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United States Nuclear Regulatory Commission
Protecting People and the Environment

Reactor Oversight PROCESS

Photo courtesy of Florida Power & Light Company

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CONTENTS

INTRODUCTION

The mission of the U.S. Nuclear Regulatory Commission (NRC) is to license and regulate the Nation's civilian use of radioactive materials to protect public health and safety, promote the common defense and security, and protect the environment. The agency regulates commercial nuclear power plants and other uses of nuclear materials (such as in nuclear medicine) through licensing, inspection, and enforcement of its requirements.

The agency does not operate nuclear power plants. Rather, it establishes requirements for the design, construction, operation, and security of commercial nuclear power plants in the United States. The agency ensures the plants are operated safely and securely within these requirements by licensing the plants to operate, licensing control room personnel, establishing technical specifications for operating each plant, and inspecting plants on a daily basis.

The NRC uses the Reactor Oversight Process (ROP) to assess a licensee's ability to safely operate a nuclear power plant in accordance with the NRC rules, regulations, license requirements, and adopted licensee standards. If the ROP identifies problems, the NRC can provide additional inspections and other actions in order to protect public health and the environment. The ROP benefits from what the NRC has learned from 30 years of improvements in nuclear industry performance, as well as improved approaches to inspecting and evaluating the safety and security performance of NRC-licensed plants.

Photo courtesy of Progress Energy

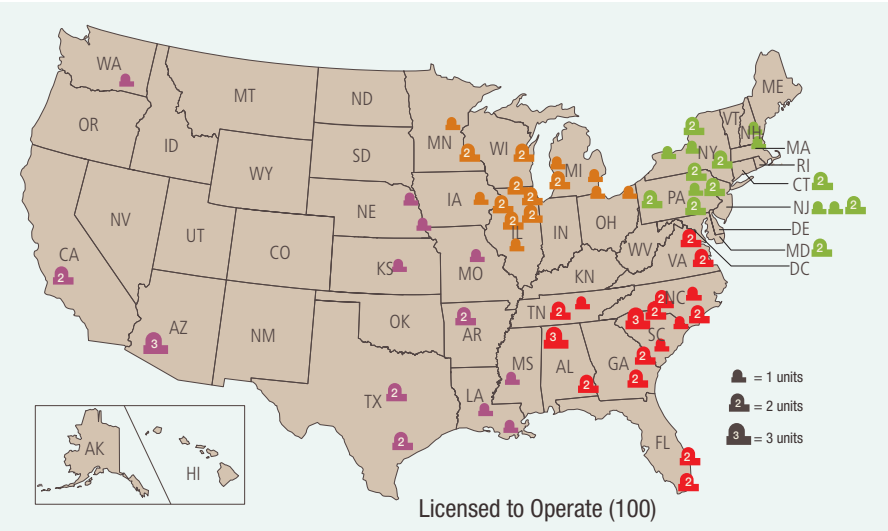
Nuclear power plant

Additional information about the NRC is available on its website: ***http://www.nrc.gov***

REACTOR OVERSIGHT PROCESS

The ROP is the agency's program to inspect, measure, and assess operating commercial nuclear power plant licensees' safety and security, and to predictably respond to declining performance. The program was implemented in 2000 with the goal of providing an objective, risk-informed, understandable, and predictable approach to nuclear power plant oversight. The ROP supports the agency's strategic goals for safety and security, and displays the cross-cutting strategies of openness and effectiveness.

The process spells out clearly what a nuclear plant operator and the public can expect from the NRC when performance is good and what can be expected from the NRC when performance declines.



Commercial nuclear power plants in the United States

The oversight process calls for:

- Focusing inspections on activities where the potential risks are greater.
- Increasing regulatory attention to nuclear power plants as performance declines, while maintaining a normal level of regulatory attention on facilities that perform well.
- Using objective measurements of nuclear power plant performance.
- Providing a timely and understandable assessment of plant performance to both the public and nuclear industry.
- Responding to violations of regulations in a predictable and consistent manner that reflects the potential safety impact of the violations.

