

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		<b>LEAVE BLANK (NARA Use Only)</b>	
TO: <b>NATIONAL ARCHIVES AND RECORDS ADMINISTRATION</b> WASHINGTON, DC 20408		JOB NUMBER <b>N1-431-08-15</b>	
1. FROM (Agency or establishment) <b>U.S. Nuclear Regulatory Commission</b>		DATE RECEIVED <b>7/29/08</b>	
2. MAJOR SUBDIVISION or PROGRAM <b>Office of Nuclear Reactor Regulation</b>		<b>NOTIFICATION TO AGENCY</b> In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER <b>Deborah H. Armentrout, CRM</b> <i>DHA</i>	5. TELEPHONE <b>301-415-7228</b>	DATE <b>15 Oct 14</b>	ARCHIVIST OF THE UNITED STATES <i>[Signature]</i>

**6. AGENCY CERTIFICATION**

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

☒ is not required;

☐ is attached; or

☐ has been requested.

DATE <b>07/23/08</b>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Russell A. Nichols</i> for Margaret A. Janney, CRM/NS	TITLE <b>NRC Records Officer</b>
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7. Item No.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS or Superseded Job Citation	10. Action Taken (NARA Use Only)
	<p>Title: <b>POWER REACTOR OPERATING EXPERIENCE PROGRAM (ITP, ROE and HFIS)</b></p> <p>(See Attached Schedule)</p> <p><i>Ben J. [Signature]</i> <b>5/25/08</b> Program PMDA Director Date</p> <p><i>N. Sanchez</i> <b>7/15/08</b> Office of General Counsel Date</p>	NC1-431-81-5, Item 4.1.2 N1-431-00-19, Item 2, N1-431-87-1, Item 1 N1-431-00-19, Item 1 N1-431-00-8, Item 13.1 N1-431-00-8, Item 13.d NC1-431-81-5, Item 4.4.1 NC1-431-81-5, Item 4.4.7 NC1-431-81-5, Item 1.2.15.a, N1-431-00-6, Item 3.a (4) N1-431-00-17, Item 9.a NC1-431-81-5, Item 4.4.8 N1-431-008, Item 8	

**U. S. Nuclear Regulatory Commission  
POWER REACTOR OPERATING EXPERIENCE PROGRAM**

**POWER REACTOR OPERATING EXPERIENCE PROGRAM**

Three programs within NRC's Office of Nuclear Reactor Regulation (NRR) assist the NRC in evaluating and trending licensee performance issues over time. These systems are the Industry Trends Program (ITP), Reactor Operating Events (ROE) and Human Factors Information System (HFIS). The inputs to these evaluations are similar, while the evaluations themselves are focused on specific performance issues and causes.

- **INDUSTRY TRENDS PROGRAM (ITP)**

The Industry Trends Program is a process which evaluates selected power reactor licensee submittals for cause and severity. The evaluation is performed under an NRC contract to guidelines promulgated by the NRC Inspection Manual, Chapter 0313. The ITP evaluations result in an annual assessment of the operating reactor safety performance and performance trends. No electronic information system has been developed for the ITP program.

- **REACTOR OPERATING EVENTS (ROE)**

The Reactor Operating Events is an electronic information system used to store information concerning events submitted by licensees and vendors and their evaluations for safety significance. The evaluations are performed by NRR. The staff briefs NRR management quarterly, including annual assessments of the safety performance and performance trends of the nuclear power industry, as appropriate, from data derived in part from ROE. ROE also provides a method for tracking assigned evaluations to NRR staff.

- **HUMAN FACTORS INFORMATION SYSTEM (HFIS)**

The Human Factors Information System is an electronic information system used to store and link to reports submitted by licensees and vendors and evaluations of these reports for events whose causes are related to human factors. The evaluations are performed by NRR and NRC contractors. The evaluations are retained in HFIS and used to trend performance issues and their causes over time.

