

ANNUAL ASSESSMENT MEETING



Nuclear Regulatory Commission

Agenda

Introduction

Review of Reactor Oversight Process

Discussion of Plant Performance Results

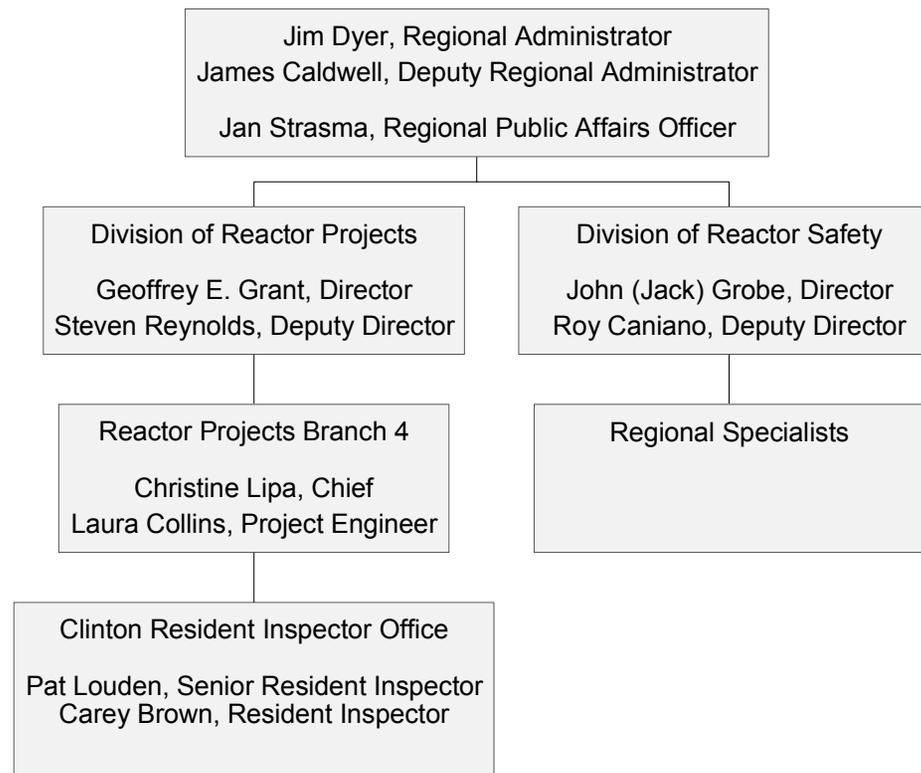
Licensee Response and Remarks

NRC Closing Remarks

Meeting with the Licensee adjourned

NRC available to address questions from the public

Region III Organization



NRC Representatives

Christine Lipa, Chief, Projects Branch 4
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Pat Loudon, Senior Resident Inspector
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Carey Brown, Resident Inspector
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Jan Strasma, Public Affairs Officer
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Reference Sources

Reactor Oversight Process

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

Public Electronic Reading Room

<http://www.nrc.gov/reading-rm/adams.html>

Public Document Room

1-800-397-4209 (Toll Free)

NRC Activities

Ensure nuclear plants are designed, constructed, and operated safely

Issue licenses for the peaceful use of nuclear materials in the U.S.

Ensure licensees use nuclear materials and operate plants safely, and are prepared to respond to emergencies

NRC Performance Goals

Maintain safety and protect the environment

Enhance public confidence

Improve effectiveness, efficiency, and realism of processes and decision making

Reduce unnecessary regulatory burden

NRC Oversight Activities

Provides assurance plants are operating safely and in accordance with the regulations