REACTOR OVERSIGHT PROCESS CORNERSTONES

The ROP contributes to the NRC's mission of ensuring public health and safety, promoting the common defense and security, and protecting the environment during the operation of commercial nuclear power plants by monitoring plant performance in three strategic performance areas:

- Reactor Safety—avoiding accidents and reducing the consequences of accidents if they occur
- Radiation Safety—for both plant workers and the public from unnecessary radiation exposure during routine operations, and
- Safeguards—protection of the plant against sabotage or other security threats.

To monitor and measure performance, the oversight process focuses on seven "cornerstones" that support the safety of plant operations in the three strategic performance areas. These are described below.

Reactor Safety Area

#1 Initiating Events: Any potential occurrence that could disrupt plant operations and challenge safety functions is an initiating event. This cornerstone focuses on limiting the occurrence of these type of events. These events could include equipment failures leading to a plant shutdown, shutdowns with unexpected complications, or large changes in the plant's power output.

#2 Mitigating Systems: These are safety systems designed into each plant that alleviate the effects of initiating events. Mitigating systems can prevent an accident or reduce the consequences of a possible accident. This cornerstone monitors the function of these safety systems through periodic testing and actual performance.

#3 Barrier Integrity: There are three important barriers between the highly radioactive fuel inside the reactor and the public and the environment outside the plant. These barriers are: (1) the sealed rods containing the fuel pellets, (2) the heavy steel reactor vessel and associated piping, and (3) the reinforced concrete containment structure surrounding the reactor. The integrity of the fuel rods, the vessel, and the piping Licensees continuously monitor these barriers to ensure their integrity is maintained.

#4 Emergency Preparedness: Each nuclear plant is required to have a comprehensive emergency plan to effectively respond to accidents. This cornerstone measures the effectiveness of the plant staff in carrying out the emergency plan. The plant staff frequently conducts emergency exercises with local, State, and, in some cases, Federal agencies. The NRC evaluates these exercises every two years.

Radiation Safety Area

#5 Occupational Radiation Safety: NRC regulations set a limit on radiation doses received by plant workers. Exposures can originate from from poorly controlled or uncontrolled radiation areas or radioactive materials located at the plant. This cornerstone monitors the effectiveness of the plants' program to control and minimize those doses.

#6 Public Radiation Safety: NRC regulations are designed to protect public health and safety from exposure to radioactive materials that may be released into the public domain. This cornerstone measures the procedures and systems designed to minimize radioactive releases from a nuclear plant during normal operations and to keep those releases within Federal limits.

Safeguards Area

#7 Security: Nuclear plants are required to have well-trained security personnel and a variety of protective systems to guard vital plant equipment, as well as programs to assure that employees are constantly fit for duty through drug and alcohol testing. This cornerstone measures the effectiveness of the security and fitness-for-duty programs.

Although the NRC actively oversees the security and safeguards activities and facilities at nuclear plants, the inspection and assessment information is not publicly available to ensure that potentially useful information is not provided to a possible adversary (only the cover letter is publicly available).

