

Use of Microworld Simulator for HRA Data Collection

January 2021

Jooyoung Park, Ronald Laurids Boring PhD, Thomas A Ulrich





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1. Background

► Efforts to Collect HRA Data to Date

- A lack of data has been identified as one of the challenges in human reliability analysis (HRA).
- Most of the current studies are concentrating on collecting the data from full-scope studies using full-scope simulator and actual operator.
 - U.S.NRC (SACADA) / KAERI (HuREX)
 - SACADA: Scenario, Authoring, Characterization, and Debriefing Application
 - HuREX: Human Reliability data EXtraction
 - Good to collect high fidelity data in lieu of actual historical measurements

► Challenges to Perform Full-Scope Studies

- Difficult to get actual operators for continuously collecting a variety of data due to the high cost
- Utilities' cooperation and data release are relatively limited to few organizations.

1. Background

► INL's Approach to HRA Data Collection

- To collect HRA data through the Simplified Human Error Experimental Program (SHEEP)
 - To use simplified simulators and students as a complement not a replacement – for full-scope studies.
 - To provide the data to support full-scope data collection studies such as HuREX and SACADA



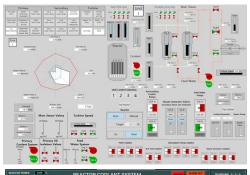
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Collecting and analyzing data from simplified simulators, students and operators

<Chosun University>

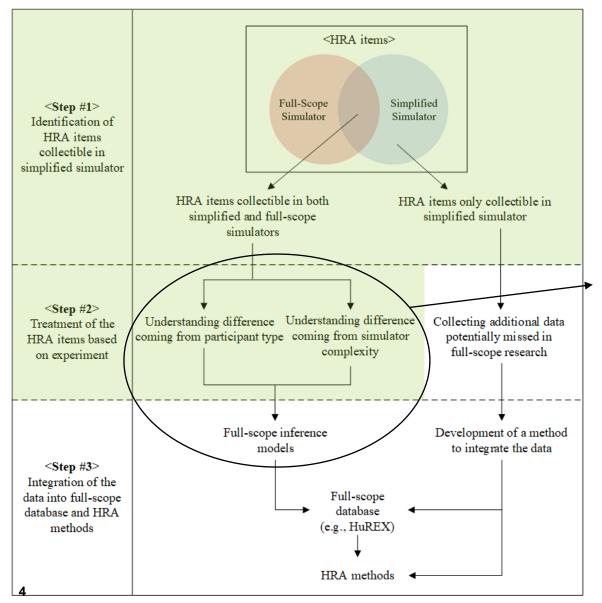


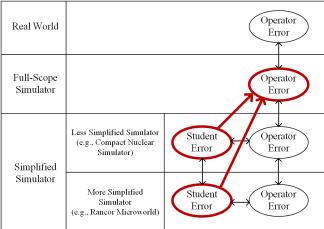
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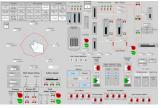


<Compact Nuclear
Simulator (CNS)>

2. SHEEP Framework









<Rancor Microworld>

<Compact Nuclear
Simulator (CNS)>

- ► HRA Items Collectible in Both Simplified and Full-Scope Simulators
 - Rancor vs. Full-scope (i.e., HuREX HRA data items)

Cognitive Activity	HRA Items Collectible in a Full- Scope Simulator (HuREX)	Collectability Using the Rancor Microworld
Information	IG-alarm	Collectible
Gathering and Reporting	IG-indicator	Collectible
(IG)	IG-synthesis	Uncollectible
	IG-value	Collectible
	IG-comparison	Collectible
	IG-graph	Uncollectible
	IG-abnormality	Uncollectible
	IG-trend	Collectible
Response	RP-entry	Collectible
Planning and Instruction	RP-procedure	Collectible
(RP)	RP-step	Collectible
	RP-information	Uncollectible
	RP-manipulation	Uncollectible
	RP-notification	Uncollectible
Situation	SI-diagnosis	Uncollectible
Interpreting (SI)	SI-identification	Uncollectible
	SI-prediction	Uncollectible
Execution (EX)	EX-discrete	Collectible
	EX-continuous	Collectible
	EX-dynamic	Collectible
	EX-notification	Uncollectible
Other (OT)	OT-manipulation	Collectible

► HRA Items Only Collectible in Simplified Simulators

- Rancor vs. Generic HRA data items
 - A catalog of generic HRA data items collected from documents issued from the perspective of HRA practitioners and human factors engineers.
 - 88 HRA data items depending on seven categories, i.e., 1) environment, 2) human-machine interface, 3) organization, 4) procedure, 5) task, 6) evaluation criteria or success criteria, 7) performance context