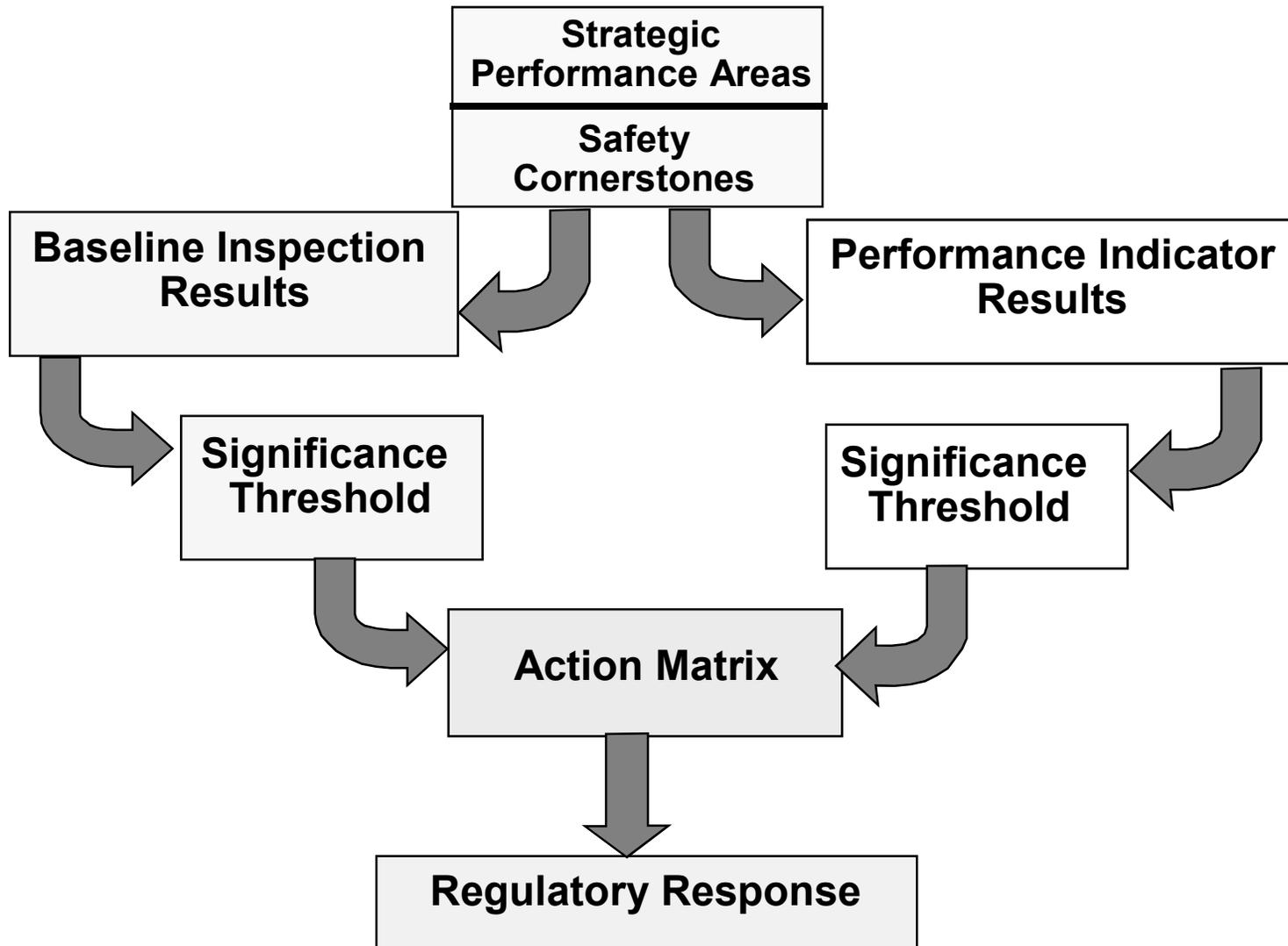
Risk informed process

Objective indicators of performance

Inspections focused on key safety areas

Defines expected NRC and licensee actions

Reactor Oversight Process



Strategic Performance Areas

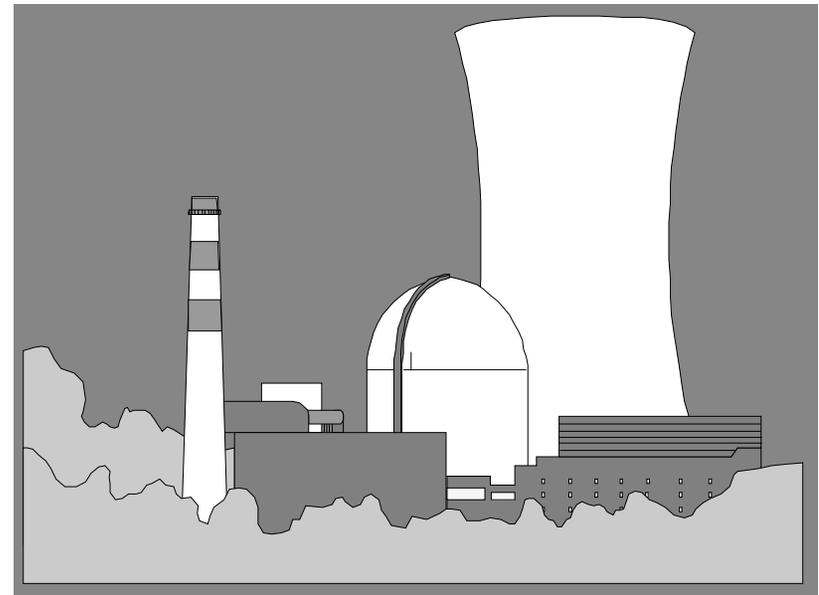
Safety Cornerstones

- Reactor Safety
 - Initiating Events
 - Mitigating Systems
 - Barrier Integrity
 - Emergency Preparedness
- Radiation Safety
 - Occupational Radiation Safety
 - Public Radiation Safety
- Safeguards
 - Physical protection

NRC Resident and Regional Inspectors Conduct Safety Inspections

