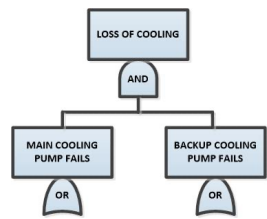


Event Tree session 3 of 4

Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst

Present event tree analysis basics
with examples and case studies

Howard Lambert
FTA Associates
2022

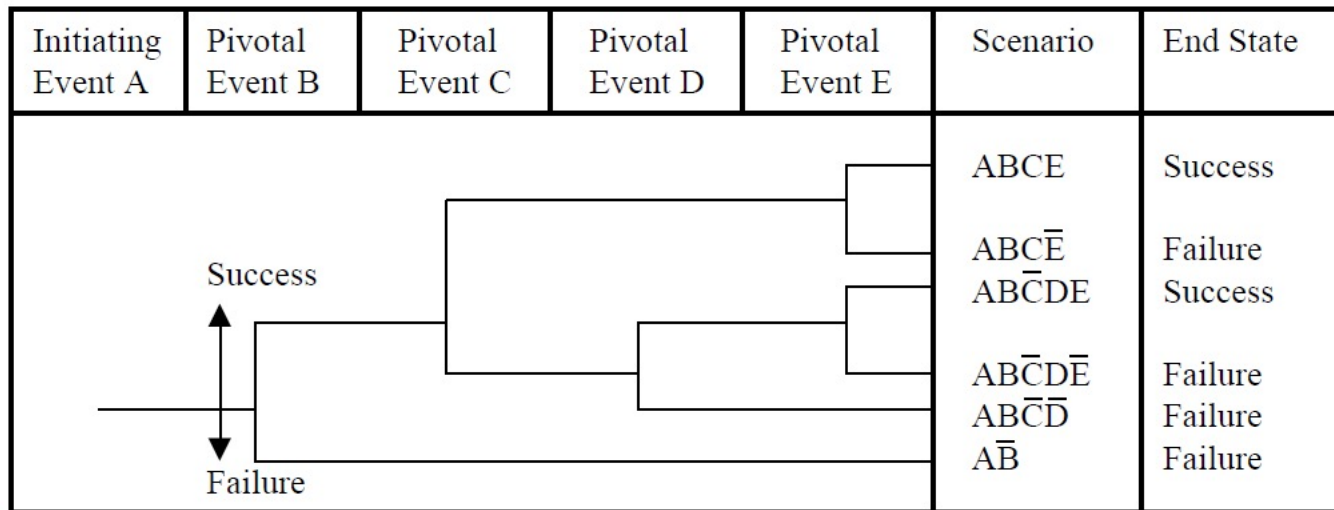


Event Tree Basics – Pivotal Events

Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst

Event Tree Basics

22





Event Tree Construction

Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst

Event Occurs

System A Works

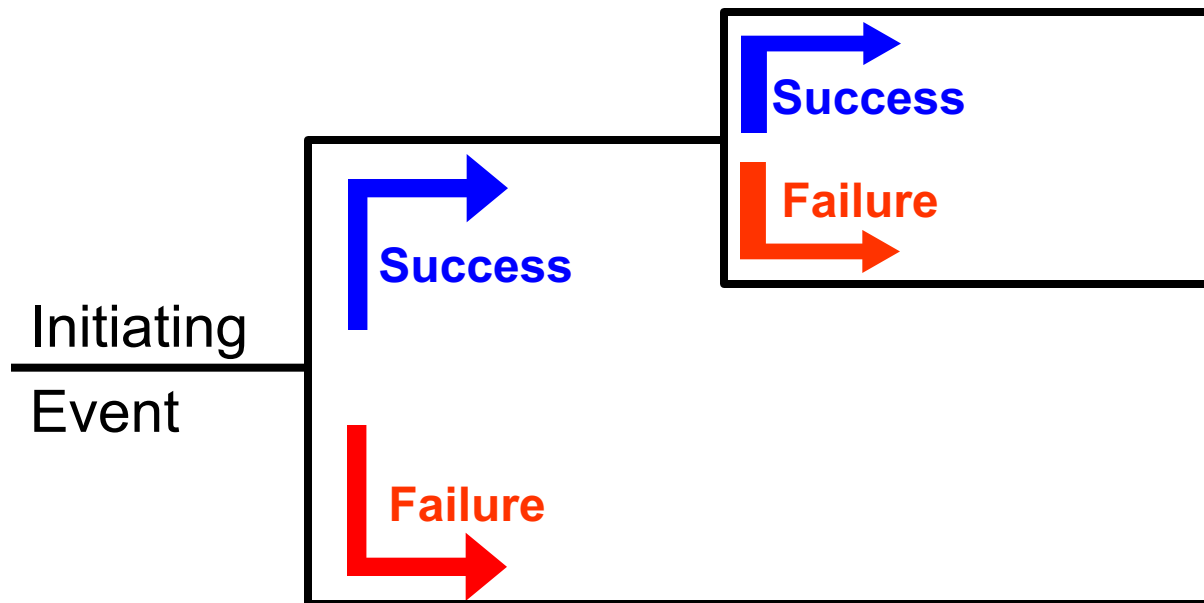
System B Works

End State

Systems A & B Success

System A Success & System B Failure

System A Failure
System B Not Asked

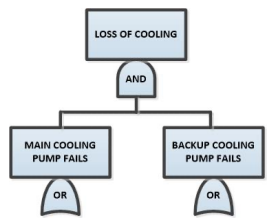




Event Tree Construction Methods

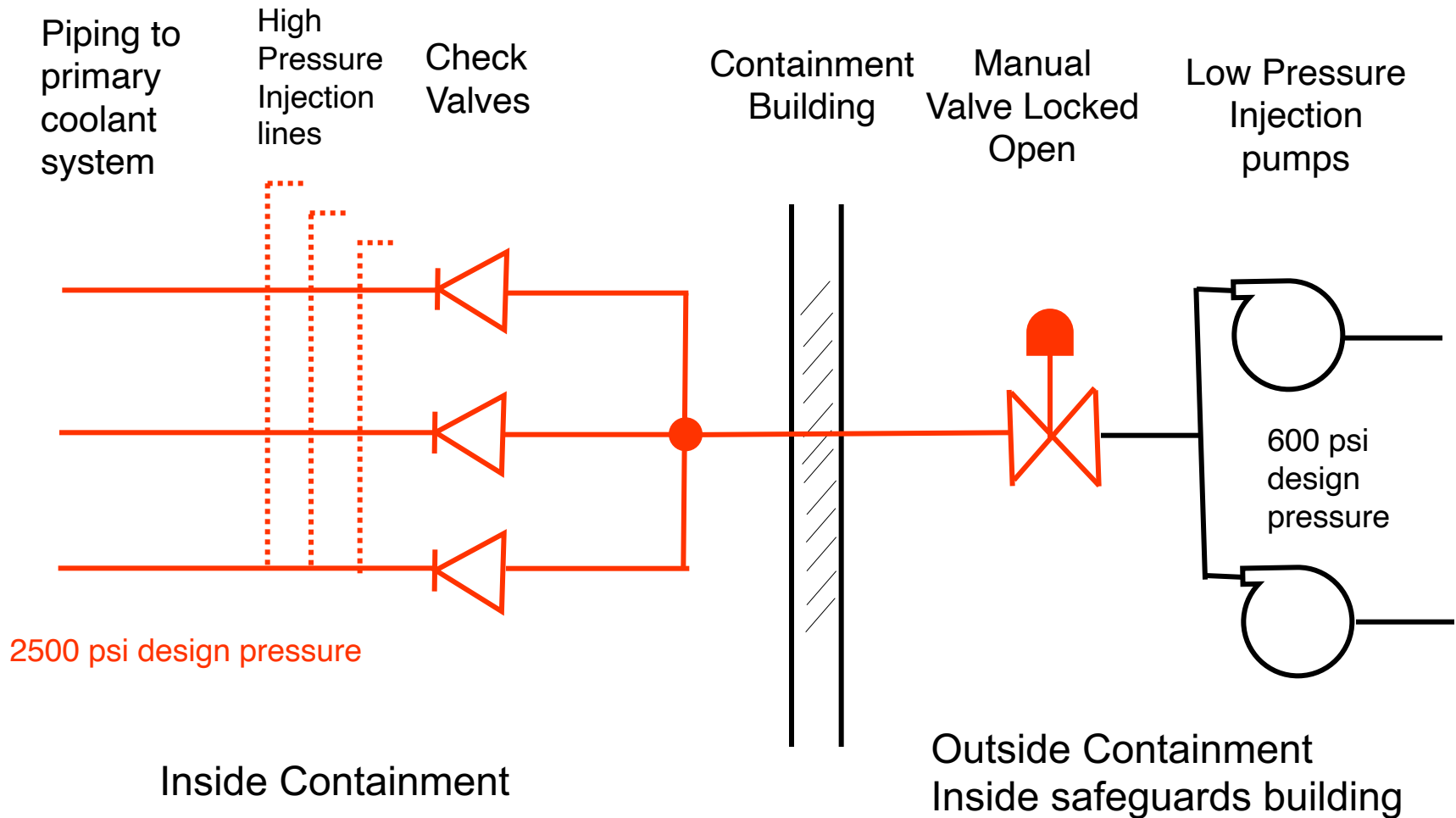
Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst

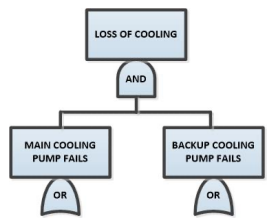
- There are no prescribed methods to include headings on the event tree such as failure of systems, controls, etc and subsequent ordering that are to be incorporated in event tree construction
- Construction of the event tree depends upon the discretion of the analyst
 - For example, including support systems on the heading or including them in the fault trees for the front-line systems
 - The analyst must determine the level of detail to be presented either in event trees or in the fault trees or a combination
- Parallel sequences require separate event trees