Category	Subcategory	Data Item	Representatively Measurable Instance
			- Failsafe designs
		The existence of	- Administrative control
		barriers	- Physical guards or stops
			- Logical/mechanical interlocks
	Ergonomics		- Redundant structures or processes
		The existence of buffers	- Features to accept time delays
			Design for reversible, confirmatory, or staged actions
		The provision of memory aids	- Memory aid from human-machine interface
	Panel design	The conformity of standards, conventions,	Consistent use of measurement units, information coding, or device configuration
HSI		and nomenclature	Standard nomenclature defined from NPP administrative procedures
		The availability of indications (clarity of cues/indicators)	- Not specified from existing references
		The availability of controls (devices)	- Not specified from existing references
	Status indication	The existence of wrong or inadequate information	- Not specified from existing references
		The appropriateness of task feedbacks	- Clear, prompt, or precise feedback information
		The provision of clear decision criteria	Clear decision criteria from the human-machine interface Ambiguous decision criteria in a procedure

※ Park, J., et al.: A guideline to collect HRA data in the simulator of nuclear power plants. KAERI/TR-5206/2013 (2013)



Customizing interfaces or relevant design factors in the simplified simulator is much simpler compared to a full-scope simulator.

► Summary

- HRA items collectible in both simplified and full-scope simulators
 - Data Collection

Simulator	Twenty Students	Twenty Operators		
Microworld	Done	Done		
CNS	Done	Done		

Data Analysis

> To infer full-scope data

Real World	Operator Error
Full-Scope Simulator	Operator Error
Simplified	Less Simplified Simulator (e.g., Compact Nuclear Simulator) Student Perror Error (7)
Simulator	More Simplified Simulator (e.g., Rancor Microworld) Student Error Error (1)

The Relationship	Qualitative and Quantitative Data Analysis				
	Human Performance Analysis	HuREX Analysis			
Between student and operator groups (1)	Done	Done			
Between different types of simplified simulators (2)	Working	Working			
Between simplified simulators and full-scope simulators (3)	Not Started	Not Started			

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► Experiment Design

Two independent variables, i.e., participant type and event class

<The Randomized Factorial Experiment with Rancor Microworld>

	Participant Typ	e	
Event Class	Actual Operator	Student	Scenario
Non-Event			 Fully auto start-up (0% to 100%) Shutdown (100% to 0%) Start-up with manual rod control (0% to 100%) Start-up with manual feedwater flow control (0% to 100%)
Event			 Failure of a reactor coolant pump under full-power operation Failure of a control rod under full-power operation Failure of a feedwater pump under full-power operation Abnormal turbine trip under full-power operation Steam generator tube rupture with an indicator failure Loss of feedwater pump

<The Randomized Factorial Experiment with CNS>

Event	Participant 7	Гуре	
Class	Actual Operator	Student	Scenario
Non- Event			Fully auto startup (0% to 100%)Shutdown (100% to 0%)
Event			 Steam generator tube rupture with an indicator failure Loss of feed-water pump

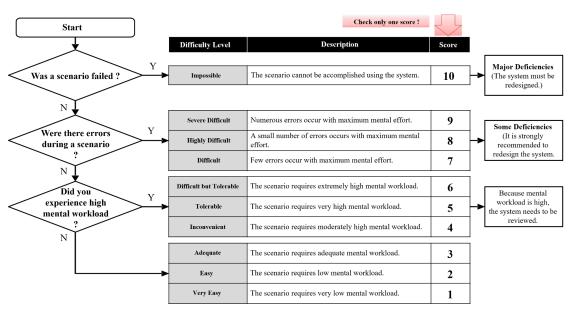
► Human Performance

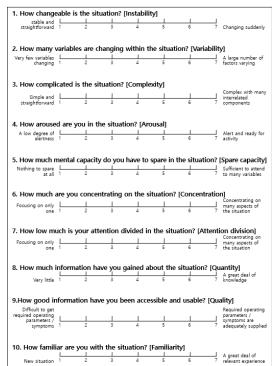
Human Performance Categories	Human Performance Measurements
Workload	Modified Cooper-Harper (MCH)
Situation awareness	Situation Awareness Rating Technique (SART)
Error	Error rate
Time to completion	Average time to complete a step
	Average time to complete an instruction
	Average time to complete a task
Eye movements	Eye fixation count per task
	Eye fixation duration per task
	Blink rate (i.e., blink count per task)
	Heatmap over area of interest (AOI)
Number of manipulations	Number of manipulations per task
	Number of manipulations per scenario completion time

► Human Performance (Cont'd)

Workload: MCH Scores

Situation Awareness: SART Scores





Modified Cooper-Harper (MCH)

Situation Awareness Rating Technique (SART)

► Human Performance (Cont'd)

- Error: Error Rate
 - Error is defined as deviation from expected performances.
 - Same rules used in the HuREX data collection are applied.
 - The HuREX analysts participated in the error analysis.
- <u>Time to Completion</u>: Average Time to Complete A Step / An Instruction / A Task

