information be minimized, including the use of automated collection techniques?

Send comments on any aspect of this collection of information, including suggestions for reducing this burden, to the Information and Records Management Branch, T-6 F33, U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001, and to the Desk Officer, Office of Information and Regulatory Affairs, NEOB-10202 (3150-0011), Office of Management and Budget, Washington, DC 20503.

The NRC may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

If you have any questions about this matter, please contact one of the technical contacts listed below.



Marylee M. Slosson, Acting Director
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Office of Nuclear Reactor Regulation

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Attachments:

1. Monthly Operating Report Contents
2. List of Recently Issued NRC Generic Letters

Attachments filed in Jacket.

MONTHLY OPERATING REPORT CONTENTS

Background

As part of its mission to protect public health and safety, the NRC monitors the performance of licensees that operate the commercial nuclear power plants in the United States. This monitoring effort alerts the NRC to the necessity of adjusting plant-specific regulatory programs. One monitoring tool being used is a set of eight performance indicators (PIs). The PIs provide information about plant performance trends and assist NRC management to identify poor and/or declining safety performance, as well as good and/or improving performance. PI reports are provided to the Commission, NRC senior managers, licensee senior managers, and to the public through the NRC Public Document Rooms. Other tools include availability and capacity factors, which are provided to NRC senior managers, other government agencies, and Congress on a regular basis.

Contents of the Monthly Operating Report

Routine reports of operating statistics and shutdown experience are needed to support the NRC Performance Indicator Program, and availability and capacity statistics. Therefore, the following information should continue to be provided in the monthly operating report:

- Docket Number, Unit Name, Date, Name and Telephone Number of Preparer, and Reporting Month

This information is needed for administrative, tracking, and data entry purposes for the PI Program.

- Unit Shutdowns, including:
 - Sequential number of shutdown for calendar year
 - Date of start of shutdown
 - Type (Forced or Scheduled)
 - Duration (hours) - to the nearest tenth of an hour
 - Reason for shutdown
 - Method of shutting down the reactor
 - Corrective actions/comments
 - Narrative summary of monthly operating experience

This information is needed to calculate the following performance indicators in the PI report: *forced outage rate* and *equipment-forced outages per 1000 commercial critical hours*. The information is also used to confirm the operational phase of each event. The operational phase is identified in the PI report for various initiators: automatic trip while critical, safety system actuation, significant event, safety system failure, and cause codes.

- **Number of Hours the Reactor Was Critical**

This information is needed to calculate the *equipment forced outage* indicator and to tabulate critical hours in the PI report.

- **Number of Hours the Generator Was On Line (Service Hours)**

This information is needed to calculate the *forced outage rate* indicator in the PI report.

- **Unit Reserve Shutdown Hours**

This information is needed to calculate the unit **availability factor**.

- **Design Electrical Rating**

- **Maximum Dependable Capacity**

- **Net Electrical Energy**

This information is needed to calculate the unit **capacity factor**.

Appendices A and B of this attachment provide further guidance concerning the information that should continue to be submitted. Appendices A and B may also be used as a guide for the format of the information submitted in the monthly operating report. The completed monthly operating report should be submitted by the 15th of the month following the calendar month covered by the report to Document Control Desk, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555-0001.

**APPENDIX A
OPERATING DATA REPORT**

DOCKET NO. _____
UNIT NAME _____
DATE _____
COMPLETED BY _____
TELEPHONE _____

(This report should continue to be furnished on a monthly basis by licensees.)

REPORTING PERIOD _____
(Month/Year)

<u>MONTH</u>	<u>YEAR TO DATE</u>	<u>CUMULATIVE</u>
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1. Design Electrical Rating (MWe-Net).
The nominal net electrical output of the unit specified by the utility and used for the purpose of plant design.
2. Maximum Dependable Capacity (MWe-Net).
The gross electrical output as measured at the output terminals of the turbine-generator during the most restrictive seasonal conditions minus the normal station service loads.
3. Number of Hours the Reactor Was Critical.
The total number of hours during the gross hours of the reporting period that the reactor was critical.
4. Number of Hours the Generator Was On Line.
(Also called Service Hours). The total number of hours during the gross hours of the reporting period that the unit operated with breakers closed to the station bus. The sum of the hours the generator was on line plus the total outage hours should equal the gross hours in the reporting period.

**APPENDIX A
OPERATING DATA REPORT**

DOCKET NO. _____
UNIT NAME _____
DATE _____
COMPLETED BY _____
TELEPHONE _____

(This report should continue to be furnished on a monthly basis by licensees.)

REPORTING PERIOD _____
(Month/Year)

<u>MONTH</u>	<u>YEAR TO DATE</u>	<u>CUMULATIVE</u>
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5. Unit Reserve Shutdown Hours.
The total number of hours during the gross hours of the reporting period that the unit was removed from service for economic or similar reasons but was available for operation.
6. Net Electrical Energy (MWH).
The gross electrical output of the unit measured at the output terminals of the turbine-generator minus the normal station service loads during the gross hours of the reporting period, expressed in megawatt hours. Negative quantities should not be used.