**1) Inputs/Source Documents**

The inputs to these programs are collections of the following reports prepared and submitted by the power reactor licensees, vendors or NRC staff that describe an operating reactor or a nuclear material event. These reports are available to the public, NRC staff and contractors on the NRC web pages. The official NRC electronic records are contained in ADAMS or other currently approved record keeping system. These reports may include:

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**a) Official Notifications of Events** – Licensee and vendor reports of events with potential risk to the public specifically required by 10 CFR 50.72, 10 CFR 50.73, 10 CFR 50.55(e) and 10 CFR 21 and other NRC regulations, and including the associated case files. Notifications are made in accordance with the regulations and are submitted in different formats and after different elapsed times as appropriate to the content and significance of the event. Updates to these reports may be filed as supplemental information is received and evaluated. These reports include:

- Licensee Event Reports (LERs)
- Event Notifications (ENs)
- Inspection Reports (IRs).
- Abnormal Occurrence Case Files
- 10 CFR 21 Reports

**Disposition: PERMANENT.** Cut off at the end of the fiscal year. Transfer an electronic copy to the National Archives for pre-accessioning 5 years after cutoff. Transfer to the legal custody of the National Archives 20 years after cutoff in accordance with NARA Bulletin 2004-02 and NARA regulations at 36 CFR 1228.270 and destroy or delete the NRC copy of the files when no longer required for business purposes. This disposition supersedes: (IN PART)

- NC1-431-81-5, Item 4.1.2, and N1-431-00-19, Item 2, (NUREG 0910, Part 19, Item 3, "Case Study Report Files"),
- N1-431-87-1, Item 1 and N1-431-00-19, Item 1, (NUREG 0910, Part 19, Item 1, "Abnormal Occurrence Case Files"),
- N1-431-00-8, Item 13.1 (NUREG 0910, Part 19, Item 19, "Research Program Files"),
- N1-431-00-8, Item 13.d, (NUREG 0910, Part 18, Item 19, "Vendor Case Files").

2) **b) Early Notifications of Events--** Early notices of a significant event of possible safety or public interest prepared by NRC headquarters or regional staff based on telephone or other informal communications. The preliminary reports are *normally* followed up with an official notification (see above). These reports include:

- Morning Reports
- Preliminary Notification of Event or Occurrence.

**Disposition: TEMPORARY.** Cut off at the end of the calendar year. Destroy 5 years after cutoff. This disposition supersedes:

- NC1-431-81-5, Item 4.4.11 (NUREG 0910, Part 18, Item 8, "Morning Reports")
- NC1-431-81-5, Item 4.4.7, "Preliminary Notification of Event or Unusual Occurrence")

3) **c) Institute of Nuclear Power Operations (INPO) Reports**

1. **Monthly Operating Reports** – Monthly reports are submitted by the licensees to INPO through the Consolidated Data Entry (CDE) system, summarizing operating experience for the month. INPO provides quarterly information to the NRC staff on five specific categories, (1) safety limits, limiting safety system settings, and limiting control settings; (2) limiting conditions for operation (LCOs); (3) surveillance requirements; (4) design features; and (5) administrative.

**Disposition: TEMPORARY.** Cut off at the end of the fiscal year in which the evaluation is completed and verified. Destroy or delete the reports 5 years after cutoff or when no longer required for business purposes.

4) **2. Operational Radiation Exposure Report** - Monthly exposure summary reports are submitted by the licensees to INPO, summarizing facility radiation exposures for the month. INPO provides quarterly information to the NRC staff for trending purposes.

**NOTE:** Radiation exposure data for *individuals* are maintained in REIRS as permanent records (NC1-431-89-6, Item 1.c). Licensee submitted personnel monitoring reports and personnel overexposure reports are retained for 2 years after entry into REIRS (NC1-431-89-6, Item 1.a and N1-431-00-19, Item 9.a), or permanently if not placed into REIRS (NC1-431-89-6, Item 1.b and N1-431-00-19, Item 9.b). [Reference NUREG 0910, rev 4, Part 19, Items 14 and 16.]

**Disposition: TEMPORARY.** Cut off at the end of the fiscal year in which the evaluation is completed and verified. Destroy or delete the reports 5 years after cutoff or when no longer required for business purposes.

## 2) Master Files

### a) **Master File - Industry Trends Program (ITP)**

No electronic information system master file exists.