Analyzed based on procedures and video records

	Scenario	Type of Error	Stu.01	Sum	Stu.02	Sum	Stu.03	Sum	Stu.04	Sum
		RP-Step(EOC)	2							
	Start-up(#1)	Ex-Continuous(EOC)		3		0	1	1		0
	Start-up(#1)	Ex-Dynamic(EOC)	1	,		0		'		U
		RP-Step(EOO)								
		Ex-Continuous(EOC)								
	Shutdown(#2)	Ex-Dynamic(EOC)		0		0		0		0
						-		U		· ·
		Ex-Dynamic(EOC)	2						1	
		RP-Step(EOC)					1			
Non-event		RP-Step(EOO)								
	Manual Rod during Start_up(#3)	RP-Procedure(EOC)		2		0		1		1
	3 - 1 · · ·	OT-Manipulation(EOC)								
		Ex-Continuous(EOO)								
		Ex-Continuous (EOC)								

Procedure	Step	Step Num.	Task	Task-Verb	Error	Time	Description
		Pre-C	Reactor must be provided with adequate coolant to prevent overheating for reactor core. Primary side coolant flow should be maintained at least 127.0 L/sec.			22:24:40	
		3.1	Activate the RCP.			22:24:45	
		3.1.1	-Click RCP A start button.	Perform		22:24:48	
OP-003 3. Primary side coolant injection		3.1.2	Click RCP B start button.	Perform	EOO/R	22:24:50	Time: 22:24:50 Current State: During the Start-up, RCP B not operation. Action: He didn't click the RCP B start button Result RCP B not started Description: Recovery by operation knowledge
		3.2	See below to determine if the primary coolant is sufficient.			22:24:50	
		3.2.1	·Low Primary Coolant alarm off confirmation.	Check		22:24:51	
		3.2.2	Primary Flow indicator is higher than 508.0L / sec	Check		22:24:53	
		3.3	If the above conditions are satisfied, the process moves to step 4.	Move		22:24:55	
	4 Reactivity Control	4.1	To increase Reactivity to 20% using Manual, go to the OP-004 procedure	Check/Move		22:25:00	

ORY

Human Performance (Cont'd)

- Eye Movements: Eye Fixation Count / Duration Per Task, Blink Rate, Heatmap Over Area of Interests (AOI)
 - Fixation duration and counts, eye blinking, and gaze movement
 - Tobii Pro Glasses 2
 - Four Areas of Interest (AOIs): Alarm, Overview, P&ID, Control Area







<AOIs>

<Heatmap>

<Eye Blinking Rate>

- Number of Manipulations: Number of Manipulations per Task / per Scenario Completion Time
 - Estimated from simulator log data

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▶ Participants

- Twenty students and twenty operators when using the Rancor Microworld and the CNS respectively
 - Students
 - Undergraduate senior students and master students at the department of nuclear engineering in Chosun University
 - They took courses such as "Introduction to Nuclear Engineering," "Reactor Theory," "Reactor Control", and "Simulator Operation."
 - Operators
 - Licensed operators for Westinghouse type
 - Working at Hanbit Nuclear Site in Korea

Training

- About more than 3 hours per student and 2 hours per operator
- Contents
 - Purpose of experiment
 - Simulator systems and its interfaces
 - Scenarios
 - Questionnaires
 - Practicing simulators and Conducting a test scenario

► Apparatus

Two cameras

Tobii Pro Glasses 2: Eye tracking system



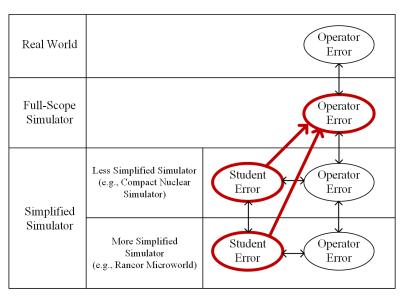
Microworld / CNS on the tablet





▶ Data Analysis

- Human performance analysis between student and operator groups
- HuREX Analysis between student and operator groups



The Relationship	Qualitative and Quantitative Data Analysis				
	Human Performance Analysis	HuREX Analysis			
Between student and operator groups (1)	Done	Done			
Between different types of simplified simulators (2)	Working	Working			
Between simplified simulators and full-scope simulators (3)	Not Started	Not Started			