Simplified Low Pressure Injection System

Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst





LPIS Fix – Two Check Valves in Series

Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst

Piping to primary coolant system

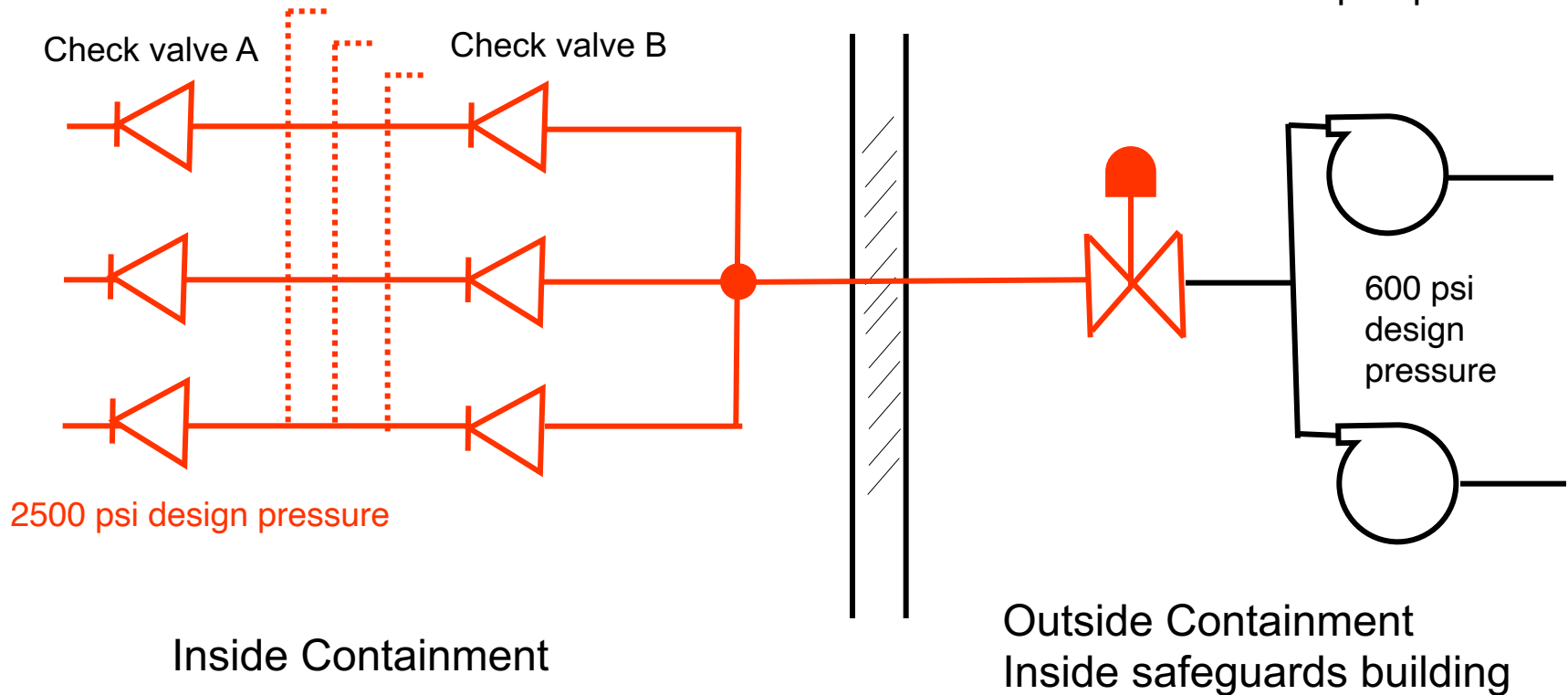
High Pressure Injection lines

Check Valves

Containment Building

Manual Valve Locked Open

Low Pressure Injection pumps

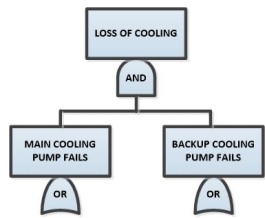




Notation

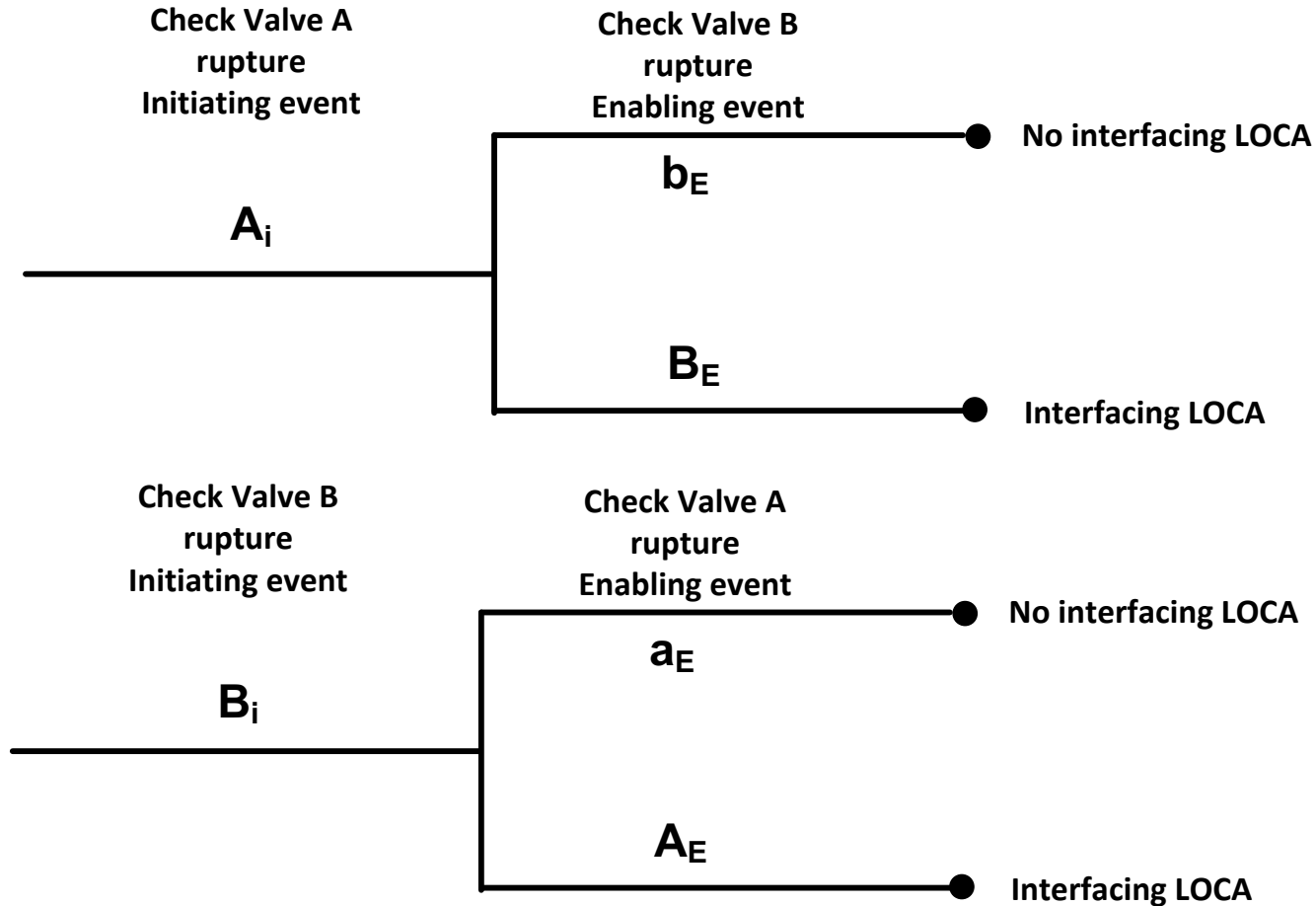
Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst

- Check valve failure is a gross internal rupture of the check valve
- For a two check valve system, the check valve that fails first is the enabling event
- The check valve that fails second is the initiating event that causes the interfacing LOCA
- Two parallel sequences

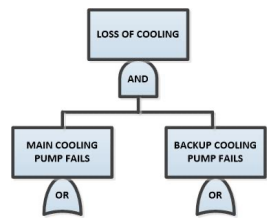


Interfacing LOCA event trees

Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst



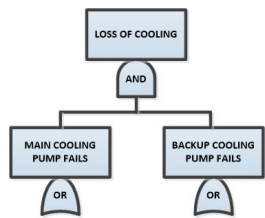
$P(B_i)P(A_e | B_i) > P(A_i)P(B_e | A_i)$ Law of Conditional Probability does not hold!!



Interfacing LOCA Insights

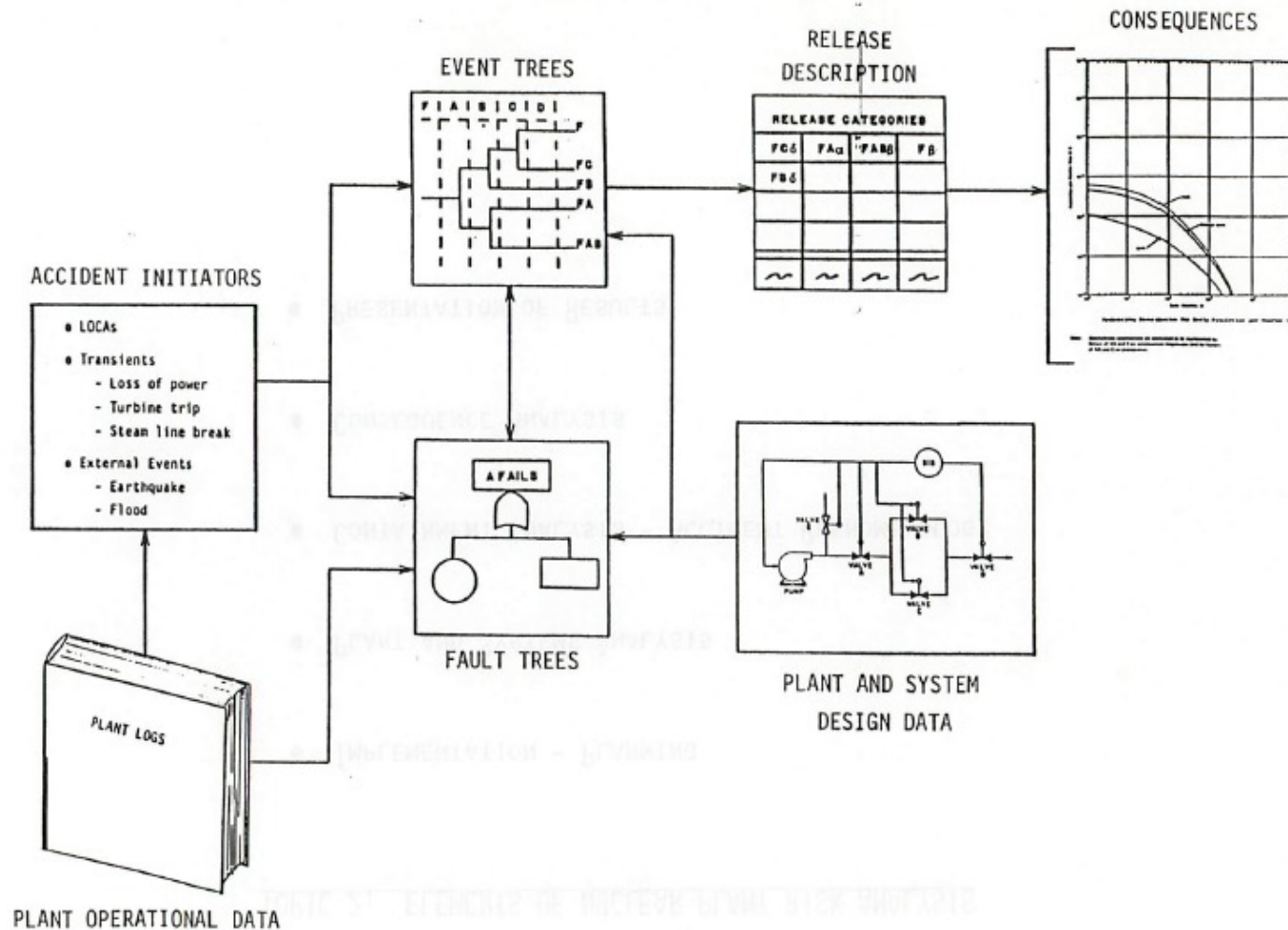
Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst

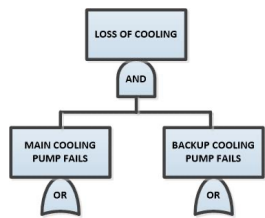
- Interfacing LOCA results in releases that bypass containment and render coolant makeup and core heat removal systems ineffective (called event V in nuclear power plant PRAs)
- Single check valve failure was a single point failure for Surry – double check valves were placed in series – Important finding and recommendation of the Reactor Safety Study that was not publicized
- Two interfacing LOCA event trees were not equivalent – Laws of Conditional Probability does not hold.
- If the high-pressure check valve A fails first (enabling event) this puts additional stress on the low-pressure check valve B – the reverse is not true, if the low-pressure check valve B fails first it does not put additional stress on the high-pressure check valve A.
- If the ordering of event headings on the event tree result in different conditional probabilities, then separate event trees need to be generated as shown for the interfacing LOCA example – another finding of the Reactor Safety Study



Nuclear Power Plant PRAs

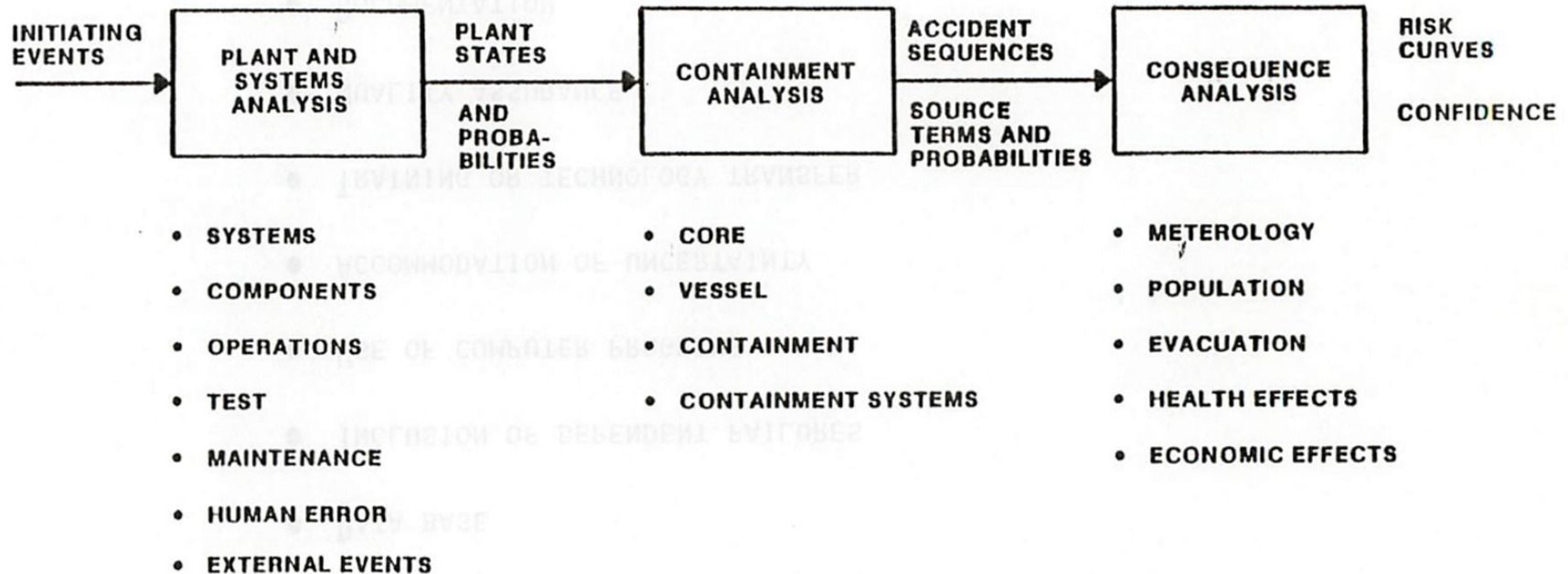
Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
I_E	$1 - P_A$	$1 - P_B$	$I_E \times (1 - P_A) \times (1 - P_B)$	Most Favorable
		P_B	$I_E \times (1 - P_A) \times P_B$	Intermediate
	P_A	$1 - P_B$	$I_E \times P_A \times (1 - P_B)$	Intermediate
		P_B	$I_E \times P_A \times P_B$	Worst