Baseline Inspections at all reactor sites to monitor plant safety performance in each of the Strategic Performance Areas

Event Follow-up and Supplemental Inspections when required



Examples of Baseline Inspections

Equipment Alignment - ~ 70 hrs/yr

Annual Fire Protection - ~ 35 hrs/yr

Triennial Fire Protection - ~200 hrs every 3 yrs

Operator Response - ~ 125 hrs/yr

Plant security - ~40 hours/yr

Emergency preparedness - ~60 hrs/yr

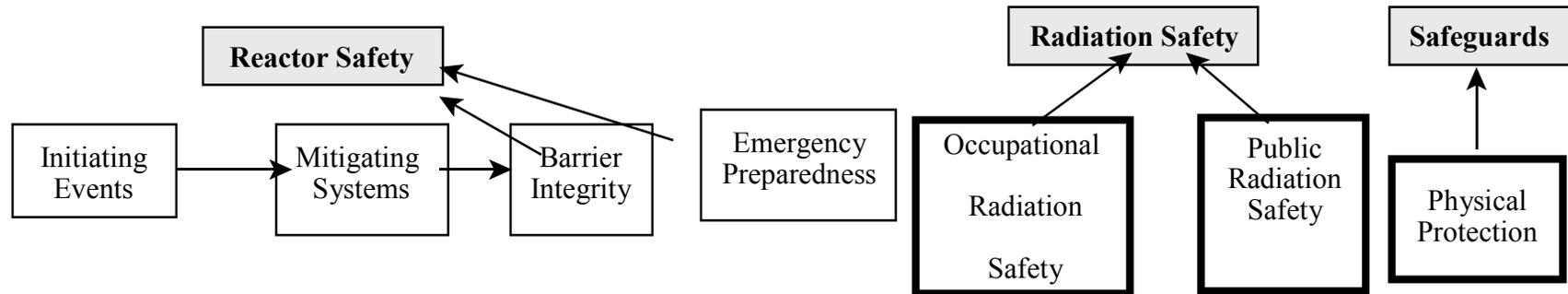
Rad release controls - ~100 hrs every 2 years