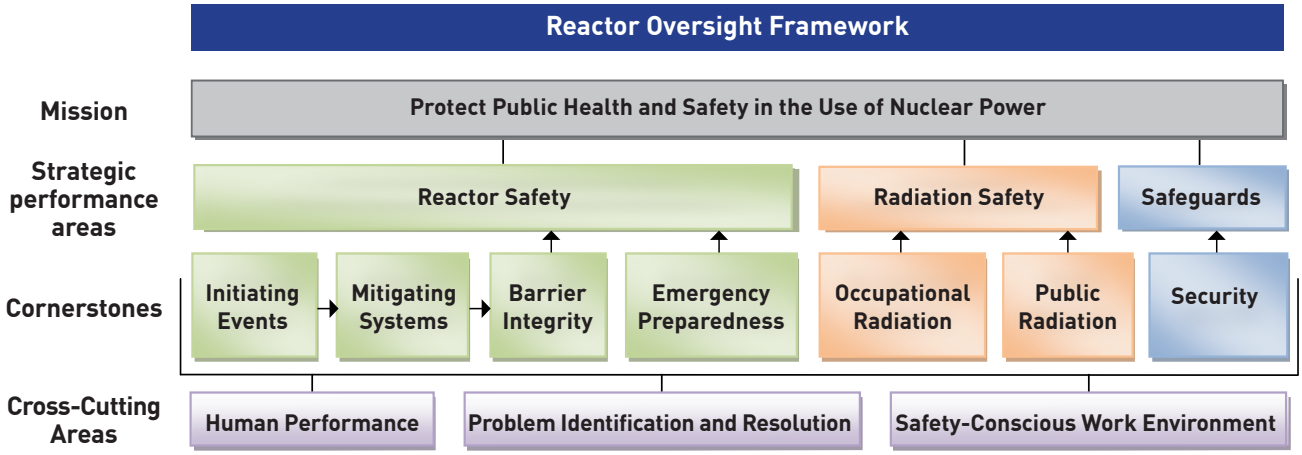
CROSS-CUTTING AREAS

In addition to the cornerstones, the ROP features three "cross-cutting" areas, so named because they can affect each of the cornerstones across all the strategic performance areas.

These cross-cutting areas are as follows:

- **Human Performance—**This area monitors the licensee's decisionmaking process, availability and adequacy of resources to ensure nuclear safety, coordination of work activities, and personnel work practices.
- **Problem Identification and Resolution—** This area monitors the licensee's corrective action and operating experience programs, and the licensee's self and independent assessments.
- **Safety-Conscious Work Environment—** This area monitors an environment in which workers feel free to raise nuclear safety concerns without fear of harassment, intimidation, retaliation, or discrimination.

The review and assessment of these cross-cutting areas have an important role in the ROP. They are considered during all NRC inspections and are covered during periodic plant assessments.



MEASURING AND INSPECTING NUCLEAR PLANT PERFORMANCE

Nuclear plant performance is measured and assessed by a combination of objective performance indicators reported by the licensee and by NRC inspection findings. They are both closely focused on those plant activities having the greatest impact on safety and overall risk. While performance indicators can provide insights into plant performance for selected areas, the NRC's inspection program provides greater depth and breadth of information for consideration by the NRC in assessing plant performance.

Inspection Findings + Performance Indicators = Plant Assessment

In addition, the NRC conducts both periodic and annual reviews of the effectiveness of each utility's programs to identify and correct problems. These programs, and their inputs and products, are described in more detail in the following sections.

Performance Indicators

Each performance indicator has criteria for measuring acceptable performance. As in all industrial activities, nuclear power plants are not error free or risk free. Equipment problems and human errors will occur. Each performance indicator determines acceptable levels of operation within substantial safety margins. The NRC designed the criteria to be objective and reflect risk according to established safety margins. Performance indicators for each cornerstone are shown in the following table.

Safety Cornerstone	Performance Indicators
#1 Initiating Events	• Unplanned reactor shutdowns, or "scrams" (automatic and manual) • Complicated unplanned shutdown • Unplanned events that result in significant changes in reactor power
#2 Mitigating Systems	• Safety system availability and reliability • Safety system failures
#3 Barrier Integrity	• Fuel cladding (measured by radioactivity in reactor cooling system) • Reactor cooling system leak rate
#4 Emergency Preparedness	• Emergency response organization drill performance • Readiness of emergency response organization • Availability of notification system for area residents
#5 Occupational Radiation Safety	• Unplanned radiation exposures to workers
#6 Public Radiation Safety	• Effluent releases requiring reporting under NRC regulations and license conditions
#7 Security	• Security system equipment availability

Use of Performance Indicators

Each indicator is measured against the criteria using a color-coded system for safety performance.

Green: indicates performance within an expected performance level where the associated cornerstone objectives are met.