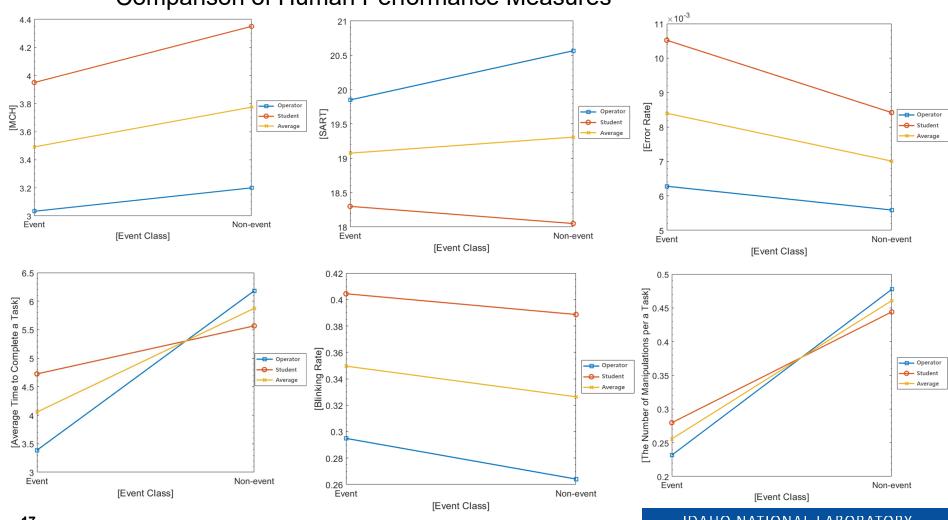
► Human performance analysis between student and operator groups

ANOVA Test

Human Performance	Human Performance	Independent Variable (p-value)					
Characteristic	Measurement	Participant Type	Event Class	Participant Type * Event Class			
Workload	MCH	0.001**	0.350	0.700			
Situation Awareness	SART	0.027*	0.798	0.597			
Error	Error rate	0.046*	0.430	0.686			
Time to Completion	Average time to complete a step	0.801	0.000**	0.002**			
	Average time to complete an instruction	0.047*	0.000**	0.000**			
	Average time to complete a task	0.148	0.000**	0.000**			
Eye Movements	Eye fixation count per task	0.706	0.000**	0.016*			
	Eye fixation duration per task	0.787	0.000**	0.005**			
	Blink rate	0.008**	0.595	0.863			
Number of	Number of manipulations per task	0.727	0.000**	0.053			
Manipulations	Number of manipulations per scenario completion time	0.222	0.001**	0.139			

► Human performance analysis between student and operator groups

Comparison of Human Performance Measures



► Human performance analysis between student and operator groups

Correlation Analysis

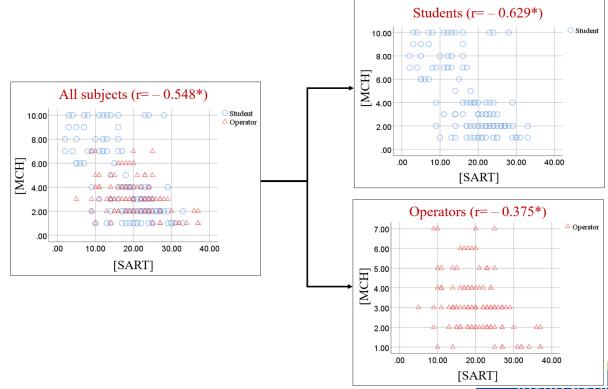
*: 95% confidence level and r > 0.3

<all participants=""></all>	MCH	SART	Error rate	Time to completion per task	Eye fixation count per task	Blink rate	Number of manipulations per task
MCH	1						
SART	-0.548*	1					
Error rate	0.435*	-0.247*	1				
Time to completion per task	0.097	-0.069	-0.015	1			
Eye fixation count per task	0.040	-0.009	0.006	0.743*	1		
Blink rate	0.117	-0.097	0.028	0.134*	-0.158*	1	
Number of manipulations per task	-0.122	0.128*	-0.145*	0.481*	0.477*	0.045	1

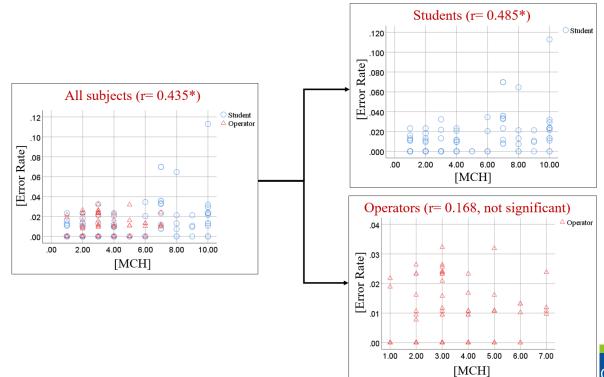
<operators></operators>	МСН	SART	Error rate	Time to completion per task	Eye fixation count per task	Blink rate	Number of manipulations per task
MCH	1						-
SART	-0.375*	1					
Error rate	0.168	0.028	1				
Time to completion per task	0.004	0.025	-0.070	1			
Eye fixation count per task	-0.005	0.127	-0.053	0.780*	1		
Blink rate	0.024	-0.121	-0.109	0.194*	-0.058	1	
Number of manipulations per task	-0.048	0.095	-0.086	0.605*	0.571*	-0.010	1