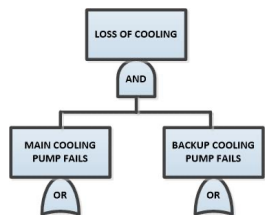




PRA Flowchart

Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst





Overview of Level-1/2/3 PRA

Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst

CDF –
Core
Damage
Frequency

Input	Analysis	Results
Level 1 PRA:		
Initiating events	System Failures	CDF Sequences
Level 2 PRA:		
CDF Sequences	Plant Damage States Containment Failure	Source Term
Level 3 PRA:		
Source Term	Radiation transport Consequence Analysis	Early fatalities Latent cancers Population dose



PRA Framework – three levels

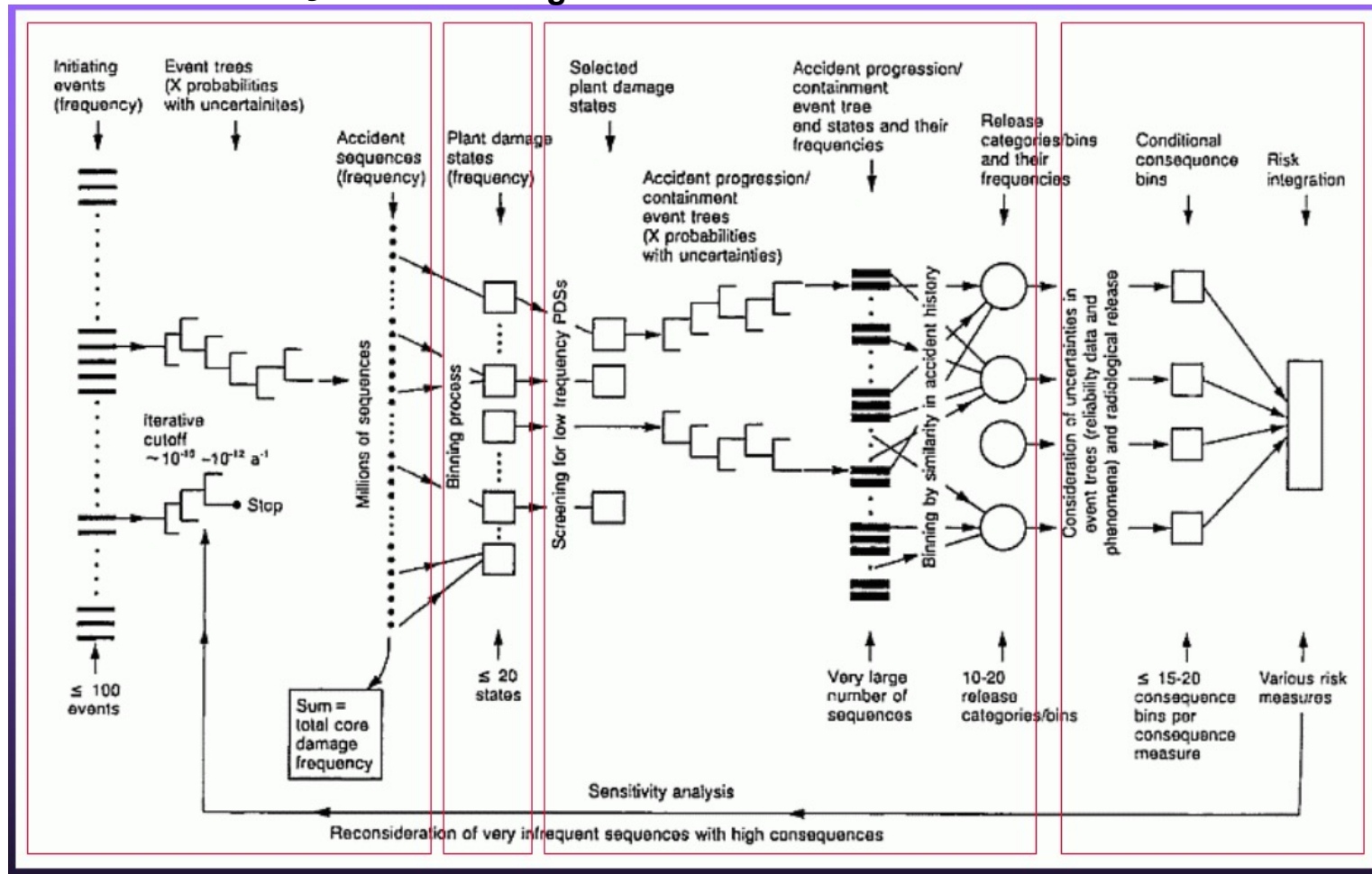
Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
I_E	$1-P_A$	$1-P_B$	$I_E \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$I_E \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$I_E \times P_A \times (1-P_B)$	Intermediate
		P_B	$I_E \times P_A \times P_B$	Worst

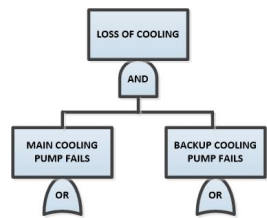
Level 1 Analysis

PDS Binning

Level 2 Analysis

Level 3 Analysis

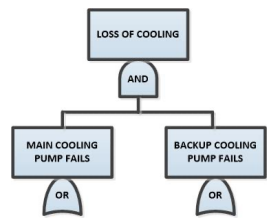




Introduction & Overview – Basic Definitions

Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst

- **Front Line System:** A front line system is a system that is directly used to provide a mitigating function in response to an initiating event. Generally, front line systems are modeled as functions in an accident sequence or event tree model.
- **Examples of Front Line Systems:**
 - Reactor Protection System (PWR, BWR)
 - Main Feedwater (PWR, BWR)
 - Auxiliary/Emergency Feedwater (PWR)
 - HPCI, RCIC, HPCS (BWR)
 - Residual Heat Removal (PWR, BWR)
 - Suppression Pool Cooling (BWR)

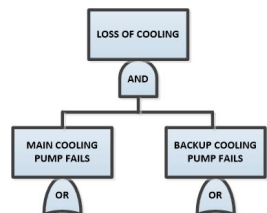


Introduction & Overview – Basic Definitions

Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst

- **Support System:** A support system is any system that is required for the operation of a front-line system but which, by itself, does not provide any mitigating function in response to an initiating event. Generally, support systems are modeled as internal transfers to the various front line system fault tree models.

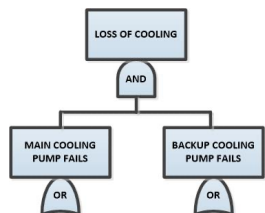
- **Examples of Support Systems:**
 - AC, DC Electric Power (PWR, BWR)
 - Service Water (PWR, BWR)
 - RBCCW, TBCCW Reactor Building, Turbine Building, component cooling water system (BWR)
 - Component Cooling Water (PWR)
 - Instrument Air, Station Air (PWR, BWR)



Generic Level 1 Event Tree

Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst

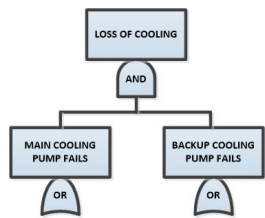
Initiating Event	Reactor Trip	Short term cooling	Long Term Cooling	END STATE	
				SEQ. No.	Description
IE	RX-TR	ST-CC	LT-CC		
				1	OK
				2	LATE-CORE DAMAGE
				3	EARLY-CORE DAMAGE
				3	ANTICIPATED TRANSIENT WITHOUT SCRAM -- ATWS



Success Criteria

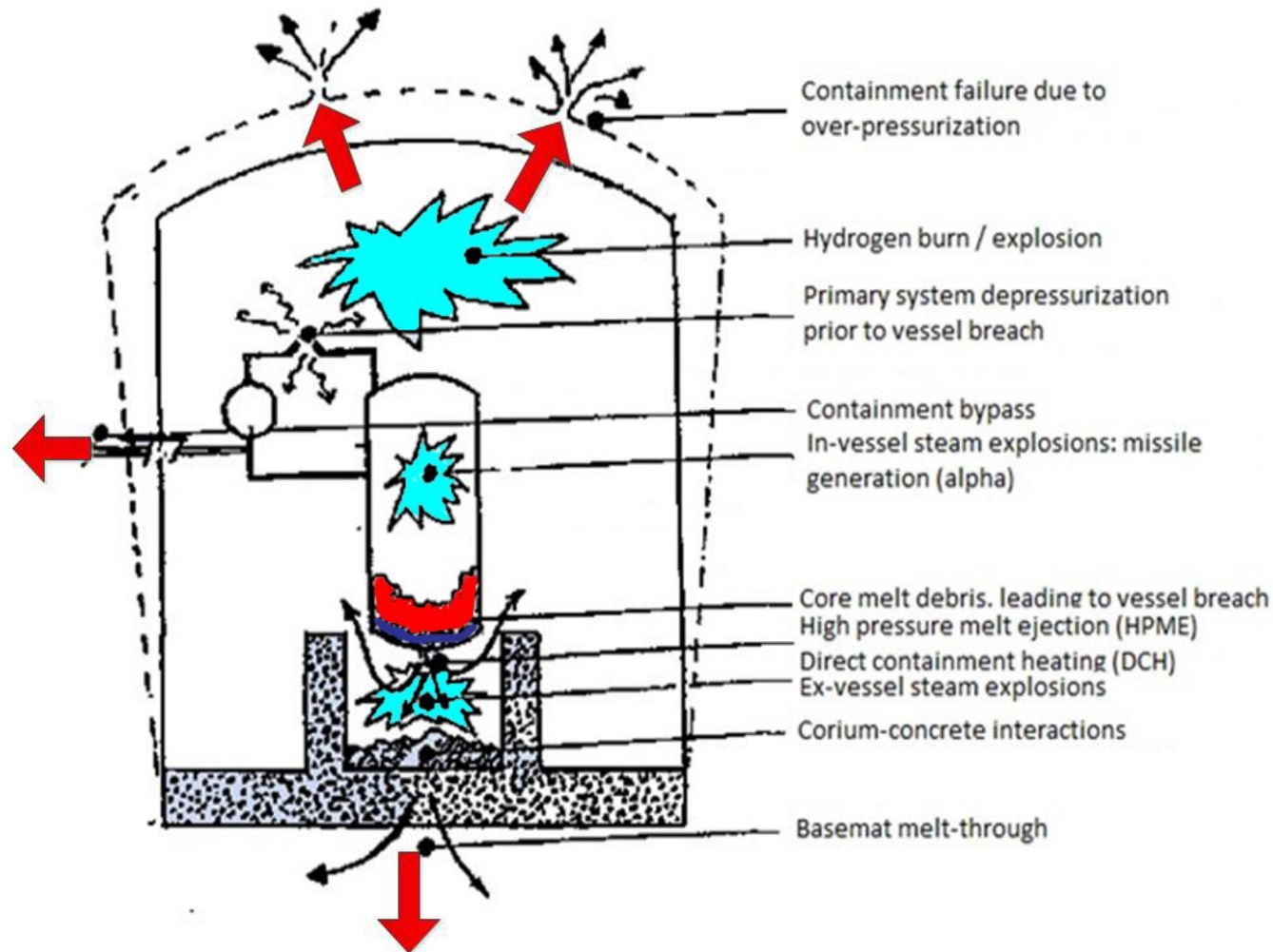
Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst

<i>IE</i>	<i>Reactor Trip</i>	<i>Short-Term Core Cooling</i>	<i>Long-Term Core Cooling</i>
<i>Transient</i>	<i>Auto Rx Trip or Man. Rx Trip</i>	<i>PCS or 1 of 3 AFW or 1 of 2 PORVs & 1 of 2 ECI</i>	<i>PCS or 1 of 3 AFW or 1 of 2 PORVs & 1 of 2 ECR</i>
<i>Loss of Coolant (LOCA)</i>	<i>Auto Rx Trip or Man. Rx Trip</i>	<i>1 of 2 ECI</i>	<i>1 of 2 ECR</i>