Worker radiation protection - ~125 hrs/year

Corrective action program - 10% every inspection

Corrective action program - ~200 hr every 2 yrs

Inspection Areas



Inspection Procedures

- Adverse Weather
- Evaluation of Changes
- Equipment Alignment
- Fire Protection
- Flood Protection
- Heat Sink
- In Service Inspection
- Operator Requalification
- Maintenance Rule Imp
- Maintenance Risk Assessment
- Non-Routine Events
- Operability Evaluation
- Operator Workarounds
- Permanent Mods-Online
- Permanent Mods
- Post Maintenance Test
- Refueling Outage
- SSDI
- Surveillance Testing
- Temporary Modifications
- PI&R
- Event Follow-up
- PI Verification
- Exercise Evaluation
- Alert and Notice
- ERO Augment
- EAL
- EP Preparation
- Drill Evaluation
- RAD Access
- ALARA Plan
- RAD monitoring
- RAD Effluents
- RAD Transport
- RAD Environmental
- Sec Authorization Access
- Sec Search
- Sec Response
- Sec Plan change

Performance Indicators

18 Performance Indicators

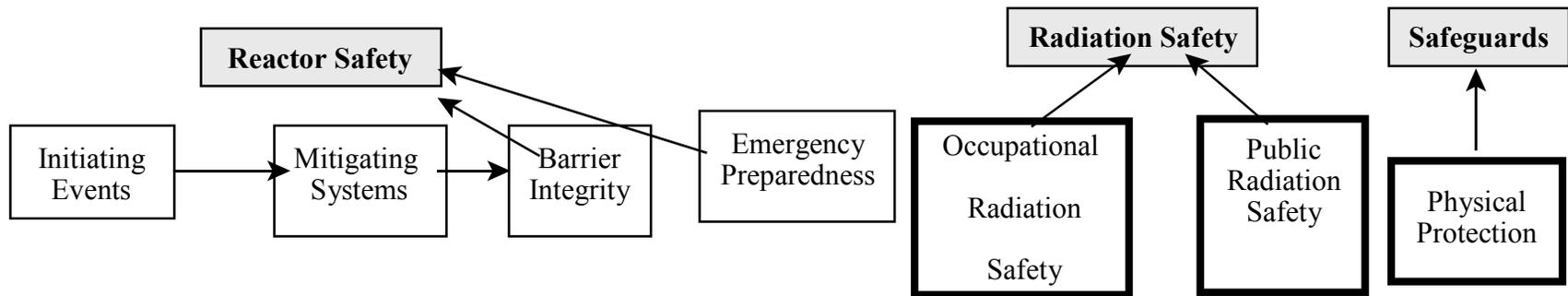
Covers all cornerstones

Licensee submits data to NRC quarterly

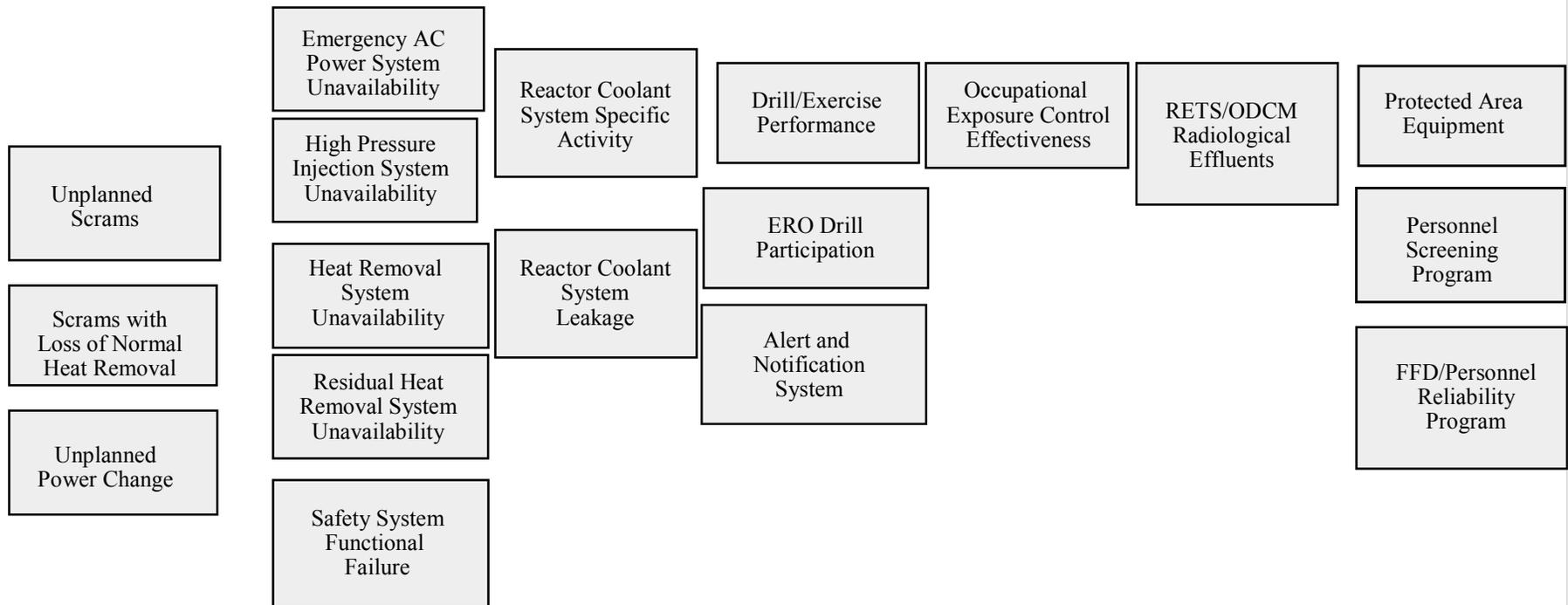
Baseline Inspection program verifies accuracy

Available on Reactor Oversight Program Web site

Relationship of Strategic Performance Areas, Safety Cornerstones and Performance Indicators