APPENDIX B
UNIT SHUTDOWNS

DOCKET NO. _____
UNIT NAME _____
DATE _____
COMPLETED BY _____
TELEPHONE _____

REPORTING PERIOD: _____
(Month/Year)

NO.	DATE	TYPE		DURATION (HOURS)	REASON (1)	METHOD OF SHUTTING DOWN (2)	CAUSE/CORRECTIVE ACTIONS
		F: FORCED	S: SCHEDULED				COMMENTS

SUMMARY:

(1) Reason

- A - Equipment Failure (Explain)
- B - Maintenance or Test
- C - Refueling
- D - Regulatory Restriction
- E - Operator Training/License Examination
- F - Administrative
- G - Operational Error (Explain)
- H - Other (Explain)

(2) Method

- 1 - Manual
- 2 - Manual Trip/Scram
- 3 - Automatic Trip/Scram
- 4 - Continuation
- 5 - Other (Explain)

UNIT SHUTDOWNS

INSTRUCTIONS

All plant shutdowns that have occurred during the report period should be identified. The **COMMENTS** column should be used to provide additional information when the coded columns are not sufficiently descriptive. Please do not add to the list of codes or legends now furnished. Similarly, do not add additional columns.

NUMBER - This column should indicate the sequential number assigned to each shutdown for the calendar year. When a shutdown begins in one report period and ends in another, an entry should be made for both report periods to ensure that all shutdowns are reported. Until a unit has achieved its first power generation, no number should be assigned to each entry.

DATE - This column should indicate the date of the start of each shutdown, in the following numerical format: YYMMDD, where YY is the year, MM is the month and DD is the day. When a shutdown begins in one report period and ends in another, an entry should be made for both report periods to ensure that all shutdowns are reported.

TYPE - Use "F" or "S" in this column to indicate either a "Forced" or "Scheduled" shutdown, respectively, for each shutdown. Forced shutdowns include those required to be initiated by no later than the weekend following the discovery of an off-normal condition. It is recognized that some judgment is required in categorizing shutdowns in this way. In general, a forced shutdown is one that would not have been completed in the absence of the condition for which corrective action was taken.

DURATION (Hours) - Self explanatory. When a shutdown extends beyond the end of a report period, count only the time to the end of the report period and pick up the ensuing downtime in the following report period. Report duration of outages rounded to the nearest tenth of an hour to facilitate summation. The sum of the total outage hours plus the hours the generator was on line should equal the gross hours in the reporting period.

REASON - Categorize by letter designation from the table appearing on the report form. If category H (Other) must be used, provide brief, supplementary comments.

METHOD OF SHUTTING DOWN THE REACTOR - Categorize by number designation from the table appearing on the report form. If Category 5 (Other) must be used, provide brief, supplementary comments.

CAUSE/CORRECTIVE ACTIONS/COMMENTS - Use this column to amplify or explain the reasons for each shutdown, with the corrective action taken, if appropriate. The Comments column entries should provide identification of each shutdown that occurs as a direct result of an event for which a licensee event report has been or will be submitted. (This information may not be immediately evident for all such shutdowns, of course, since further investigation may be required to ascertain whether or not a licensee event report was involved.) When a direct correlation can be made between a given shutdown and a specific licensee event report, the Comments column entry should state the licensee event report number and date.

SUMMARY: - Write a brief summary description (3 to 4 sentences) of the highlights of operation of the unit for the reporting month.

LIST OF RECENTLY ISSUED GENERIC LETTERS

Generic Letter	Subject	Date of Issuance	Issued To
97-01	DEGRADATION OF CONTROL ROD DRIVE MECHANISM NOZZLE AND OTHER VESSEL CLOSURE HEAD PENETRATIONS	04/01/97	ALL HOLDERS OF OLs FOR PRESSURIZED WATER REACTORS, EXCEPT THOSE WHO HAVE PERMANENTLY CEASED OPERATIONS AND HAVE CERTIFIED THAT FUEL HAS BEEN PERMANENTLY REMOVED FROM THE REACTOR VESSEL
95-06, SUPP. 1	CHANGES IN THE OPERATOR LICENSING PROGRAM	02/31/97	ALL HOLDERS OF OLs (EXCEPT THOSE LICENSEES OF PERMANENTLY SHUTDOWN REACTORS WHO ARE NO LONGER REQUIRED TO UTILIZE LICENSED REACTOR OPERATORS) FOR NPRs
96-07	INTERIM GUIDANCE ON TRANSPORTATION OF STEAM GENERATORS	12/05/96	ALL HOLDERS OF OLs AND DECOMMISSIONING FACILITIES WITH POSSESSION-ONLY LICENSES FOR PRESSURIZED-WATER NPRs
96-06	ASSURANCE OF EQUIPMENT OPERABILITY AND CONTAINMENT INTEGRITY DURING DESIGN-BASIS ACCIDENT CONDITIONS	11/13/96	ALL HOLDERS OF OLs FOR NPRs, EXCEPT FOR THOSE LICENSES THAT HAVE BEEN AMENDED TO POSSESSION-ONLY STATUS

OL = OPERATING LICENSE
CP = CONSTRUCTION PERMIT
NPR = NUCLEAR POWER REACTORS

If you have any questions about this matter, please contact one of the technical contacts listed below.

original signed by
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 Office of Nuclear Reactor Regulation

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Attachments:

1. Monthly Operating Report Contents
2. List of Recently Issued NRC Generic Letters

Tech Editor has reviewed and concurred on 03/20/97

DOCUMENT NAME: 97-02.GL *SEE PREVIOUS CONCURRENCES

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