Severe Accident Phenomena in Containment

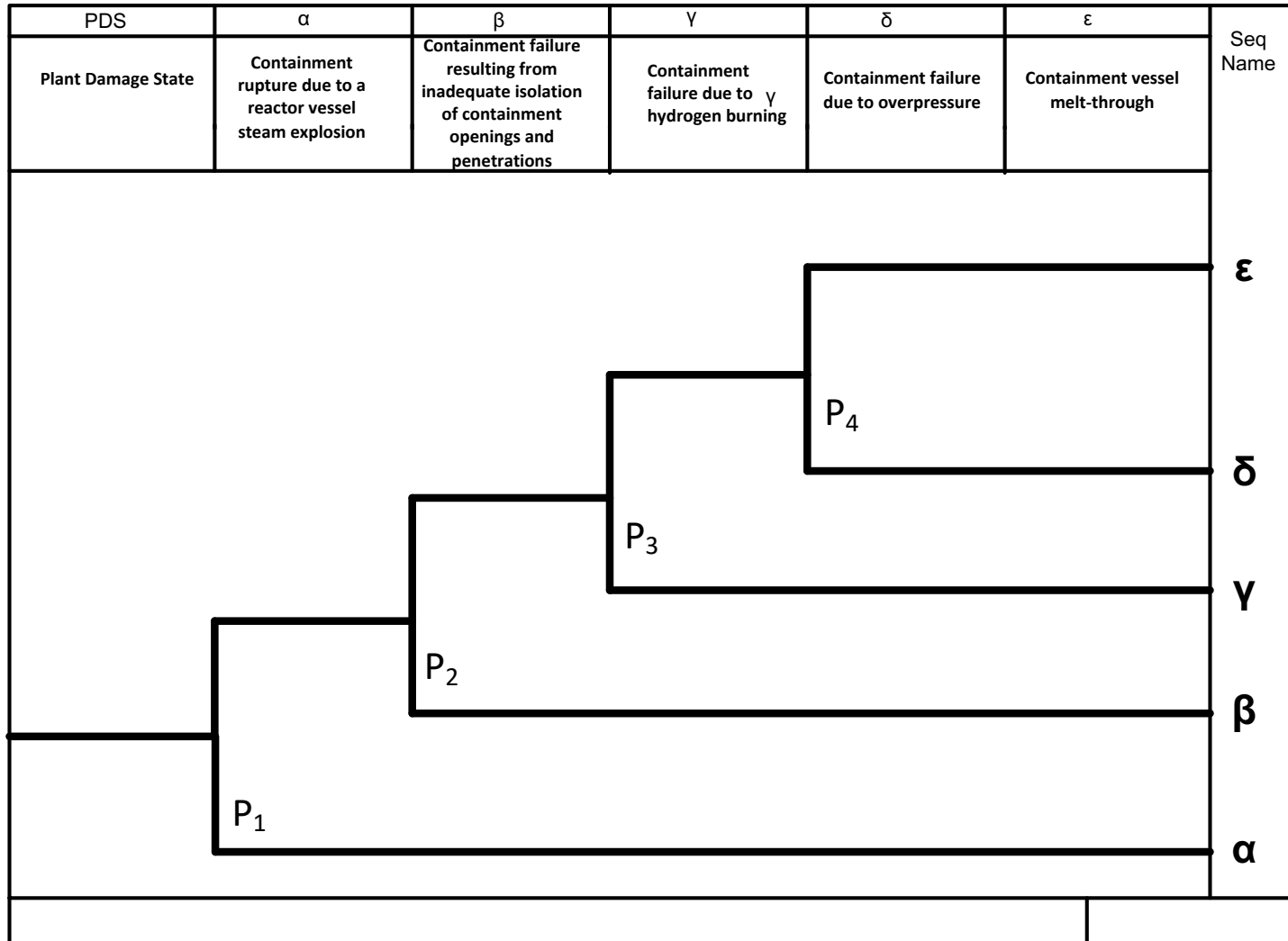
Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst





Containment Event Tree with end state probabilities – Reactor Safety Study

Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_1$	$1-P_2$	$IE_i \times (1-P_1) \times (1-P_2)$	Most Favorable
		P_2	$IE_i \times (1-P_1) \times P_2$	Intermediate
	P_1	$1-P_2$	$IE_i \times P_1 \times (1-P_2)$	Intermediate
		P_2	$IE_i \times P_1 \times P_2$	Worst



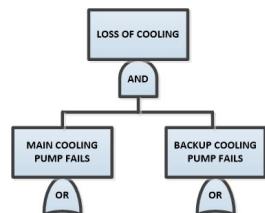
$$P_{\epsilon} = (1 - P_1)(1 - P_2)(1 - P_3)(1 - P_4)$$

$$P_{\delta} = (1 - P_1)(1 - P_2)(1 - P_3)P_4$$

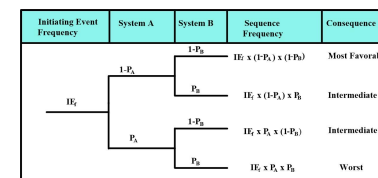
$$P_{\gamma} = (1 - P_1)(1 - P_2)P_3$$

$$P_{\beta} = (1 - P_1)P_2$$

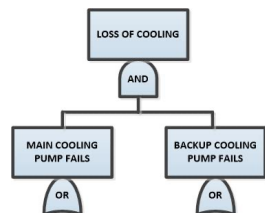
$$P_{\alpha} = P_1$$



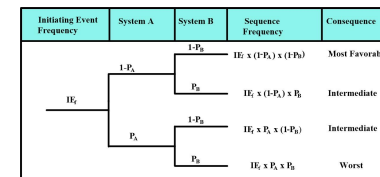
Plant Functions vs Front Line Systems Matrix



	Reactor Protection System	Power Conversion System	High Pressure Injection System	Low Pressure Injection System	Accumulator System	Auxiliary Feedwater System	Recirculation System	Quench Spray System	Primary SRV System	Secondary SRV System	Reactor Coolant Pump Seal
Reactor Sub criticality	X		X								
Normal Cooldown		X									
Emergency Core Cooling (Early)			X	X	X	X			X	X	X
Emergency Core Cooling (Late)			X				X				
Containment Heat Removal							X				
Containment Overpressure Protection (Early)								X			
Containment Overpressure Protection (Late)							X				

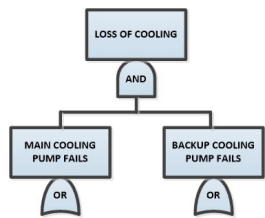


Front Line Systems vs Support Systems Matrix



	Eng. Safety Fact. Act. System	AC Power System	DC Power System	Charging Pump Cooling System	Safety Injection Pump Cooling System	Reactor Pump Comp. Coolant Water	Turbine Pump Comp. Coolant Water	Circulating Water System	Service Water System
Reactor Protection System	X		X						
Power Conversion System		*	X				X	X	
High Pressure Injection System	X	X	X	X	X				
Low Pressure Injection System	X	X	X						
Accumulator System									
Auxiliary Feedwater System	X	X	X						
Recirculation System	X	X	X						X
Quench Spray System	X	X	X						
Primary SRV System			X						
Secondary SRV System			X						
RCP Seal Cooling System							X		

*requires offsite power



Support Systems vs Support Systems Matrix

Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst

	Eng. Safety Feat. Act	AC Power System	DC Power System	Service Water System
Engineered Safety Features Actuation	**		X	
AC Power System	X	**	X	X
DC Power System			**	
Charging Pump Cooling System	X	X	X	X
Safety Injection Pump Cooling System	X	X	X	X
Reactor Plant Component Cooling Water System		X	X	X
Turbine Plant Water System		X	X	X
Circulating Water System		*	X	
Service Water System	X	X	X	**

* Requires offsite power

** Not Applicable



Identify Systems Capable of Fulfilling Functions

Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst

- For each initiating event (IE) identified
 - Which systems are capable of providing:
 - Reactor subcritical
 - Early core cooling (injection mode)
 - Late core cooling (recirculation mode)
- Specific success criteria need to be defined for each system



Success Criteria

Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst

- 3/4 accumulators injecting,
- 1/2 SI (safety injection) pumps injecting into 2/4 cold legs,
- and 1/4 containment fan coolers or 1/2 containment spray trains.



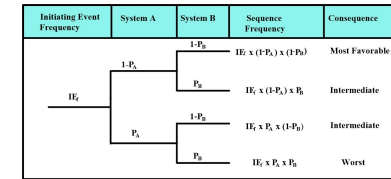
Event Tree Quantification Example – Station Blackout

Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1 - P_A$	$1 - P_B$	$IE_i \times (1 - P_A) \times (1 - P_B)$	Most Favorable
		P_B	$IE_i \times (1 - P_A) \times P_B$	Intermediate
	P_A	$1 - P_B$	$IE_i \times P_A \times (1 - P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst

- Station Blackout occurs when there is no motive AC power available
- Assume the nuclear power plant has three sources of motive AC power
 - Offsite power (preferred source)
 - Emergency Diesel Generator 1
 - Emergency Diesel Generator 2
- Compute annual frequency for three scenarios
 - Station blackout occurs and exceeds 4 hours, 8 hours and 24 hours



Loss of offsite power categories and frequencies



- Loss of offsite power (LOOP) is broken down into four categories for loss of offsite power annual frequency shown the table below from actual plant data (NUREG/CR-6890 VOL 2)

LOOP Power Category	LOOP offsite mean frequency	Probability non LOOP Recovery 4 hours	Probability non LOOP Recovery 8 hours	Probability non LOOP Recovery 24 hours
Plant centered	2.07E-03	4.77E-02	1.37 E-02	1.11E-03
Switchyard Centered	1.04E-02	7.86E-02	2.46E-02	2.25E-03
Grid Related	1.86E-03	1.54E-01	4.73E-02	3.42E-03
Weather Related	4.83E-03	3.82E-01	2.58E-01	1.14E-01
All	3.59E-02	1.57E-01	6.72E-02	1.79E-02



Emergency Diesel Generator Failure Data

Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst

- Probability EDG fails to start or run > 1 hour $8.0E-3$ (NUREG/CR-6928)
- Probability of repair given that the EDG fails to start or run (NUREG/CR-6890 VOL 2)

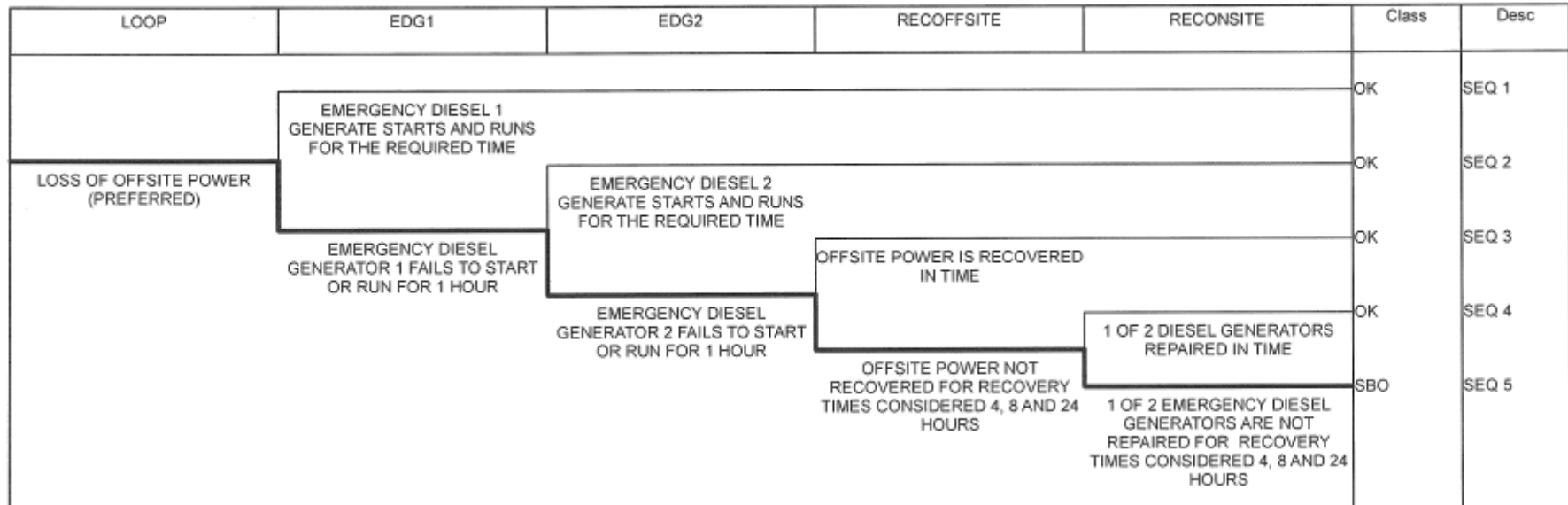
Duration hr	Probability of no diesel generator repair*
4	0.483
8	0.296
24	0.063