<students></students>	МСН	SART	Error rate	Time to completion per task	Eye fixation count per task	Blink rate	Number of manipulations per task
MCH	1				-		-
SART	-0.629*	1					
Error rate	0.485*	-0.362*	1				
Time to completion per task	0.171	-0.184*	0.004	1			
Eye fixation count per task	0.096	-0.131	-0.003	0.606*	1		
Blink rate	0.107	-0.044	0.053	0.053	-0.209*	1	
Number of manipulations per task	-0.190*	0.169	-0.202*	0.274*	0.486*	0.088	1

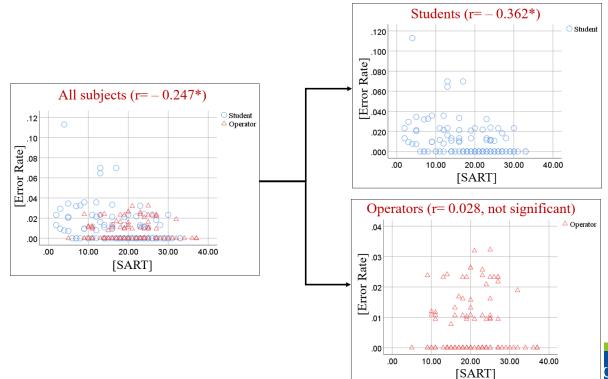
- MCH-SART
 - Both participant types show significant negative linear correlations for MCH and SART, meaning that situation awareness generally decreases with increased workloads.
 - The student group presenting a stronger correlation than the operator group.



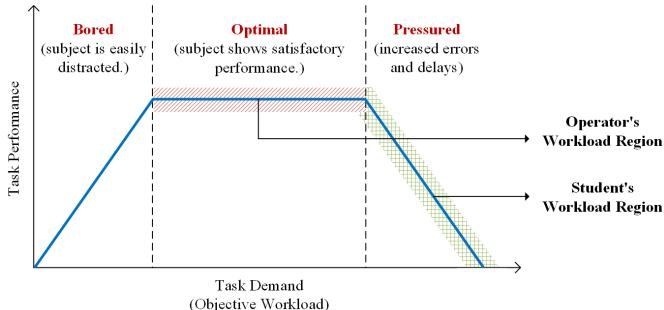
- Error Rate MCH
 - Both participant types show moderately positive linear correlations for error rates and workloads.
 - However, when separated, only the students show a positive correlation for error rates and MCH scores, whereas no statistically significant correlations exist for the operators' error rates and MCH scores.



- Error Rate SART
 - Both participant types show small negative linear correlations in regard to error rates and SART scores.
 - However, when separated, only the students show a moderate linear correlation for error rates and SART values, whereas no statistically significant correlation exists for the operators' error rates and SART values.



- Insight #1
 - The operators perform better than students in terms of workload, situation awareness, and error in the result of ANOVA test.
 - The correlations were found between human performance characteristics, including workload and situation awareness, error rate and workload, and error rate and situation awareness.
 - The error rate for students correlates with their workload and situation awareness, whereas the error rate for operators does not.

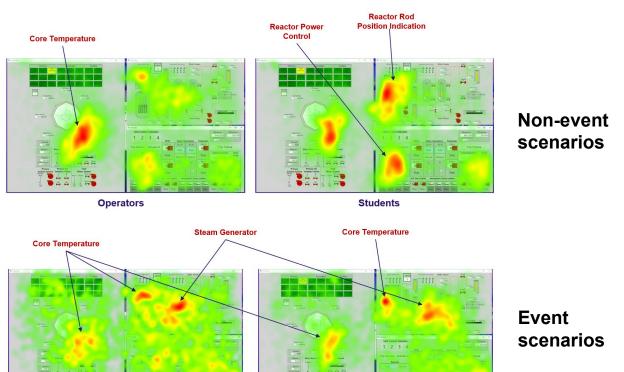


Operators

Human performance analysis between student and operator groups

- Insight #2
 - The operators are more likely to concentrate on major parameters necessary to the context of a given scenario as well as monitor overall interface.
 - The students may continually seek out options in the control window, as well as changes implemented due to a particular manipulation.