Performance Indicators



Significance Threshold

Performance Indicators

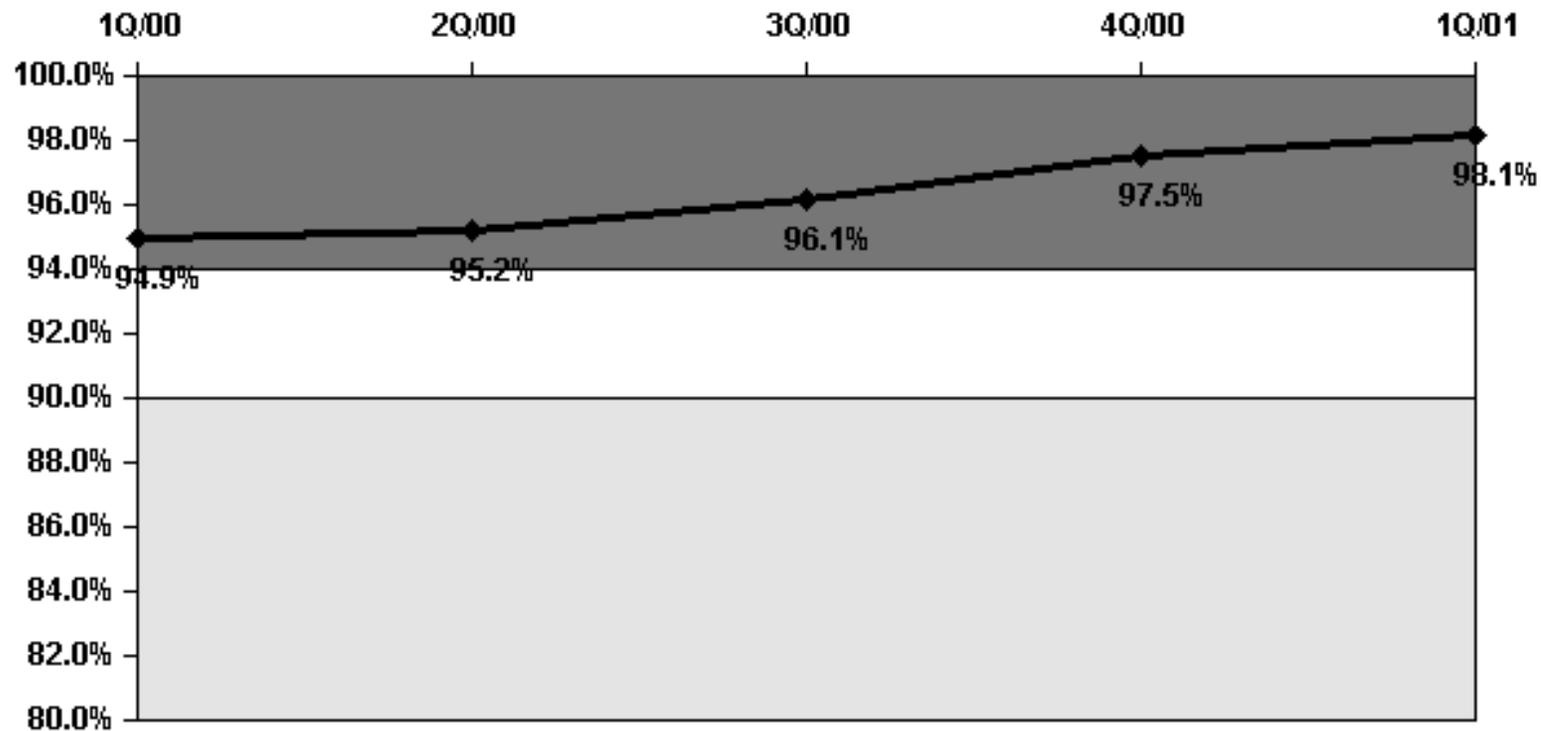
- Green: Only baseline Inspection
- White: May increase NRC oversight
- Yellow: Requires more NRC oversight
- Red: Requires more NRC oversight

Inspection Findings

- Green: Very Low safety issue
- White: Low to moderate safety issue
- Yellow: Substantial safety issue
- Red: High safety issue

Performance Indicator

Alert & Notification System



Thresholds: White < 94.0% Yellow < 90.0%

Key Aspects of Assessment Program

Objective assessment of performance

“Action Matrix” to determine agency response to performance

- Inspection level increases
- Management involvement increases
- Regulatory action increases

Plant specific assessment letters

Information on NRC public web site

An Action Matrix is used to assess overall plant safety performance and specify thresholds for NRC Enforcement Actions