*Repair of one of two EDGs that is easiest to repair



Generic Station Blackout (SBO) Event Tree – Recovery times 4, 8 and 24 hours

Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst





Sequence 5 min cut set

Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst

1. Loss of offsite power (preferred)
2. Emergency diesel generator 1 fails to start or run for 1 hour
3. Emergency diesel generator 2 fails to start or run for 1 hour
4. Offsite power not recovered for recovery times considered 4, 8 and 24 hours
5. 1 of 2 emergency diesel generators are not repaired for recovery times considered 4, 8 and 24 hours



Sequence 5 min cut set quantification example

Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst

- Example – plant centered LOOP , duration time 4 hours
- Annual LOOP frequency -- 2.07×10^{-3}
- Both EDGs fail (alpha = 0.05)
 - $(8 \times 10^{-3} \times .95)^2 + 8 \times 10^{-3} \times .05$
 - $= 4.6 \times 10^{-4}$
- Probability of Failure to recover LOOP within 4 hours
- $= 4.77 \times 10^{-2}$
- Probability of failure to repair either EDG within 4 hours = 0.483
- Annual Frequency that LOOP occurs and exceeds 4 hours for a plant centered LOOP
- $= 2.07 \times 10^{-3} \times 4.6 \times 10^{-4} \times 4.77 \times 10^{-2} \times 0.483 = 2.2 \times 10^{-8}$

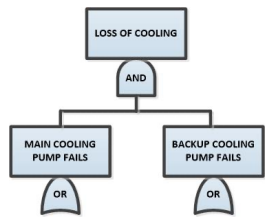
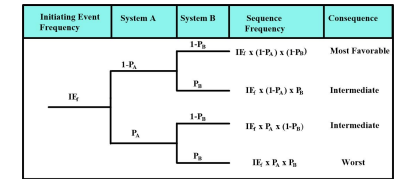
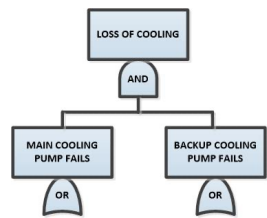


Table of Final Results for SBO Annual Frequency



LOOP Power Category	4 HOUR DURATION	IMPORTANCE	8 HOUR DURATION	IMPORTANCE	24 HOUR DURATON	IMPORTANCE
Weather Related	4.10E-07	60.54%	1.70E-07	77.00%	8.82E-09	90.47%
Switchyard Centered	1.82E-07	26.82%	3.48E-08	15.81%	6.78E-10	6.96%
Grid Related	6.36E-08	9.40%	1.20E-08	5.44%	1.84E-10	1.89%
Plant centered	2.19E-08	3.24%	3.86E-09	1.75%	6.66E-11	0.68%
All	6.77E-07	100.00%	2.20E-07	100.00%	9.75E-09	100.00%

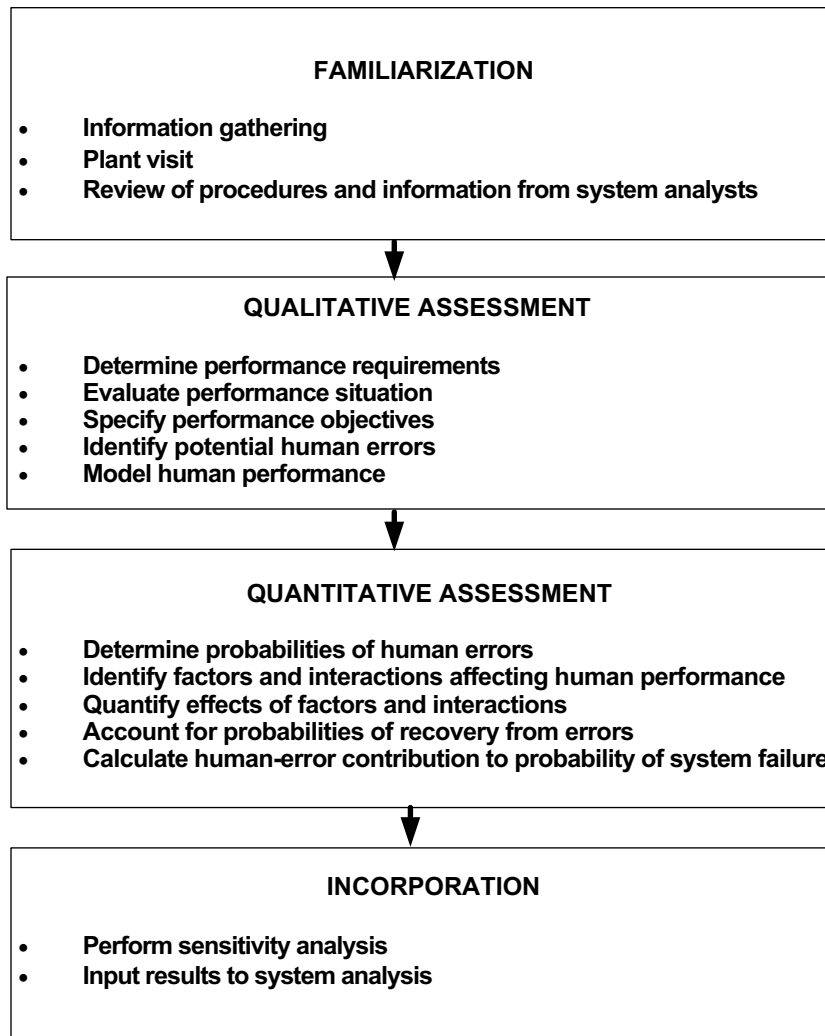
Weather related LOOP dominates probabilistically

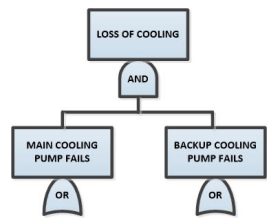


Human Reliability Analysis – THERP (first generation analysis)

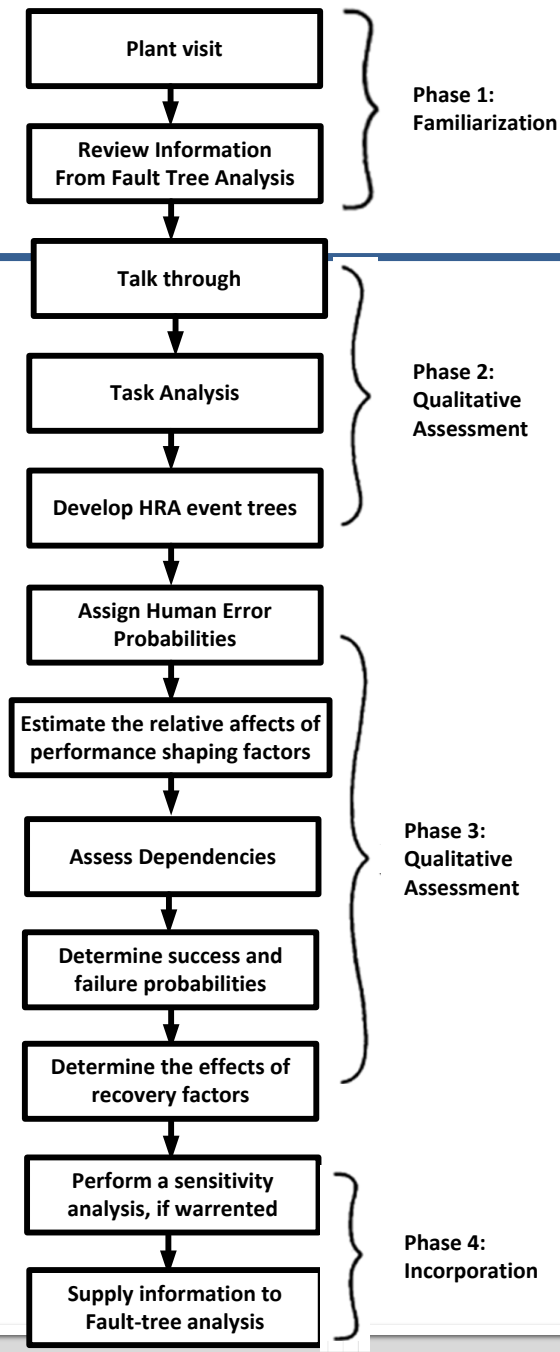
Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst

THERP – Technique for Human Error Rate Prediction – from “Handbook of Human Reliability Analysis with Emphasis on Nuclear Power Plant Applications,” NUREG/CR-1278

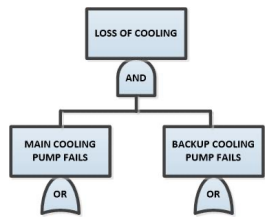




THERP Flowchart

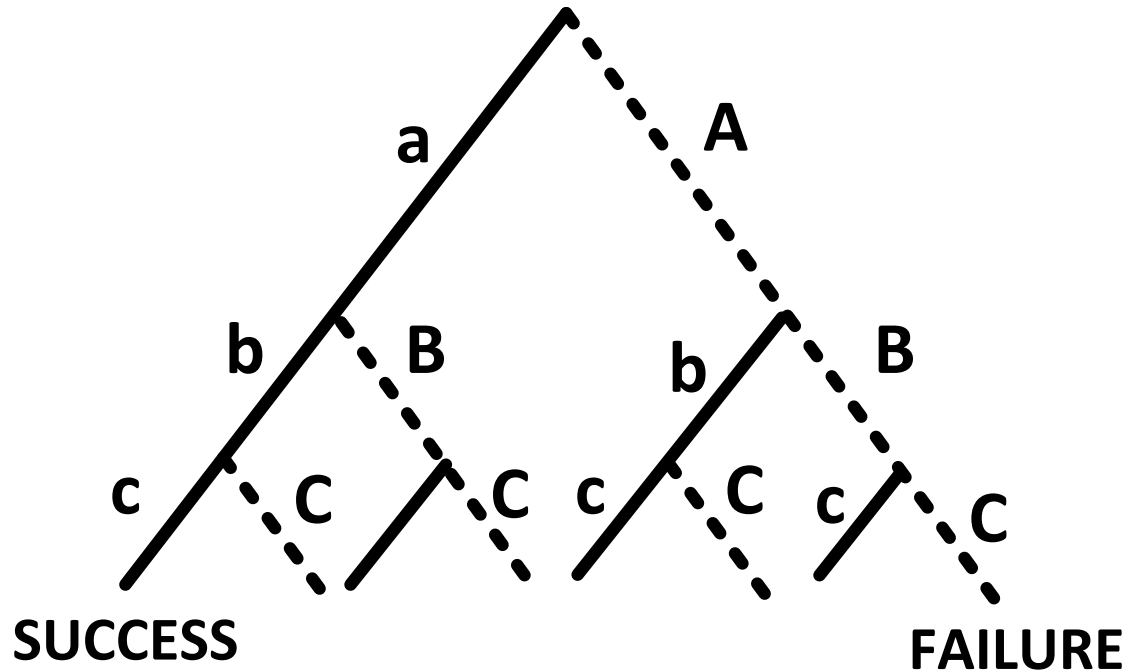


Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst

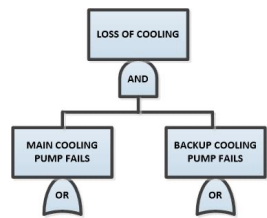


THERP event tree

Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst

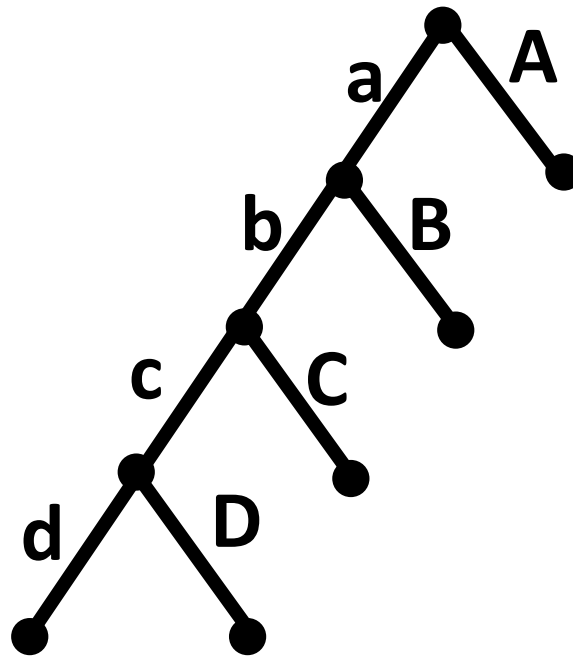


Scheme for the construction of an HRA-THERP event tree: Each node in the tree is related to an action, the sequence of which is shown from the top downwards. Originating from each node are two branches: The branch to the left, marked with a lowercase letter, indicates the success; the other, to the right and marked with the capital letter, indicates the failure.



