November 18, 1996

The Honorable Shirley Ann Jackson
Chairman
U.S. Nuclear Regulatory Commission
Washington, D.C. 20555-0001

Dear Chairman Jackson:

SUBJECT: PLANT-SPECIFIC APPLICATION OF SAFETY GOALS

During the 436th meeting of the Advisory Committee on Reactor Safeguards, November 7-9, 1996, we discussed the application of Safety Goals on a plant-specific basis. This subject was also discussed at meetings of our Joint Subcommittees on Probabilistic Risk Assessment and Plant Operations on July 17-18, 1996, and of our Subcommittee on Probabilistic Risk Assessment on August 7, 1996. We also had the benefit of the documents referenced.

In a Staff Requirements Memorandum dated June 11, 1996, we were requested to provide recommendations on how the Commission's Safety Goals and Safety Goal Policy should be revised to make them acceptable for use on a plant-specific basis.

The Safety Goal Policy Statement made it clear that the Quantitative Health Objectives (QHOs) and the subsidiary Core Damage Frequency (CDF) goal were to provide standards for the NRC staff to judge the overall effectiveness of the regulatory system. That is, if the risk posed by the population of plants on the average proved to be less than the Safety Goals, then the staff (and presumably the public) would deem that the regulatory system had functioned appropriately to protect the health and safety of the public.

The Safety Goals quantified "how safe is safe enough" for the population of U. S. plants. For an individual plant, however, the acceptable level of risk is determined by the concept of "adequate protection," which in the final analysis means compliance with the body of regulations. Risk-informed analyses would provide a more rational basis for making regulatory decisions regarding plant-specific requests for exemptions from the rules or for changes to the licensing basis, and the acceptability of new regulations.

In our August 15, 1996 report, we stated: "the safety goals and subsidiary objectives can and should be used to derive guidelines for plant-specific applications. It is, however, impractical to rely exclusively on the Quantitative Health Objectives (QHOs) for routine use on an individual plant basis. Criteria based on core damage frequency (CDF) and large, early release frequency (LERF) focus more sharply on safety issues and can provide assurance that the QHOs are met."

In developing plant-specific criteria, it is important to consider the regulatory needs in the near future and to ensure that the process will be evolutionary rather than so revolutionary that it might discourage the licensees from using this approach. It appears that most of the anticipated licensee requests for changes to their current licensing basis will deal with Level 1 probabilistic risk assessment (PRA) issues, e.g., inservice inspection, extension of allowed outage times. Furthermore, most licensees have only recently familiarized themselves with Level 1 PRA methodology for the narrow regime of power operations. They are just beginning to integrate findings of such Level 1 risk assessments with the safe operation of their plants. Even the NRC staff is still coming to grips with the implications of Level 1 risk assessment results for regulation of nuclear plants. Many licensees do not have access to the technologies for facile conduct of full-scope Level 2 or Level 3 PRAs that treat power operations, low power/shutdown operations, as well as accidents initiated by external events. Commonly accepted standards for such extensive, in-depth analyses do not exist.

An evolutionary and pragmatic approach for using Safety Goals on a plant-specific basis would be to use the CDF as the primary criterion for evaluating proposed changes along with a qualitative or quantitative evaluation of the possible Level 2 and Level 3 PRA issues raised by these changes. For a quantitative analysis, the following two options are offered:

1) Full-scope Level 2 PRA (with fission product transport capability).

To use this option, a conservative value for a LERF criterion must be determined. This value, along with the CDF criterion, will provide an acceptable basis for decisionmaking. We note that both the NRC staff and the Electric Power Research Institute, in its, "PSA Application Guide," are proposing the use of LERF as an acceptance criterion.

2) Full-scope Level 2 PRA (without fission product transport capability).

To use this option, conservative values for early containment failure frequency criteria for different reactor designs must be determined. These values, along with the CDF criterion, will provide an acceptable basis for decisionmaking.

In the longer term, we believe the agency should move beyond the evaluation of risk associated with proposed changes to individual plant licenses and apply the Safety Goals to assess the acceptability of plant-specific risk. This could be done in terms of the QHOs, along with the CDF, or in terms of the CDF and LERF. To use the QHOs directly, it would be necessary to have full-scope Level 3 PRAs. We believe that the use of Level 3 PRAs in the future should be encouraged.

Sincerely,

/s/

T. S. Kress
Chairman

References:

1. Staff Requirements Memorandum dated June 11, 1996, from John Hoyle, Secretary, NRC, to John T. Larkins, Executive Director, ACRS, Subject: Meeting with ACRS, Friday, May 24, 1996
2. ACRS report dated August 15, 1996, from T. S. Kress, Chairman, ACRS, to Shirley Ann Jackson, Chairman, NRC, Subject: Risk-Informed, Performance-Based Regulation and Related Matters
3. Electric Power Research Institute Report TR-105396, "PSA Application Guide," prepared by ERIN Engineering and Research, Inc., August 1995