White: represents performance outside an expected range of nominal utility performance but related cornerstone objectives are still being met.

Yellow: indicates related cornerstone objectives are being met, but with a minimal reduction in the safety margin.

Red: signals a significant reduction in safety margin in the area measured by the performance indicator. The NRC will evaluate the red performance indicator data and integrate this data with findings from the NRC's inspection program in order to provide a broad assessment of the plant's safety performance.

The indicators are compiled by the licensee and reported to the NRC on a quarterly basis; the NRC validates the licensees' reported performance indicators for accuracy. The performance indicators are posted on the NRC's website: **http://www.nrc.gov/NRR/OVERSIGHT/ASSESS/pi_summary.html.**

Inspection Program

The Reactor Oversight Process includes inspections by NRC staff with a variety of backgrounds and skills – among them are plant operations, engineering, radiation protection, emergency preparedness, and security.

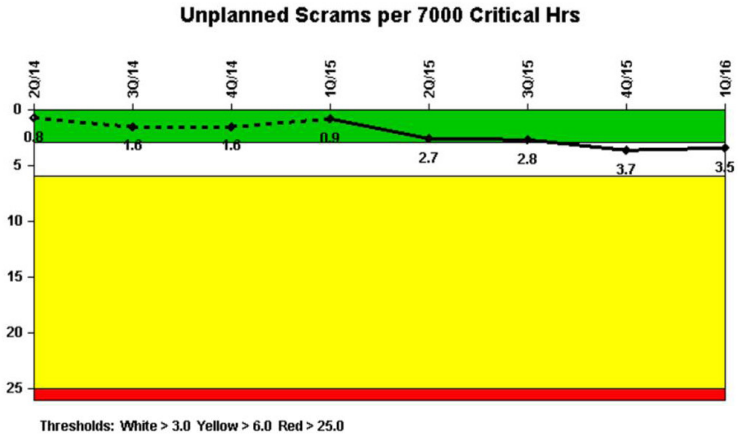
Baseline inspections represent the minimum level of inspection required to ensure plant safety and security, and are common to all operating nuclear plants. The baseline inspection program is aligned to seven cornerstones and focuses on activities and systems that are "risk significant." Risk significant activities and systems have a potential to trigger an accident, can mitigate the effects of an accident, or increase the consequences of a possible accident. Performance is assessed through information gained from performance indicators and NRC inspections.

The inspection program uses a "risk-informed" approach to select areas to inspect within each cornerstone. The inspection areas were chosen because of their importance to potential risk, past operational experience, and regulatory requirements.

The baseline inspection program has three parts:

1. Inspection of areas not covered by performance indicators or where a performance indicator does not fully cover the inspection area
2. Inspections to verify the accuracy of a licensee's reports on performance indicators, and
3. A thorough review of the licensee's effectiveness in finding and resolving problems on its own

Inspections beyond the baseline program are performed in response to specific events at a plant or changes in the plant's performance. For



Example of a Performance Indicator

example, if a performance indicator or inspection finding shows increased safety significance, the NRC may conduct a special or supplemental inspection to review the situation and assess the effectiveness of the plant operator's response. For more complicated situations, the agency may dispatch an augmented inspection team, bringing in additional experts from other NRC regions or headquarters staff. For more serious events, the NRC may form a high-level incident investigation team.

The inspection program also includes reviews of cross-cutting areas of human performance, the presence of a safety-conscious work environment, and the way plant operators find and fix problems. By reviewing these areas, the ROP can detect a decline in safety culture.

The inspections are performed by NRC resident inspectors stationed full time at each nuclear power plant and by inspectors based in one of the four NRC regional offices or in NRC headquarters in Rockville, MD. The regional offices are located in King of Prussia, PA; Atlanta, GA; Lisle, IL; and Arlington, TX.