THERP event tree example

Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst



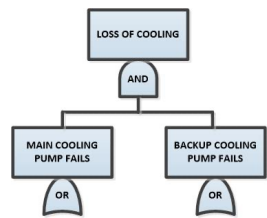
Event

A= Control-room operator omits ordering the following tasks

B= Operator omits verifying the position of MU-13

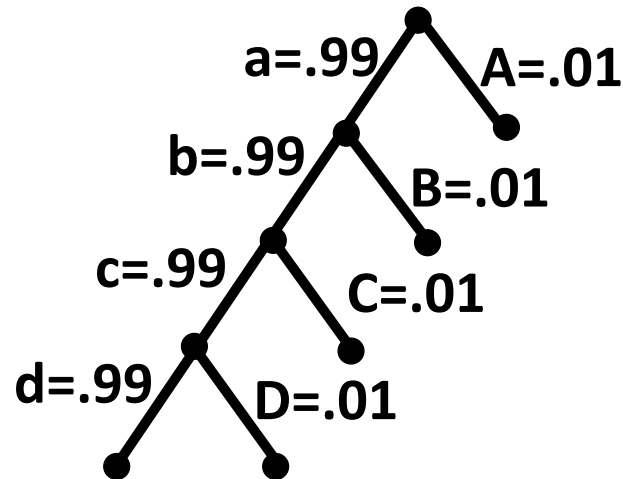
C= Operator omits verifying/opening the OH valves

D= Operator omits isolating the DH pump rooms



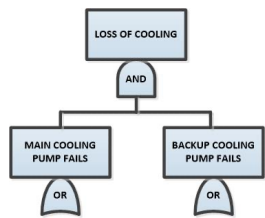
THERP event tree example

Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst



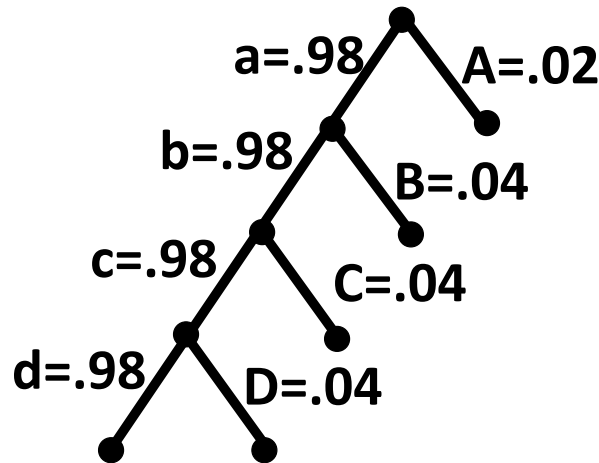
HRA event tree for actions performed outside the control room, with estimates of nominal human-error probabilities

EVENT	HEP	SOURCE
A = Control-room operator omits ordering the following tasks	.01(.005 to .05)	Table 20-22. item 1 (p. 20-31)
B = Operator omits verifying the position of MU-13	.01(.005 to .05)	Table 20-18, item 3 (p. 20-28)
C = Operator omits verifying/opening the DH valves	.01(.005 to .05)	Table 20-18, item 3 (p. 20-28)
D = Operator omits isolating the DH pump rooms	.01(.005 to .05)	Table 20-18, item 3 (p. 20-28)



THERP event tree example to incorporate dependencies

Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst



EVENT	HEP	SOURCE
A = Control-room operator omits ordering the following tasks	.02(.01 to .1)	Table 20-22, item 1 (p. 20-31)
B = Operator omits verifying the position of MU-13	.04(.02 to .2)	Table 20-18, item 3 (p. 20-28)
C = Operator omits verifying/opening the DH valves	.04(.02 to .2)	Table 20-18, item 3 (p. 20-28)
D = Operator omits isolating the DH pump rooms	.04(.02 to .2)	Table 20-18, item 3 (p. 20-28)

HRA event tree for actions performed outside the control room, with estimates of nominal human-error probabilities to reflect Performance Shaping Factors (PSFs). The HEP for event A has been modified to reflect the effects of moderately high stress and dependence; the HEPs for events B,C and D have been modified to reflect the effects of moderately high stress and protective clothing.



Human Failure Events

Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst

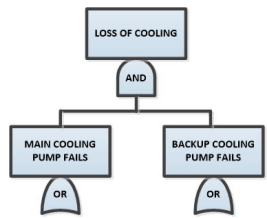
- Human Reliability Analysis identifies human Interactions that are incorporated as Human Failure Events in a PRA
- HFEs address deficiencies, e.g.,
 - deficiencies in control indications
 - inadequacy of procedural guidance for the particular scenario of concern
 - lack of time to diagnose a situation and act reliably
 - other factors that can affect operator performance
- Two Parts of the Each Human Failure Event (HFE)
 - Operator must recognize the need/demand for the action(**cognition**)
 - AND
 - Operator must take steps (**execution**) to complete the actions



Human Failure Events

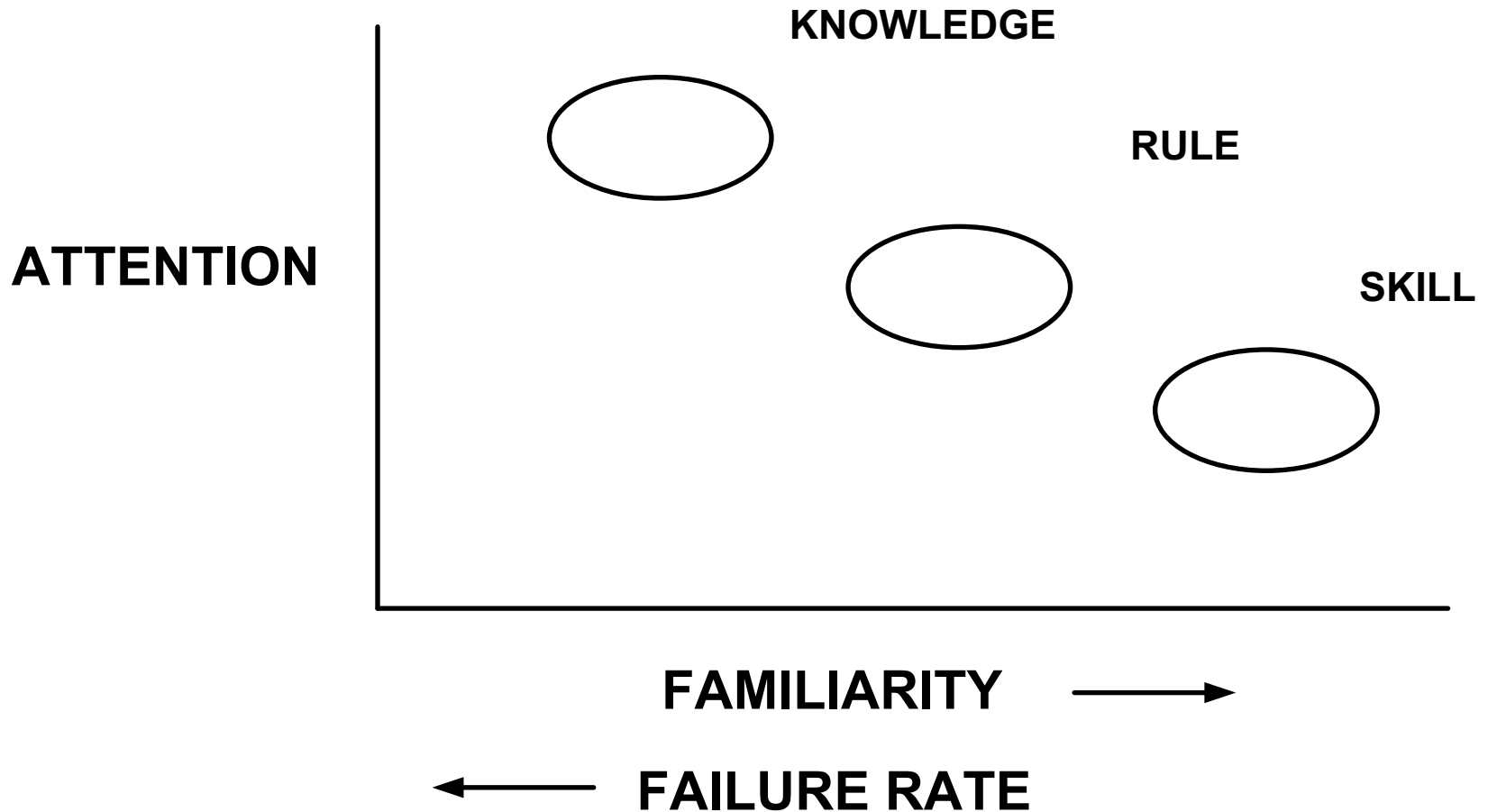
Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst

- Post-initiator operator actions consist of:
 - **Qualitative Analysis** defines Context and Performance Shaping Factors
 - Operator action must be feasible (for example, sufficient time, sufficient staff, sufficient cues, access to the area)
 - Then **Quantitative assessment (using an HRA method)**
 - Includes dependency evaluation



Recovery Post-Initiator Action

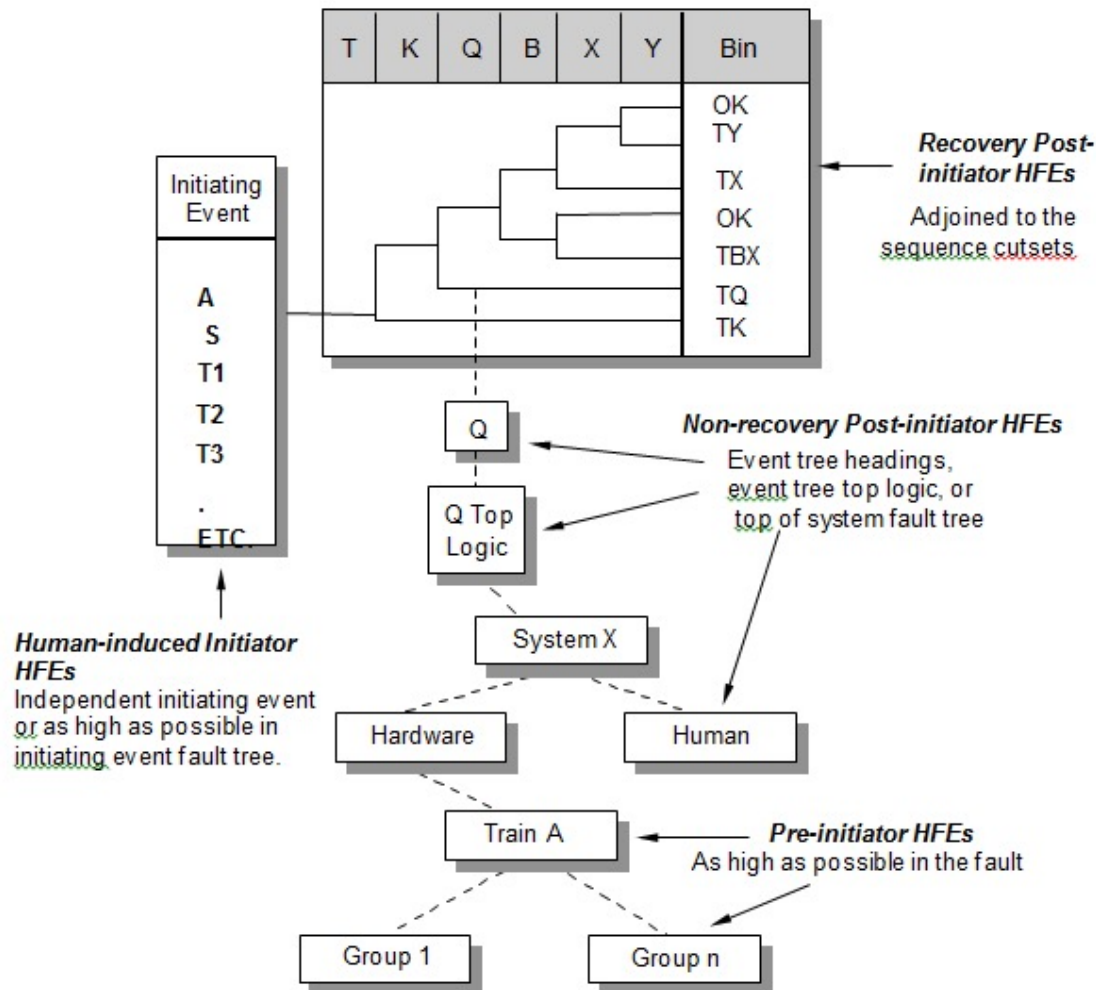
Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst





Time Phases of Human Failure Events (HFEs)

Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst



- Pre-initiator HFE
- Initiator HFE
- Post-initiator HFE
 - Non-recovery post-initiator HFE
 - Recovery post-initiator HFE (not identified at this time)

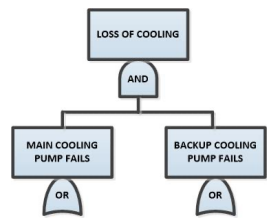


System Analysis: Human Interactions

Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst

There are three types of Human Interactions (HIs) that are typically modeled:

- Type A: Latent HIs occurring before an initiating event (e.g., incorrect component restoration after maintenance) – included in FTs.
- Type B: HIs associated with the initiating event (typically captured in the initiating event data) – not included in FTs. **(don't agree)**
- Type C: Dynamic or Recovery HIs in response to the initiating event (e.g., actions in response procedures) – included in FTs.