Students



► HuREX analysis between student and operator groups

Comparison of errors from the HuREX and SHEEP studies

		Н	UREX Study		SHEEP Study (Using the Rancor Microworld)					
Cognitive Activity	Task Type	Opportunity	EOO	EOC		Student			Operator	
		Opportunity	EOO	EOC	Opportunity	E00	EOC	Opportunity	E00	EOC
	IG-alarm	1,387	-	1	701	1	-	714	1	1
	IG-indicator	9,572	-	19	1,370	1	6	1,417	1	1
	IG-synthesis	598	-	2	-	-	-	-	-	-
Information	IG-value	334	-	-	146	-	-	144	-	-
Gathering and Reporting	IG-comparison	6,930	-	1	1,056	-	-	1,082	-	-
	IG-graph	256	-	-	-	-	-	-	-	-
	IG-abnormality	1,594	-	-	-	-	-	-	-	-
	IG-trend	2,121	-	4	317	-	-	310	-	-
	RP-entry	624 (analog)	2 (analog)	1	1,650	1	1	1,653	1	,
	RP-procedure	253 (analog)	1 (analog)	-	132	-	6	135	-	3
Response Planning and Instruction	RP-step	71 (analog)	4 (analog)	-	993	2	7	982	9	6
	RP-information	8,840	22	9	-	-	-	-	-	-
	RP-manipulation	1,967	24	10	-	-	-	-	-	-
	RP-notification	387	18	-	-	-	-	-	-	-
011 11	SI-diagnosis	12	-	-	-	-	-	-	-	-
Situation Interpreting	SI-identification	197	-	1	-	-	-	-	-	-
interpreting	SI-prediction	4	-	-	-	-	-	-	-	-
	EX-discrete	2,762	34	3	1,342	2	-	1,323	2	-
	EX-continuous	87	4	-	556	-	23	565	5	12
Execution	EX-dynamic	556	20	9	44	-	22	43	-	15
Ţ	EX-notification	366	7	-	-	-	-	-	-	-
Other	OT-manipulation	-	-	-	-	-	10	-	-	2
To	otal	38,918	136	59	8,307	4	74	8,368	16	38

► HuREX analysis between student and operator groups

Comparison of HEPs from the HuREX and SHEEP studies

		HURE	X Study	SHEEP Study (Using the Rancor Microworld)					
Cognitive Activity	Task Type	HEP (EOO)	HEP (EOC)	HEP (EOO) - Student	HEP (EOC) - Student	HEP (EOO) - Operator	HEP (EOC) - Operator		
	IG-alarm	-	3.610e-4	-	-	-	-		
	IG-indicator	-	9.940e-4	-	4.380e-03	-	-		
	IG-synthesis	-	1.680e-3	-	-	-	-		
Information Gathering and	IG-value	-	-	-	-	-	-		
Reporting	IG-comparison	-	7.220e-5	-	-	-	-		
	IG-graph	-	-	-	-	-	-		
	IG-abnormality	-	-	-	-	-	-		
	IG-trend	-	9.450e-4	-	-	-	-		
	RP-entry	3.205e-3 (analog)	-	-	-	-	-		
	RP-procedure	3.953e-3 (analog)	-	-	4.545e-02	-	2.222e-02		
Response Planning and Instruction	RP-step	5.634e-2 (analog)	-	2.014e-03	7.049e-03	9.165e-03	6.110e-03		
	RP-information	2.490e-3	5.110e-4	-	-	-	-		
	RP-manipulation	1.230e-2	2.590e-3	-	-	-	-		
	RP-notification	4.650e-2	-	-	-	-	-		
	SI-diagnosis	-	-	-	-	-	-		
Situation Interpreting	SI-identification	-	2.550e-3	-	-	-	-		
	SI-prediction	-	-	-	-	-	-		
	EX-discrete	1.230e-2	5.500e-4	1.490e-03	-	1.512e-03	-		
Evenution	EX-continuous	4.600e-2	-	-	4.137e-02	8.850e-03	2.124e-02		
Execution	EX-dynamic	3.660e-2	8.540e-3	-	5.000e-01	-	3.488e-01		
	EX-notification	1.910e-2	-	-	-	-	-		
Other	OT-manipulation	-	-	-	-	-	-		

► HuREX analysis between student and operator groups

- Insight #1
 - Comparison of the number of EOOs and EOCs
 - Rancor Data: EOOs (st: 4 / op: 16) < EOCs (st:74 / op: 38)</p>
 - HuREX Data: EOOs (136) > EOCs (59)
 - Most of EOCs observed in the experiment correspond to "Rule Violations".
 - Transitioning from a full-scope simulator to a simplified one may result in a larger number of violations than omissions.