The NRC issues inspection reports for all inspections. Baseline inspection reports, compiled by the resident inspectors and inspection specialists, are issued at the close of each calendar quarter. Special and supplemental inspection reports are issued several weeks after completion of those inspections. The inspection reports are available on the NRC's website **(http://www.nrc.gov/NRR/OVERSIGHT/ASSESS/listofrpts_body.html)**, in the NRC's online document collection, Agencywide Documents Access and Management System (ADAMS), and from the Public Document Room at NRC headquarters.

ASSESSMENT OF PLANT PERFORMANCE

Significance Determination Process

The staff uses a process, called the Significance Determination Process, to determine the safety or security significance of inspection findings. This process first employs an initial screening to identify those inspection findings that do not result in a significant increase in plant risk (a green finding).

Green: indicates a finding of very low safety or security significance

White: represents a finding of low-to-moderate safety or security significance

Yellow: indicates a finding of substantial safety or security significance

Red: is a finding of high safety or security significance

Remaining inspection findings—which may be more than very low safety or security significance—are subjected to a more thorough risk assessment, using a more detailed evaluation. This detailed assessment may involve NRC risk experts from the appropriate regional office and further review by the utility's plant staff. The final outcome of the review—evaluating whether the finding is green, white, yellow, or red—is used to determine further NRC actions that may be needed.

Quarterly Plant Assessments

Each calendar quarter (every 3 months), the resident inspectors and regional inspection staff review the performance of all nuclear power plants in that region, as measured by the performance indicators and by inspection findings. Once each year, the regular quarterly review includes a more detailed assessment of plant performance with involvement from NRC headquarters staff, regional staff, and resident inspectors. The staff prepares a performance report at the end of this special yearly review. Every 6 months the NRC examines plant performance reviews to determine each reactor's customized inspection plan for the next 24 months.

Annual Performance Reports and Public Meetings

Annual performance reports are available on the agency's website at: **http://www.nrc.gov/NRR/OVERSIGHT/ASSESS/listofasmrpt.html**. In addition, each year the NRC staff holds a public meeting with the licensee at each plant to discuss the previous year's performance. This provides individuals living near the plant an opportunity to find out the status of a plant's safety performance and talk with NRC staff.

Additionally, NRC senior management reviews the adequacy of agency actions for plants with a significant decrease in safety performance. The managers also take a wider view both of the overall industry performance and of the performance of the agency's regulatory programs. The performance of plants requiring heightened agency scrutiny is then discussed during a public meeting with the NRC Commissioners at the agency's Rockville, MD, headquarters.

NRC RESPONSE TO PLANT PERFORMANCE

The quarterly reviews of plant performance, using both the plant operator's reported performance indicators and NRC inspection findings, determines what additional action, if any, the NRC will take if there are signs of declining performance. This approach is defined by the ROP's Action Matrix. This matrix objectively ranks performance based on the significance of inspection findings and performance indicators. The Action Matrix provides consistent, predictable, and understandable agency responses to licensee performance. As illustrated below, the NRC increases oversight as licensee performance declines.

The process uses five levels of regulatory response with NRC regulatory review increasing as plant performance declines. The first three levels involve response by the appropriate regional office. The next two levels call for an agency response, involving senior management attention from both headquarters and regional offices.

The ROP uses various tools for dealing with declining performance. These tools are used in a predictable manner that is commensurate with the decreased safety performance. NRC actions may begin with meetings with the plant operator and additional inspections and escalate to stronger actions like issuing an NRC Order or even suspending the plant's operating license. (See below)