Examples type A human interactions

Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst

1. Failing to re-open an isolation valve following test or maintenance activities;
2. Failing to re-close a valve that isolates a test recirculation line after pump testing is complete, such that flow would be diverted from its intended load;
3. Failing to rack a breaker back in when returning a pump to service;
4. Miscalibrating one or more instrument channels or otherwise leaving them in an unavailable state (for example, by leaving closed an instrument root valve) such that a portion of a standby system could fail to actuate when needed.



Examples type B human interactions

Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst

- Internal Flooding – operator opens isolation valve that causes internal flooding
- Operator actions that trip the plant
- Inadvertent operation of a safety system (e.g., safety injection)



Post initiator

Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1 - P_A$	$1 - P_B$	$IE_i \times (1 - P_A) \times (1 - P_B)$	Most Favorable
		P_B	$IE_i \times (1 - P_A) \times P_B$	Intermediate
	P_A	$1 - P_B$	$IE_i \times P_A \times (1 - P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst

Post-initiator human interactions occur after an initiating event and consist of a cognitive element and an execution element. **The cognitive element includes detection, diagnosis and decision-making, while the execution element consists of manipulation tasks.** Post-initiator human interactions occur in response to some cue; the cue may be the initiating event itself, an alarm, a procedural step or an observation. In contrast to pre-initiator human interactions, post-initiator human interactions are **dynamic and subject to time constraints.** This is assumed to increase the level of dependency between members of the crew, which increases the probability of failure. Some performance shaping factors may mitigate the stress level thus decreasing the probability of failure, while other performance shaping factors may aggravate the stress level thus increasing the probability of failure. Post-initiator human interactions are analyzed in a cue-response time framework.



Two types of C human interactions

Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst

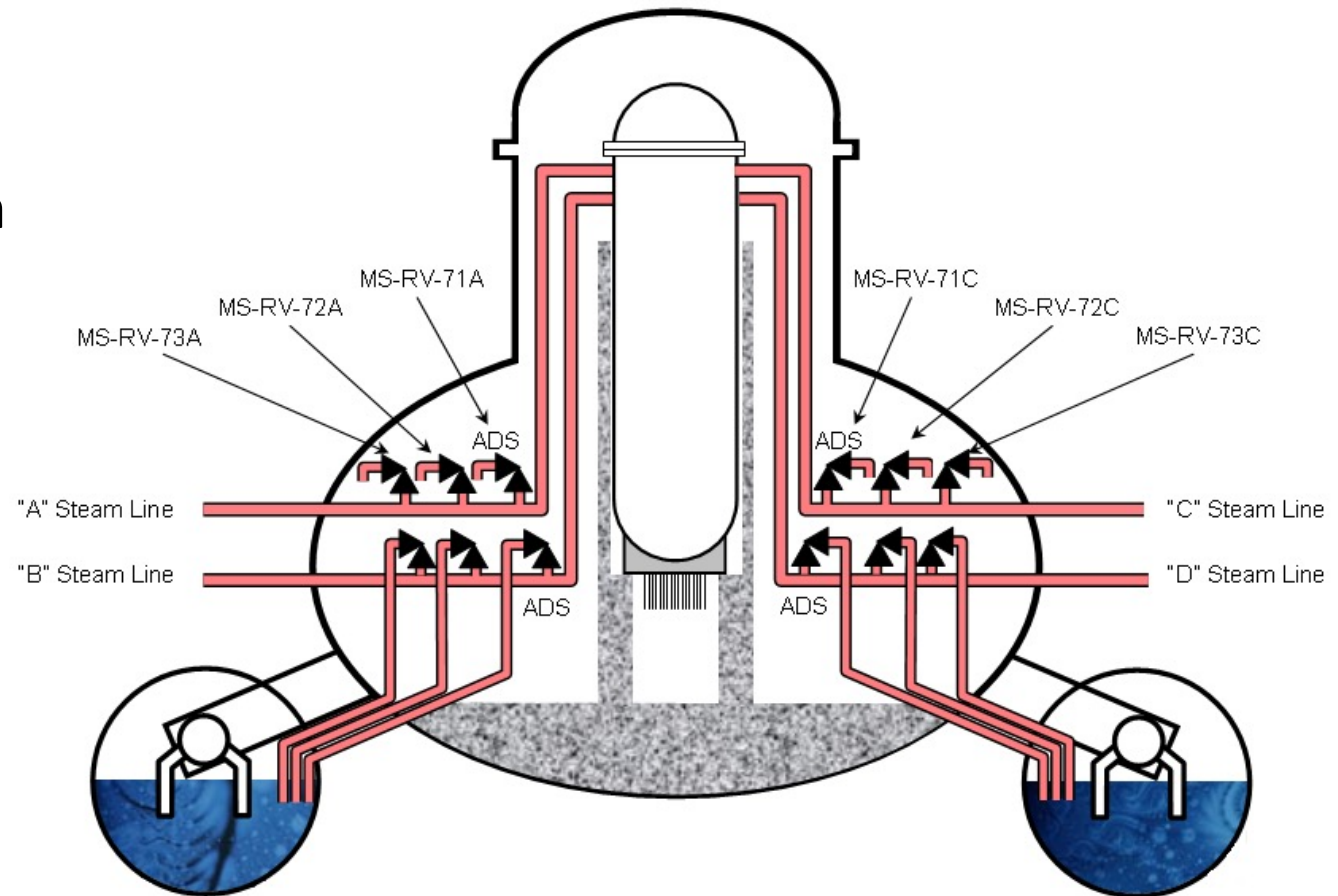
- Non-recovery post-initiator HFE (in sequence fault trees) C_p
 - Failure to accomplish procedurized actions
 - The failure to change the mode of a system under the appropriate conditions
 - The failure to initiate the function of a system that normally requires manual actuation or to align a backup system.
- Recovery post-initiator HFE (recovery actions added to min cut sets) C_R
 - Non-Procedurized actions -- knowledge based
 - Several failures occur
 - Actions are not guided by explicitly by procedures

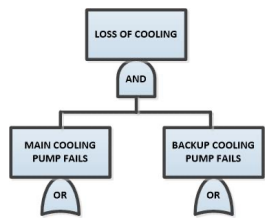


Manual Actuation of ADS valves (example of C_p Interaction)

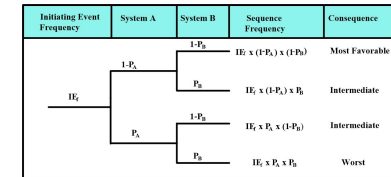
Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst

RV Relief Valves
ADS Automatic
Depressurization
System





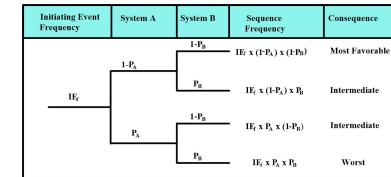
Examples of Human Error Probabilities



CREAM Nominal Values and Uncertainty Bounds for Cognitive Failures				Failures
Cognitive Function	Generic Failure Type	5% Lower Bound	Median	95% Upper Bound
Observation	Wrong object observed	3.0E-04	1.0E-03	3.0E-03
	Wrong Identification	1.0E-03*	3.0E-03*	9.0E-03*
	Observation Not Made	1.0E-03*	3.0E-03*	9.0E-03*
Interpretation	Faulty diagnosis	9.0E-02	2.0E-01	6.0E-01
	Decision error	1.0E-03	1.0E-02	1.0E-01
	Delayed interpretation	1.0E-03	1.0E-02	1.0E-01
Planning	Priority error	1.0E-03	1.0E-02	1.0E-01
	Inadequate plan	1.0E-03	1.0E-02	1.0E-01
Execution	Action of Wrong Type	1.0E-03	3.0E-03	9.0E-03
	Action at wrong time	1.0E-03	3.0E-03	9.0E-03
	Action on wrong object	5.0E-05	5.0E-04	5.0E-03
	Action out of sequence	1.0E-03	3.0E-03	9.0E-03
	Missed action	2.5E-02	3.0E-02	4.0E-02

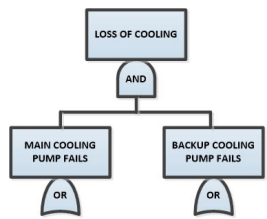


Performance Shaping Factors for human error probabilities (CREAM)



CREAM Performance Factors

Factor	Level	Cognitive Function			
		Observation	Interpretation	Planning	Execution
Adequacy of Organization	Very efficient	1.0	1.0	0.8	0.8
	Efficient	1.0	1.0	1.0	1.0
	Inefficient	1.0	1.0	1.2	1.2
	Deficient	1.0	1.0	2.0	2.0
Working Conditions	Advantageous	0.8	0.8	1.0	0.8
	Compatible	1.0	1.0	1.0	1.0
	Incompatible	2.0	2.0	1.0	2.0
Adequacy of Man Machine Interface	Supportive	0.5	1.0	1.0	0.5
	Adequate	1.0	1.0	1.0	1.0
	Tolerable	1.0	1.0	1.0	1.0
	Inappropriate	5.0	1.0	1.0	5.0
Availability of Procedures	Appropriate	0.8	1.0	0.5	0.8
	Acceptable	1.0	1.0	1.0	1.0
	Inappropriate	2.0	1.0	5.0	2.0
Number of Simultaneous Goals	Fewer than capacity	1.0	1.0	1.0	1.0
	Matching capacity	1.0	1.0	1.0	1.0
	More than capacity	2.0	2.0	5.0	2.0
Available Time	Adequate	0.5	0.5	0.5	0.5
	Temporarily inadequate	1.0	1.0	1.0	1.0
	Continuously inadequate	5.0	5.0	5.0	5.0
Time of day	Day-time	1.0	1.0	1.0	1.0
	Night-time	1.2	1.2	1.2	1.2
Adequacy of Training/Preparation	Adequate, high experience	0.8	0.5	0.5	0.8
	Adequate, low experience	1.0	1.0	1.0	1.0
	inadequate	2.0	5.0	5.0	2.0
Crew Collaboration Quality	Very efficient	0.5	0.5	0.5	0.5
	Efficient	1.0	1.0	1.0	1.0
	Inefficient	1.0	1.0	1.0	1.0
	Deficient	2.0	2.0	2.0	5.0



Time reliability correlations operator action – log normal distribution

Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst

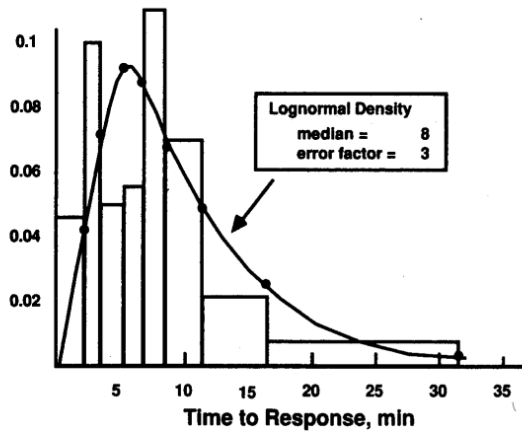


Figure 4-3. Density for the data of Table 4-1.