### b) **Master File -- Reactor Operating Events (ROE)**

#### 1. **Reported Information**

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- Licensee Information (Facility Name, Facility Type, Docket and License Number, Facility Location)
- Event Description (Subject, Narrative, Classification, Date/Time of Event, Descriptive Data, including reactor power status before and after the event)
- Notification Information (Reported by, Date and Time Reported, NRC Contacts)
- Documentation Cross-reference (ADAMS Number, Shared Drive Location)
- Status (Status, Date of Last Update)
- Regulatory citation for report

**Disposition: PERMANENT.** Cut off at the end of the fiscal year. Transfer an electronic copy to the National Archives for pre-accessioning one year after cutoff. Transfer to the legal custody of the National Archives 20 years after cutoff in accordance with NARA Bulletin 2004-02 and NARA regulations at 36 CFR 1228.270 and delete the NRC copy of the files when no longer required for business purposes.

#### 2. ~~Event Evaluation Tracking~~

- Evaluator Assigned
- Dates (Due Date and Completed Date)
- Link to associated records (ADAMS Number, Shared Drive Location)

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**Disposition: TEMPORARY.** Cut off when the evaluation has been completed. Destroy 2 years after cutoff or when no longer required for business reasons, whichever is later.  
[Reference GRS 23, Item 8, Tracking and Control Files]

### c) **Master File -- Human Factors Information System (HFIS)**

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- Licensee Information (Facility Name, Facility Type, Docket and License Number, Facility Location)
- Event Description (Subject, Narrative, Classification, Date/Time of Event, Descriptive Data)
- Documentation Cross-reference (ADAMS Number)
- Evaluated Cause Codes

**Disposition: PERMANENT.** Cut off at the end of each calendar year. Transfer electronic copy to the National Archives for pre-accessioning one year after cutoff. Transfer to the legal custody of the National Archives 20 years after cutoff in accordance with NARA Bulletin 2004-02 and NARA regulations at 36 CFR 1228.270, and delete the NRC copy of the files when no longer required for business purposes.

## 3) Outputs

The record copies of the reports are maintained in ADAMS, or other currently approved record keeping system.

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### a) **Outputs - Industry Trends Program (ITP)**

#### 1. **Source reporting evaluation and analysis reports from contractor**

- a. **Quarterly Submittals** -- Consists of a summary of the findings of the reviews of Licensee Event Reports (LERs) and other operational data and information submitted

by the contractor to NRC. The data is reported as statistical charts and graphs for the previous quarter.

**Disposition: TEMPORARY.** Cut off at end of the fiscal year. Destroy or delete when the Annual Report is received.

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- b. **Annual Report** – Consists of a summary of the findings of the reviews of Licensee Event Reports (LERs) and other operational data and information submitted by the contractor to NRC. The data is reported as statistical charts and graphs for the fiscal year.

**Disposition: TEMPORARY.** Cut off at end of the fiscal year. Destroy or delete 20 years after cutoff.

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2. **EDO Report to NRC Commissioners**

Annual report summarizing the review findings accumulated during the year submitted to The Commission.

**Disposition: PERMANENT.** Cut off at close of fiscal year. Transfer electronic copy to the National Archives for pre-accessioning one year after cutoff. Transfer to the legal custody of the National Archives 10 years after cutoff in accordance with NARA Bulletin 2004-02 and NARA regulations at 36 CFR 1228.270 and destroy or delete the NRC copy of the files. [Supersedes NC1-431-81-5, Item 1.2.15.a, and N1-431-00-6, Item 3.a (4), (NUREG 0910, Part 11, Item 3.a, "General Program Correspondence Files (at the Office Director Level)"]  
(SUPERSEDES IN PART)

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3. **NUREG -1542 Series, "NRC Performance and Accountability Report"**

Annual report to Congress that includes summary information on industry performance derived from the EDO Report.

**Disposition: PERMANENT.** Cut off at close of fiscal year. Transfer electronic copy to the National Archives for pre-accessioning one year after cutoff. Transfer to the legal custody of the National Archives 10 years after cutoff in accordance with NARA Bulletin 2004-02 and NARA regulations at 36 CFR 1228.270 and destroy or delete the NRC copy of the files. [Supersedes N1-431-00-17, Item 9.a] (SUPERSEDES IN PART)

b) **Outputs -- Reactor Operating Events**

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1. **ROE Evaluations**

Operating Experience Summaries and Issues for Resolution that summarize the evaluations performed by the Reactor Operating Experience staff using data from the ROE information system, and are used to inform management of emerging issues and performance trends.