ROP Action Matrix Assessment of Plant Performance	NRC Response
Column 5. Unacceptable Performance	**Response at Agency Level** • Meeting with NRC Executive Director for Operations and senior plant management • Order to modify, suspend, or revoke license
Column 4. Multiple/Repetitive Degraded Cornerstone Repetitive degraded cornerstone, multiple degraded cornerstones, or multiple **YELLOW** inputs, or one **RED** input	**Response at Agency Level** • Meeting with NRC Executive Director for Operations and senior plant management • Plant operator improvement plan with NRC oversight • NRC team inspection focused on performance issues at the site • Demand for Information, Confirmatory Action Letter, or Order
Column 3. Degraded Performance One degraded cornerstone (three **WHITE** inputs or one **YELLOW** input in a cornerstone) or three **WHITE** inputs in any strategic area	**Response at Regional Level** • Meeting with NRC regional management and senior plant management • Plant operator self-assessment with NRC oversight • Additional NRC inspections focused on cause of degraded performance
Column 2. Regulatory Response No more than two **WHITE** inputs in a strategic area	**Response at Regional Level** • Meeting with NRC and plant management • Plant operator corrective actions to address **WHITE** inputs • NRC inspection to follow up on **WHITE** inputs and corrective actions
Column 1. Licensee Response All performance indicators and cornerstone inspection findings **GREEN**	**Normal Regional Oversight** • Routine inspector and staff interaction • Baseline inspection program • Annual assessment public meeting

Increasing Safety Significance

Increasing Regulatory Oversight

VIOLATIONS OF NRC REQUIREMENTS

When NRC inspections uncover violations of NRC requirements, the agency dispositions these violations using the NRC's Enforcement Policy. If an NRC finding of very low safety significance has an associated violation, it is typically discussed in an inspection report with no formal enforcement action. The NRC expects the plant operator to correct the violation through its corrective action program, and NRC inspectors may review the corrective actions during future inspections.

If a violation is associated with an NRC finding of greater safety significance, the NRC will issue a notice of violation. The NRC may also issue a notice of violation for very low safety significance findings if the licensee fails to place the violation into its corrective action program or fails to correct the violation within a reasonable period of time.

The notice of violation requires the plant operator to formally respond to the NRC identifying its corrective actions. The NRC may review the operator's actions in a later inspection.

Normally, violations associated with findings are not subject to fines.

Violations that are not associated with findings call for the traditional enforcement approach, including the possible issuance of fines.

Examples of violations include:

- Discrimination against workers for raising safety issues or other willful violations
- Actions that may adversely affect the NRC's ability to monitor utility activities, including failure to report required information, failure to obtain NRC approval for plant changes, failure to maintain accurate records, or failure to provide the NRC with complete and accurate information
- Incidents with actual safety consequences, including radiation exposures above NRC limits, releases of radioactive material above NRC limits, or failure to notify government agencies when emergency response is required

PERFORMANCE INFORMATION AVAILABLE TO THE PUBLIC

Information on plant performance is updated each quarter on the NRC's website, where performance histories and inspection findings are also available. Full inspection reports are available on the website, in the NRC's online document collection called Agencywide Documents Access and Management System (ADAMS) and from the NRC's Public Document Room. Full inspection reports are available on the Web site (**http://www.nrc.gov/NRR/OVERSIGHT/ASSESS/listofrpts_body.html**,) in the NRC's online document collection called "ADAMS" (**http://www.nrc.gov/reading-rm/adams.html)**, and from the NRC's Public Document Room (**http://www.nrc.gov/reading-rm/pdr.html)**.

The performance indicators and the assessment of inspection findings are placed on the NRC website using the color notation of their significance: green, white, yellow, or red. The statistics and NRC inspection findings that underlie the color notation are also posted on the website.

The NRC's highest priority is the oversight of operating reactors for safety, security, and protection of people and the environment. The Reactor Oversight Process is instrumental to the agency's effective oversight of the Nation's reactors.