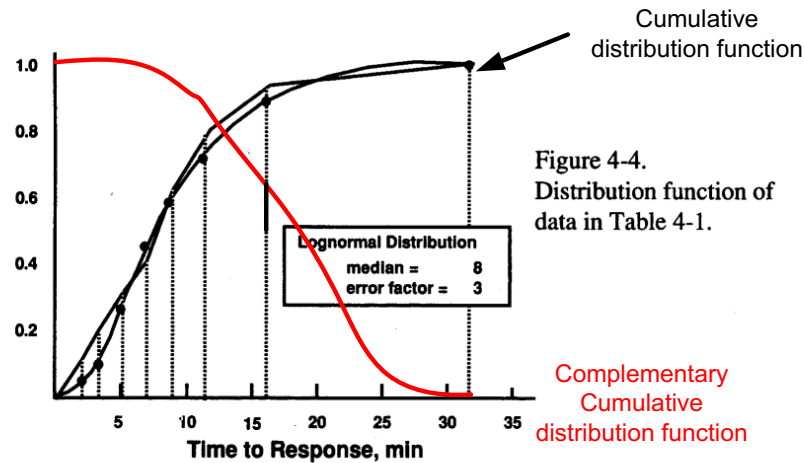
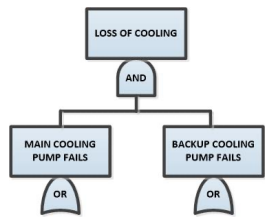


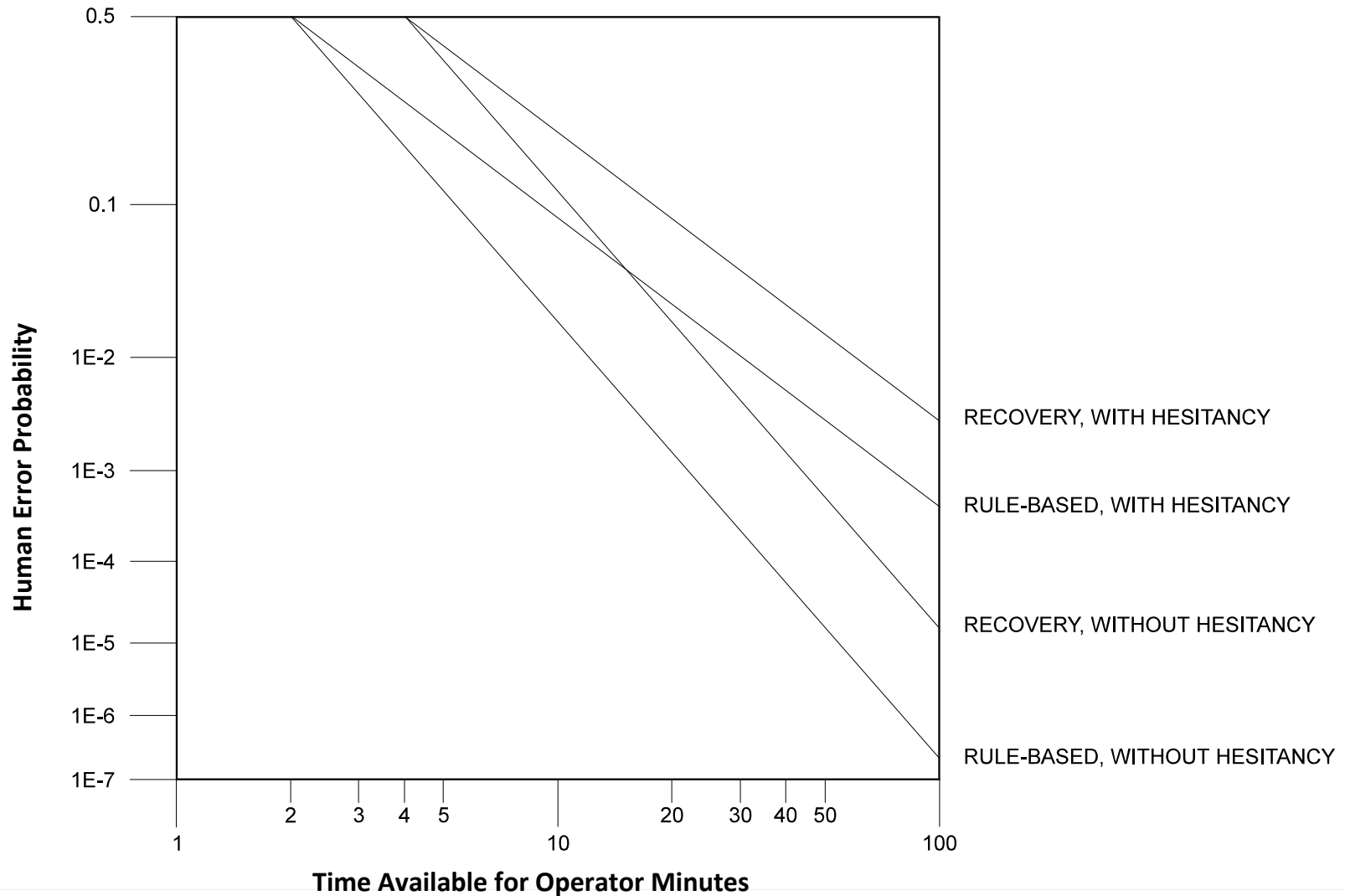
Figure 4-4. Distribution function of data in Table 4-1.

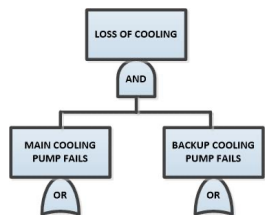
Complementary Cumulative distribution function



TIME RELIABILITY CORRELATION OPERATOR RESPONSE

Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst





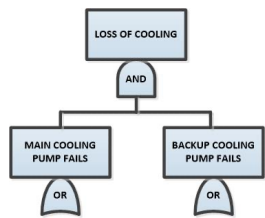
Human Performance Limiting Values

Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst

Actions	HPLV
Actions taken by a single team.	$1E-5/d$
Actions taken by more than one team either when the significance of the goal is well understood and the time is adequate or when extended time is available.	$1E-6/d$
Actions taken by more than one team when the significance of the goal is well understood and a fundamental part of training. Extended time must also be available so that inaction would have to persist for several hours if no further attempts were made to achieve the desired goal.	$1E-7/d$

NOTE: d = demand; HPLV = human performance limiting values.

Source: Modified from *A User Manual for the Nuclear Action Reliability Assessment (NARA) Human Error Quantification Technique*



Classification System for Human Failure Events

Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst

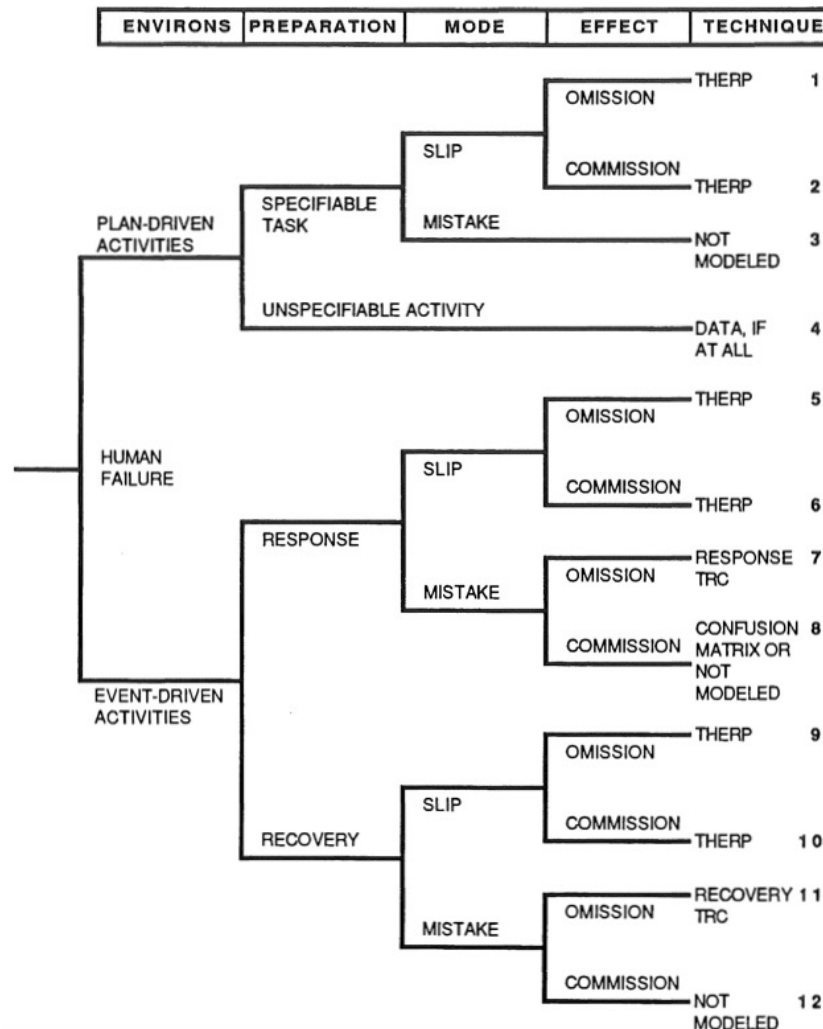
Reference:

Human Reliability Analysis,

E.M.Dougherty, Jr.

J.R.Fragola, John Wiley and Sons, 1988

“slips” are mechanistic failures in carrying out routine, often prescribed procedures versus “mistakes” are errors in the cognitive processes of interpretation and decision making especially pertinent to contingency actions.

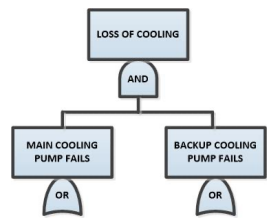




Fire Risk Evaluation

Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst

- Objective: To quantify fire-induced Core Damage Frequency
- Tasks
 1. Ignition frequency
 2. Scenario-specific equipment and cable damage
 3. Equipment failure modes and likelihoods
 4. Credit for fire mitigation (detection and suppression)
 5. Fire-specific HEPs
 6. Quantification of the FPRA plant response model



Fire PRA Plant Response Model

Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst

- *fire PRA plant response model*: a representation of a combination of equipment, cable, circuit, system, function, and operator failures or successes, of an accident that when combined with a fire-induced initiating event can lead to undesired consequences, with a specified end state (e.g., core damage or large early release).



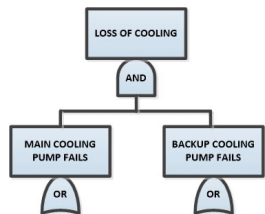
High Level Requirements HLRs per PRA standard

Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst

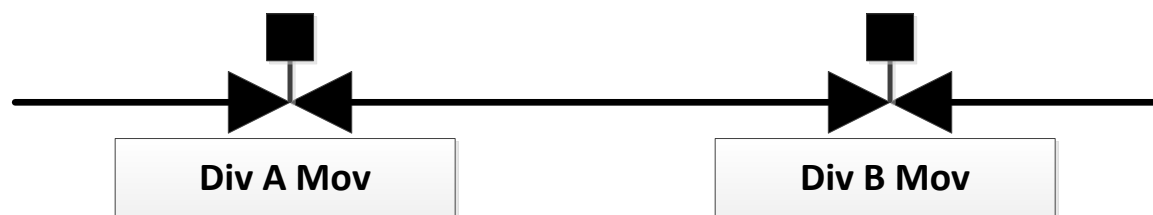
- HLR-ES-A: The Fire PRA shall identify equipment whose failure caused by an initiating fire including spurious operation will contribute to or otherwise cause an initiating event (6 supporting requirements SRs)
- HLR-ES-B: The Fire PRA shall identify equipment whose failure including spurious operation would adversely affect the operability/functionality of that portion of the plant design to be credited in the Fire PRA (5 SRs)
- HLR-ES-C: The Fire PRA shall identify instrumentation whose failure including spurious operation would impact the reliability of operator actions associated with that portion of the plant design to be credited in the Fire PRA (2 SRs)
- HLR-ES-D: The Fire PRA shall document the fire PRA equipment selection, including that information about the equipment necessary to support the other fire PRA tasks (e.g. equipment identification, equipment type, normal, desired, failed states of equipment) in a manner that facilitates fire PRA applications, upgrades, and peer review (1 SR)

Fire PRA Component Selection

Flow Diversion Path Example



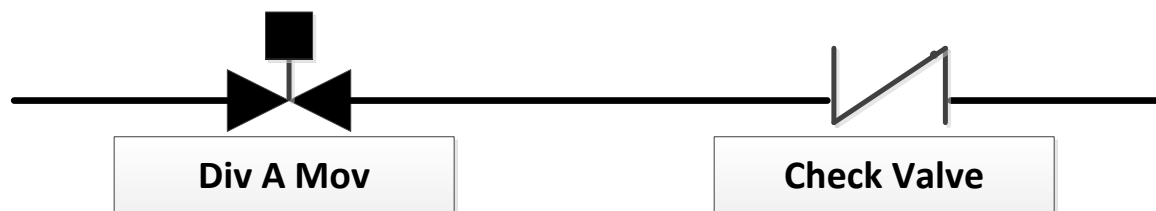
Initiating Event Frequency	System A	System B	Sequence Frequency	Consequence
IE_i	$1-P_A$	$1-P_B$	$IE_i \times (1-P_A) \times (1-P_B)$	Most Favorable
		P_B	$IE_i \times (1-P_A) \times P_B$	Intermediate
	P_A	$1-P_B$	$IE_i \times P_A \times (1-P_B)$	Intermediate
		P_B	$IE_i \times P_A \times P_B$	Worst



Takes two spurious hot shorts to open diversion path -- included in model

Main Flow Path

To Diversion path



Takes 1 spurious hot short and failure of the check valve to open

Screened from model if not potential high Consequence event