	Licensee Response Column	Regulatory Response Column	Degraded Cornerstone Column	Multiple/ Repetitive Degraded Cornerstone Column	Unacceptable Performance Column	
R E S U L T S		All Assessment Inputs (Performance Indicators (PIs) and Inspection Findings) Green; Cornerstone Objectives Fully Met	One or Two White Inputs (in different cornerstones) in a Strategic Performance Area; Cornerstone Objectives Fully Met	One Degraded Cornerstone (2 White Inputs or 1 Yellow Input) or any 3 White Inputs in a Strategic Performance Area; Cornerstone Objectives Met with Minimal Reduction in Safety Margin	Repetitive Degraded Cornerstone, Multiple Degraded Cornerstones, Multiple Yellow Inputs, or 1 Red Input; Cornerstone Objectives Met with Longstanding Issues or Significant Reduction in Safety Margin	Overall Unacceptable Performance; Plants Not Permitted to Operate Within this Band, Unacceptable Margin to Safety
R E S P O N S E	Regulatory Performance Meeting	None	Branch Chief (BC) or Division Director (DD) Meet with Licensee	DD or Regional Administrator (RA) Meet with Licensee	RA (or EDO) Meet with Senior Licensee Management	Commission meeting with Senior Licensee Management
	Licensee Action	Licensee Corrective Action	Licensee root cause evaluation and corrective action with NRC Oversight	Licensee Self Assessment with NRC Oversight	Licensee Performance Improvement Plan with NRC Oversight	
	NRC Inspection	Risk-Informed Baseline Inspection Program	Baseline and supplemental inspection procedure 95001	Baseline and supplemental inspection procedure 95002	Baseline and supplemental inspection procedure 95003	
	Regulatory Actions	None	Supplemental inspection only	Supplemental inspection only	-10 CFR 2.204 DFI -10 CFR 50.54(f) Letter - CAL/Order	Order to Modify, Suspend, or Revoke Licensed Activities
C O M M U N I C A T I O N	Assessment Letters	BC or DD review/sign assessment report (w/ inspection plan)	DD review/sign assessment report (w/ inspection plan)	RA review/sign assessment report (w/ inspection plan)	RA review/sign assessment report (w/ inspection plan) Commission Informed	
	Annual Public Meeting	SRI or BC Meet with Licensee	BC or DD Meet with Licensee	RA (or designee) Discuss Performance with Licensee	EDO (or Commission) Discuss Performance with Senior Licensee Management	Commission Meeting with Senior Licensee Management
INCREASING SAFETY SIGNIFICANCE ----->						

Action Matrix Concept

Licensee Response	Regulatory Response	Degraded Cornerstone	Multiple/Degraded Cornerstone	Unacceptable Performance
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Increasing Safety Significance

Increasing NRC Inspection Efforts

Increasing NRC/Licensee Management Involvement

Increasing Regulatory Actions

National Summary of Plant Performance -103 Plants End of Calendar Year 2001

Licensee Response	74
Regulatory Response	24
Degraded Cornerstone	4
Multiple/Repetitive Degraded Cornerstone	1
Unacceptable	0

National Summary

Fourth Quarter Calendar Year 2001 Performance Indicator Results

Green: 1834
White: 8
Yellow: 0
Red: 0

Total Inspection Findings
(April 2001 - December 2001)

Green: 660
White: 23
Yellow: 2
Red: 0

CLINTON INSPECTION RESULTS

ONE WHITE FINDING:

INADEQUATE CORRECTIVE ACTIONS FOR THE HIGH FAILURE RATE OF CONTROL ROOM COMMUNICATORS (EP)

FOUR GREEN FINDINGS:

FAILURE TO FOLLOW PROCEDURES LED TO UNPLANNED AUTOMATIC REACTOR SHUTDOWN (IE)

FAILURE TO MAINTAIN SCBA QUALIFICATIONS (EP)

FAILURE TO PERFORM AN ADEQUATE SURVEY (ORS)

FAILURE TO MAINTAIN CONTROL OF HIGH RADIATION AREA KEYS (ORS)

CLINTON INSPECTION RESULTS

INSPECTION HOURS:

**2051 BASELINE INSPECTION AND PLANT
STATUS HOURS**

29 SUPPLEMENTAL INSPECTION HOURS

MAJOR INSPECTION ACTIVITIES:

SAFETY SYSTEM DESIGN INSPECTION

Clinton Annual Assessment (April 1 -Dec 31, 2001)

Operated safely

Fully met all cornerstone objectives

Regulatory Response Column of Action Matrix

- One inspection finding finding was of low to moderate safety significance (White)
- All Performance Indicators requiring no additional NRC oversight (Green)

NRC Plans to conduct baseline inspections