Additional information on the Reactor Oversight Process is available at the NRC's website at: **http://www.nrc.gov/NRR/OVERSIGHT/ASSESS/index.html.**

CONTACT US

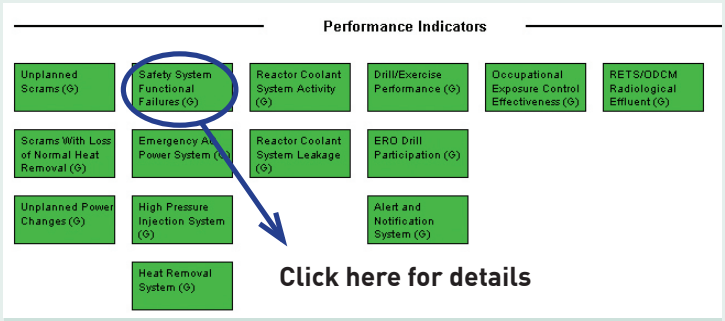
The NRC welcomes comments and questions from members of the public regarding the Reactor Oversight Process.
You can submit comments and questions through the form located at: **http://www.nrc.gov/NRR/OVERSIGHT/ASSESS/contactus.html.**

PERFORMANCE INFORMATION ON NRC WEB PAGES

http://www.nrc.gov/NRR/OVERSIGHT/ASSESS/index.html

Step 1
Click here on plant name

Step 2



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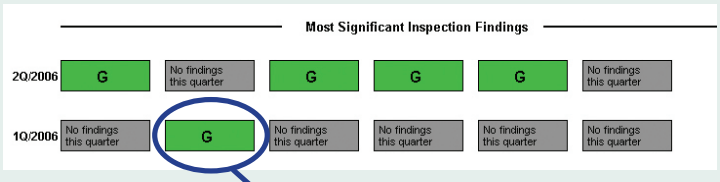

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GLOSSARY

ADAMS: Agencywide Documents Access and Management System.

Baseline Inspection Program: The minimum inspection oversight required to assess licensee safety and security performance. Baseline inspections constitute an appropriate level of inspection at plants whose performance is considered acceptable. Every plant in the country receives at least the baseline inspection program.

Cornerstone of Safety: Nuclear plant activities that are essential for the safe operation of the facility. These cornerstones are grouped under the categories of reactor safety, radiation safety, and safeguards.

Corrective Action Program: The system by which a utility finds and fixes problems at the nuclear plant. It includes a process for evaluating the safety significance of the problems, setting priorities in correcting the problems, and tracking them until they have been corrected.

Cross-Cutting Area: Aspects of licensee performance that are common to all the cornerstones and contribute to maintaining safe facility operation. These include human performance, problem identification and resolution, and safety-conscious work environment.

Inspection Reports: Reports are issued periodically to document inspection findings. These may cover a specific time period for the baseline inspection or a particular event or problem examined in a reactive inspection. All inspection reports are public documents and, when issued, are posted to the NRC's website.

Performance Indicator: Objective data that records performance in a specific cornerstone of safety at a nuclear power plant.

Reactive Inspection: An inspection to examine the circumstances surrounding an operational problem or event occurring at a nuclear plant.

Reactor Oversight Process: The NRC's program to inspect, evaluate, and assess the safety performance of commercial nuclear power plants.

Regulatory Conference: A meeting between the NRC staff and a utility to discuss potential safety issues or to discuss a change in performance as indicated by a declining performance indicator or inspection finding. These meetings are open to public observation unless they cover security issues, NRC investigation findings, or similar sensitive topics.

Resident Inspector: An NRC inspector assigned to a nuclear plant on a full-time basis. Each site has at least two resident inspectors.

Risk-Informed: Incorporating an assessment of safety significance or relative risk in NRC regulatory actions.

Safety Culture: The set of core values and behaviors resulting from a collective commitment by leaders and individuals to emphasize safety over competing goals to ensure protection of people and the environment.

Significance Determination Process: The process used by the NRC staff to evaluate inspection findings to determine their safety significance. This involves assessing how much the inspection findings increase the risk of nuclear operations.

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The Nuclear Regulatory Commission has an established oversight process to inspect, measure, and assess the safety and security performance of commercial nuclear power plants and to respond to any decline in performance. The Reactor Oversight Process focuses inspections on areas of greatest risks, increases regulatory attention to nuclear power plants as performance declines, uses objective measurements of performance, gives the public timely and understandable assessments of plant performance, and provides responses to violations in a predictable and consistent manner that corresponds to the safety significance of the problem.

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