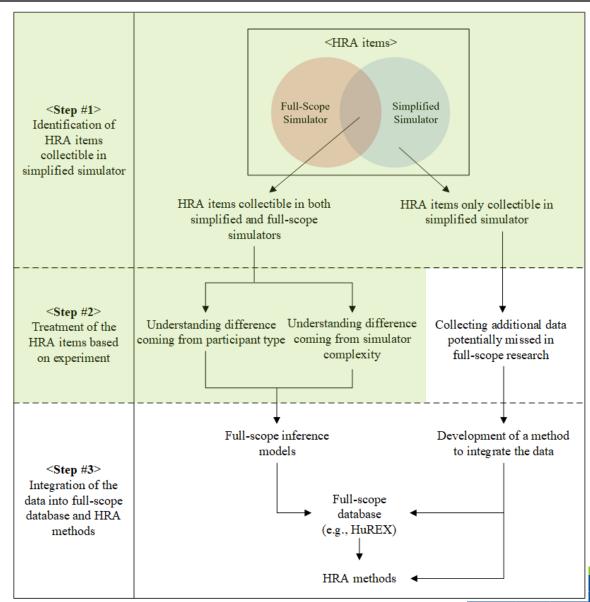
Error Class	Potential Errors						
Qualitative Errors	Action incorrectly performed						
	 Too much of action 						
	Too little of action						
	Action repeated						
	Task execution incomplete						
Selection Errors	Right action on wrong object						
	 Wrong action on right object 						
	 Wrong action on wrong object 						
	Task executed too early						
	Task executed too late						
Sequence Errors	Incorrect sequence						
	Action in wrong direction						
	Misalignment/orientation error						
Extraneous Acts	Rule violations						
Instructional	Information not obtained/transmitted						
Interaction Errors	Wrong information obtained/transmitted						
	Information misread or misinterpreted						

► HuREX analysis between student and operator groups

- Insight #2
 - The reasons why there are differences between the HuREX and the SHEEP data may be different depending on each task type.
 - Representatively, differences in procedure-related task types such as RP-entry, RP-procedure and RR-step highly depend on the difference on procedure contents.
 - For example, procedures for Rancor Microworld include more instructions for RP-step (i.e., transferring to another step in a procedure) than actual full-scope procedures.
 - Accordingly, the number of errors and opportunities for RP-step in the SHEEP data are higher than those in the HuREX data.
 - Thus, these kinds of qualitative and quantitative differences on each task type need to be further investigated when developing full-scope inference models in Step #3 of the SHEEP framework.

Cognitivo		HUREX Study			SHEEP Study (Using the Rancor Microworld)						
Cognitive	Task Type	0		EOC	Student			C	Operator		
Activity		Opportunity	EOO		Opportunity	EOO	EOC	Opportunity	EOO	EOC	
Response Planning and Instruction 27	RP-entry	624 (analog)	2 (analog)	-	1,650	1	-	1,653	1	-	
	RP-procedure	253 (analog)	1 (analog)	-	132	-	6	135	-	3	
	RP-step	71 (analog)	4 (analog)	-	993	2	7	982	0	6	

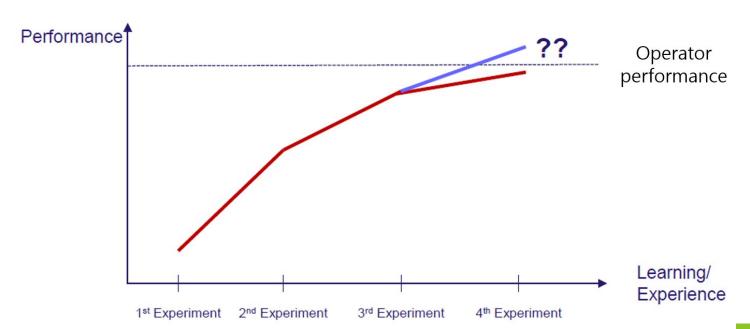
5. Future Works



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Perform Additional Experiment Using the Rancor Microworld

- To investigate students' learning effects and performance trends over a certain longitudinal period when using the Rancor Microworld, then compare the results with the operator performance results from this study
- This trend could be used to understand the gap between trained student performance and operator performance, then identify how much training or education is required in order to use students for collecting HRA data, and whether we can collect HRA data from students.



5. Future Works

► Keep Working on the Data Analysis

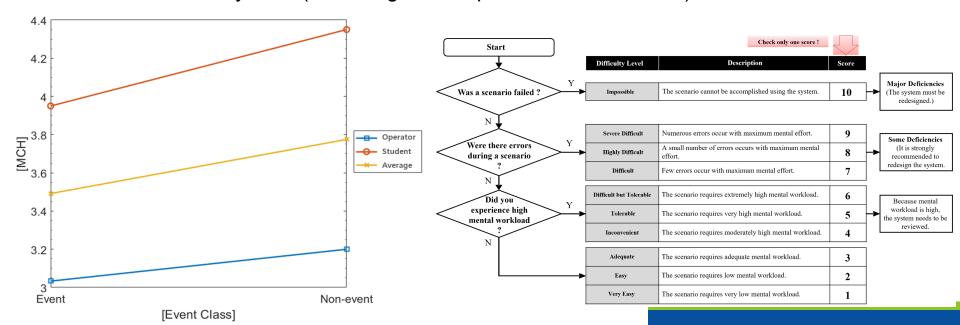
The Relationship	Qualitative and Quantitative Data Analysis				
	Human Performance Analysis	HuREX Analysis			
Between student and operator groups (1)	Done	Done			
Between different types of simplified simulators (2)	Working	Working			
Between simplified simulators and full- scope simulators (3)	Not Started	Not Started			