**Disposition: PERMANENT.** Cut off at the end of the fiscal year. Transfer an electronic copy to the National Archives for pre-accessioning one year after cutoff. Transfer to the legal custody of the National Archives 20 years after cutoff in accordance with NARA Bulletin 2004-02 and NARA regulations at 36 CFR 1228.270, and destroy or delete the NRC copy of the files when no longer required for business purposes.

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2. **Public Documents on the NRC Public Web**

Documents published by the Reactor Operating Events program are placed on the NRC web pages. Source documents, such as ENs and Part 21 reports, are publicly available. Operating experience screening summaries, communications, and evaluations, such as Issues for Resolution and Operating Experience Summaries, are only available to NRC staff. Working copies are posted to the web for convenience and are managed by their individual records disposition schedules.

**Disposition: TEMPORARY.** Cut off and destroy the electronic version when removed from the web pages.

c) **Outputs -- Human Factors Information System**

**Annual HFIS Reports for Domestic Nuclear Power Plant**

13 Annual human factors performance comparisons are available for each licensee, including comparisons with total industry statistics. Documents published by the Human Factors Information System program are placed on the NRC web pages annually at <http://www.nrc.gov/reactors/operating/ops-experience/human-factors.html>.

**Disposition:** TEMPORARY. Cut off and destroy the electronic version when superseded and removed from the web pages.

4) **Program/System Documentation**

a) **ITP Documentation**

14 NRC Inspection Manual 0313, "Industry Trends Program" provides guidance for the preparation of the evaluations and the annual reports.

**Disposition:** PERMANENT. Cut off when superseded or cancelled. Transfer electronic copy to the National Archives for pre-accessioning one year after cutoff. Transfer to the legal custody of the National Archives 10 years after cutoff in accordance with NARA Bulletin 2004-02 and NARA regulations at 36 CFR 1228.270 and destroy the NRC copy of the files. [Supersedes in part NC1-431-81-5, Item 4.4.8 and N1-431-008, Item 8, (NUREG 0910, Part 18, Item 10, "NRC Inspection Manual")] N1-431-00-008 SBR 7/21/2014

b) **System Documentation -- ROE and HFIS**

System Documentation has been developed for ROE in accordance with NUREG/BR-0167, "Software Quality Assurance Program & Guidelines." The following work products are typical of the documentation developed and stored in Rational ClearCase:

- |                                       |                             |
|---------------------------------------|-----------------------------|
| • Data Dictionary                     | • Operational Support Guide |
| • Build and Installation Instructions | • Physical Design           |
| • Logical Design                      | • Training Material         |
| • Online Help                         | • User Guide.               |

1. **Initial and Revised Documentation.**

15 **Disposition:** TEMPORARY. Retain current revisions of these records in a controlled repository (e.g., Rational ClearCase or ADAMS) until development is complete and the software is operational. Transfer the final approved versions and subsequent revisions of these documents to ADAMS, or other currently approved record keeping system, in a format acceptable to the ADAMS Administrators and Records Officer. Cut off and destroy when the documents are superseded and the revisions placed in ADAMS or other record keeping system.

2. ~~Final System Documentation~~

GRS 20.11.4(2) SBR 7/21/2014

**Disposition:** PERMANENT. Cut off files at end of fiscal year or when superseded or ROE is decommissioned. Transfer electronic copy to the National Archives for pre-accessioning one year after cutoff with the associated Master files (Items 2.b and 2.c). Transfer to the legal custody of the National Archives 20 years after cutoff in accordance with NARA Bulletin 2004-02 and NARA regulations at 36 CFR 1228.270 and destroy the NRC copy of the files when no longer required for business purposes.

## **Attachment A**

### **BACKGROUND**

These three information systems are maintained by NRR.

