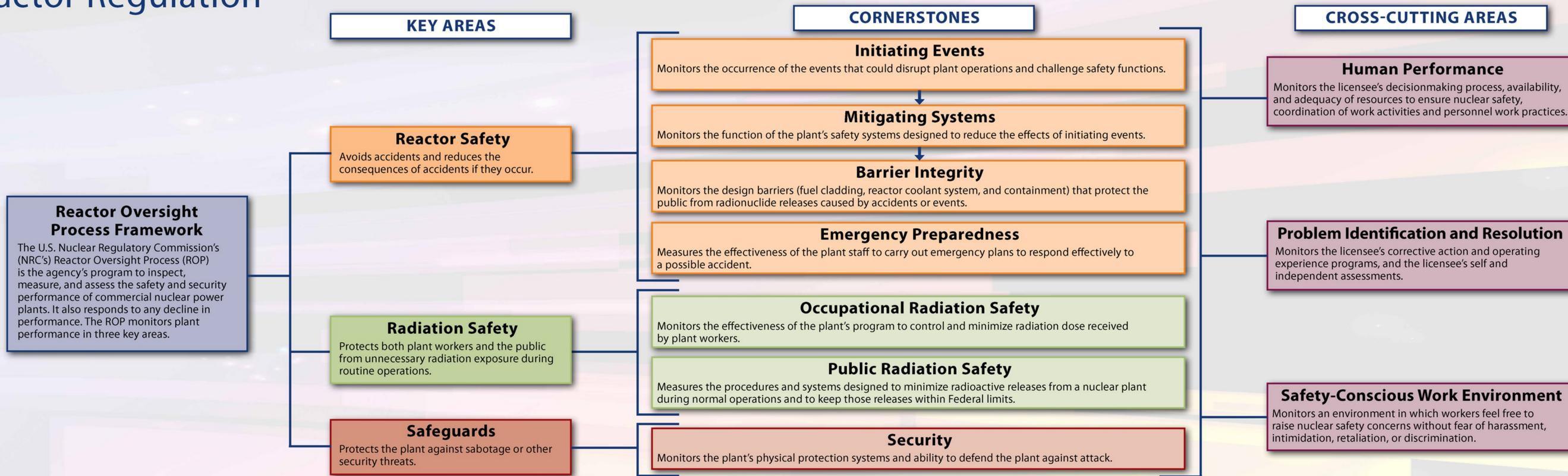




Office of Nuclear Reactor Regulation

Reactor Oversight Process



Plant Assessment

The NRC's plant evaluations are based on two distinct inputs:

- Findings from the NRC's inspection program
- Performance indicators (PIs) reported by the licensee

The NRC gives both PIs and inspection findings a color designation based on their safety significance.

- Green:** very low safety significance (for findings), expected performance (for PIs)
- White:** low-to-moderate safety significance
- Yellow:** substantial safety significance
- Red:** high safety significance



NRC Response to Plant Performance

The NRC evaluates plant performance through performance indicators and NRC inspection findings to determine what action, if any, the NRC will take if there are signs of declining performance. This approach is defined by the ROP's Action Matrix. The Action Matrix provides consistent, predictable, and understandable agency responses to licensee performance.

ROP Action Matrix Assessment of Plant Performance	NRC Response
Column 5. Unacceptable Performance Increasing Safety Significance ↑	Response at Agency Level <ul style="list-style-type: none"> • Meeting with NRC Executive Director for Operations and senior plant management • Order to modify, suspend, or revoke licence
Column 4. Multiple/Repetitive Degraded Cornerstone Repetitive degraded cornerstone, multiple degraded cornerstones, or multiple YELLOW inputs, or one RED input	Response at Agency Level <ul style="list-style-type: none"> • 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 <ul style="list-style-type: none"> • 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 <ul style="list-style-type: none"> • 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 <ul style="list-style-type: none"> • Routine inspector and staff interaction • Baseline inspection program • Annual assessment public meeting ↑ Increasing Regulatory Oversight

Communications

The NRC assesses plant performance continuously and communicates assessment information through the performance summary public Web site for each plant. Information available through the plant's Web site includes the following:

- Quarterly performance indicator data
- Significant inspection findings
- Inspection reports
- Assessment letters



Recent ROP Activities

Risk-informed Framework for New Reactors – implementing Commission directives to develop appropriate revisions to the significance determination process and performance indicators for new reactors.

ROP Enhancements

- **Assessment Program** – implementing elements of the assessment program to better align NRC response to licensee performance.
- **Baseline Inspection Program** – monitoring revised baseline inspection procedures to evaluate oversight effectiveness.
- **Communications** – continuing to revise and develop communication products for public outreach about the ROP.
- **Self-Assessment Program** – implementing revised scope and approach to better assess ROP performance, including updated performance metrics.
- **Significance Determination Process** – implementing recommendations to improve timeliness and efficient use of resources in risk-informed decisionmaking.