► Develop Full-scope Inference Models

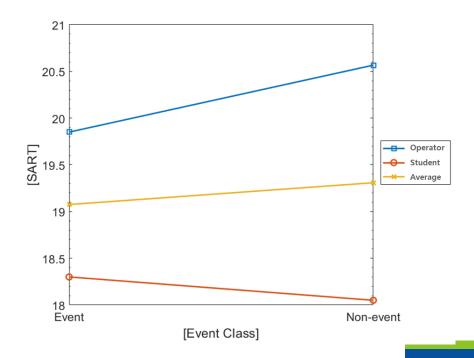
- TAsk COMplexity (TACOM) [53-56] method as a bridge to connect the simplified simulator data to the full-scope framework
 - The TACOM method is a tool to represent the effect of task complexity on human performance in an objective manner.
 - By quantifying TACOM scores of tasks, the feasibility of performance data integration on the HuREX framework will be investigated in the future.



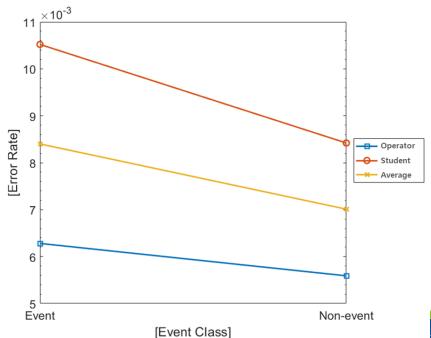
- Workload (MCH)
 - The MCH scores showed a significant difference for participant type.
 - The student group had, on average, higher MCH scores than the operator group:
 4.150 vs. 3.117, respectively.
 - The student group's average workload approximately corresponded to the "inconvenient" level of difficulty (indicating a moderately high mental workload), whereas the operator group's average workload was close to the "adequate" difficulty level (indicating an adequate mental workload).



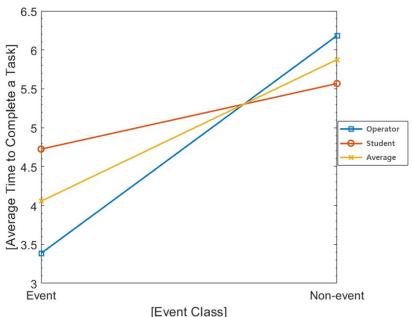
- Situation Awareness (SART)
 - The SART scores only showed a statistical difference for participant type.
 - The operator group reported higher values than the student group: 20.208 vs. 18.175, respectively.
 - A higher SART score indicates better situation awareness.



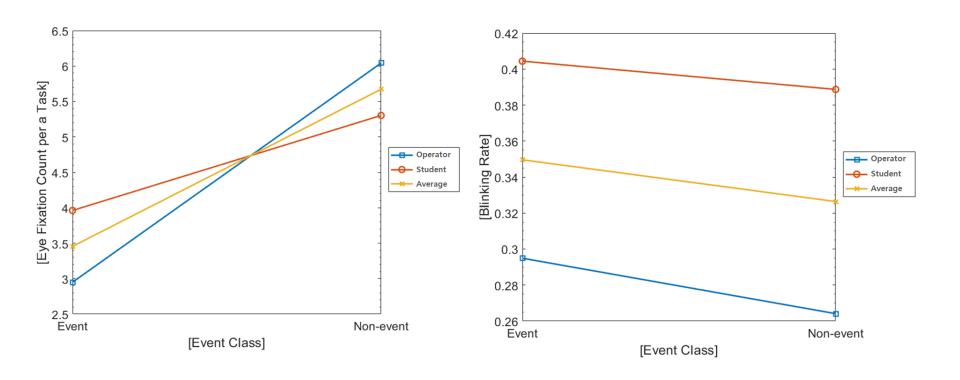
- Error (Error rate)
 - The error rate statistically differed for participant type but not event class.
 - The error rate for the student group was 1.5 times higher than for the operator group: 9.0e-3 vs. 6.0e-3, respectively.
 - The operator group had better performance (i.e., lower error rates) than the student group, regardless of event class.



- Time to Completion (Average time to complete a task)
 - Showed significant differences for event class, though there was no statistical difference for participant type.
 - The event scenarios had lower average times than non-event scenarios: 4.055 vs.
 5.875 seconds, respectively.
 - The interaction between participant type and event class is statistically significant.



- Eye Movements (Eye fixation count per a task; blinking rate)
 - The eye fixation count per task revealed statistically significant differences for event class but not participant type, while the blink rate only showed a significant difference with respect to participant type.



- Number of Manipulations (The number of manipulations per a task)
 - The number of manipulations per a task showed significant differences for event class, though there was no statistical difference for participant type.
 - Comparing number of manipulations per task shows the non-event scenario group performed more manipulations per task than the event scenario group: 0.461 vs. 0.256, respectively.
 - The non-event scenarios require more manipulations than event scenarios, regardless of participant type.