#### **INDUSTRY TRENDS PROGRAM (ITP)**

The Industry Trends Program (ITP) allows NRC to monitor the safety performance of the United States' power reactors and to evaluate the need to take corrective action to correct an adverse trend. The ITP evaluations and data displays are performed by the Idaho National Laboratory (INL) for the NRC. INL provides a quarterly report to NRR showing the results of the evaluations performed and an annual summary for the fiscal Year. The annual report is used by NRC to prepare portions of a report for the NRC Commissioners which in turn is used to provide industry performance results to Congress via NUREG-1542, "Performance and Accountability Report."

The official NRC records are the EDO report to The Commission and the NUREG -1542 Series status report for Congress. These records are maintained in electronic formats in ADAMS or other approved record keeping system.

NUREG-1542 is published annually to document these evaluations and report any statistically significant adverse trends in nuclear industry safety performance. NRC Inspection Manual Chapter 0313 contains the criteria for the evaluation of the input submittals and summary reporting for the ITP submittal packages. The Program Authority for ITP is 10 CFR 50.72.

Dates: Industry performance data have been collected and evaluated since before 1996. The ITP was started in 2001 as a way to establish the existence of any statistically significant adverse trends in nuclear industry safety performance.

#### **REACTOR OPERATING EVENTS (ROE)**

The Reactor Operating Events (ROE) allows NRC to monitor the safety performance of the United States' power reactors and nuclear materials handling licensees, and to evaluate the need to take corrective action to correct an adverse trend. Authorized ROE users are provided an account to control access to the information. Quarterly ROE event evaluations and data displays are created by NRR staff for presentation to NRR management and in developing guidance to licensees in the form of Information Notices or other similar regulatory communications.

The official NRC records contained in ROE are the event reports and NRR staff evaluations of the events for safety significance. These reports are managed within ADAMS and linked to ROE by the ADAMS "Main Library (ML) Number". Event reports (both 50.72 event notifications and 50.73 LERs) are maintained in electronic format on the web and evaluations are maintained in electronic formats in ADAMS (nonpublic) or other approved record keeping system.

A prior information system, Events Tracking System (ETS), was used to perform the same functions before 1985; information was transferred from ETS to ROE as part of the conversion to ROE. Part of the ETS, FOLIOS, provided hypertext retrieval capability. ROE does not have this capability; however, hypertext retrieval is available to the NRC staff through ADAMS or the web.

The Program Authority for ROE is 10 CFR Part 50 and other regulations.

Dates: Industry performance data have been collected and evaluated since before 1985. In 2001, the NRC replaced the ETS suite of programs with ROE to gain better computer performance and better methods of tracking and trending operating experience.

## **HUMAN FACTORS INFORMATION SYSTEM (HFIS)**

The Human Factors Information System (HFIS) allows the NRC to monitor the performance of the United States' power reactors considering human factors causes and to evaluate the need to take corrective action to correct an adverse trend. Authorized HFIS users are provided an account and password to control access to the information.

NRC created the Human Factors Information System (HFIS) Database to store information about human performance issues occurring during events at nuclear power plants. Information in HFIS is used to assist in programmatic oversight of training, procedures, safety culture, human-system interface, communication, and inspections. Data is added to the system approximately 3 months after data input documents are entered into ADAMS. Information is collected from only Inspection Reports (IRs) and Licensee Event Reports (LERs). Every IR and LER is reviewed to determine if there are any human performance issues/problems based on the information provided. If there are issues identified, they are coded and entered into HFIS with additional codes indicating the personnel involved, the work type, and the problem or issue. Additional information pertaining to the Human Factors program and HFIS coding scheme are available at NRC's external Human Factors web site [<http://www.nrc.gov/reactors/operating/ops-experience/human-factors.html> ].

The official NRC records contained in HFIS are the evaluations of the event reports and Inspection reports for Human Factor contributing causes. The results of the evaluations are coded into one or more of the following areas.

- Training
- Fitness for Duty
- Oversight
- Communication
- Procedures and Reference Documents
- Problem Identification & Resolution
- Human - System Interface and Environment
- Work Planning and Practices.

More detailed sub-codes are also recorded in HFIS as they are determined.

The program authority for HFIS is 10 CFR Part 50 and other regulations.

Dates: Human Factors data have been collected and evaluated since 1997.