NUCLEAR ENERGY INSTITUTE

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August 2, 1999

Mr. Samuel J. Collins, Director
Office of Nuclear Reactor Regulation
U.S. Nuclear Regulatory Commission
Washington, DC 20555

Dear Mr. Collins:

In 1995, the industry developed *Guideline for Managing NRC Commitments*. The document was provided to the NRC for review and potential endorsement in December, 1995. In SECY 95-300, the NRC staff indicated that the document provided an acceptable method to manage NRC commitments. A subsequent letter to the industry in early 1996 indicated acceptance of the document by the NRC.

The guideline has been used extensively by licensees to manage their commitments. In 1998, the NRC conducted audits of commitment management programs at eight facilities. While there were no major program shortcomings, the NRC determined that additional guidance was needed on managing commitments. SECY 98-224 indicated that the NRC staff was working with NEI to revise the guidance document.

As a result of our interactions, we have developed NEI 99-04, *Guidelines for Managing NRC Commitment Changes* (enclosed). We respectfully request NRC review and acceptance of this guideline, similar to that of the previous guideline noted above.

I would like to take this opportunity to extend my thanks to your staff for their long hours in the revision process of this enhanced document. We believe the guidance will further our mutual goal of improved clarity and predictability in the regulatory process.

If you have questions or comments please contact me.

Sincerely,

Anthony R. Pietrangelo

ATTACHMENT

ARP/RCE/ngs
Enclosure

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NEI 99-04 [REVISION 0]

Guidelines for Managing NRC Commitment Changes

NUCLEAR ENERGY INSTITUTE

July 1999

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NEI 99-04 [REVISION 0]

Nuclear Energy Institute

Guidelines For Managing NRC Commitment Changes

July 1999

ACKNOWLEDGMENTS

NEI appreciates the invaluable assistance of the Commitment Management Task Force in development of this guidance.

NOTICE

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1 INTRODUCTION

Licensees are required to comply with NRC rules, regulations and orders, and with their licenses. A plant's license includes its technical specifications, as well as any general or specific license conditions. These requirements frequently are referred to as "obligations" to differentiate from licensee-generated tasks—for example, a task designed to improve the cost-effectiveness of a maintenance or operations program. The method of compliance with a regulatory requirement frequently is the subject of NRC guidance, such as a NUREG report or a regulatory guide. However, the licensee generally has the authority to determine what method of compliance is appropriate for its plant(s) to meet these obligations (see § 50.109(a)(7)).

As part of their routine interface with the NRC staff, licensees may agree to take actions covering a wide range of topics. Some of these topics have high safety significance, while others have low or no safety significance. The agreed-upon actions may exceed regulatory requirements or involve a specific method for meeting an obligation. Historically, the licensee's statements of action related to these obligations have been called "commitments."

With the advent of risk-informed and performance-based regulations, the classic definition of a commitment has changed from one of process orientation, to one of outcomes orientation. Therefore, the *method used* by a licensee to restore compliance with an obligation—for example, corrective action taken in a Notice of Violation or Licensee Event Report usually will not be considered a *commitment*. In most cases, the term commitment refers to the licensee's promise to restore compliance with the violated obligation, by a given date.

As part of normal business practice, licensees routinely track a variety of commitments. These include commitments made to non-regulatory organizations such as the Institute of Nuclear Power Operations, as well as corrective actions and self-assessments. Previously, guidance for managing regulatory commitments has been provided in NEI's *Guideline for Managing NRC Commitments*, Revision 2, December 1995. The NRC determined that the NEI guidance document was an acceptable method for licensees to follow for managing and changing their regulatory commitments to the NRC. The industry guideline reflects lessons learned and changes in the changing regulatory environment.

Licensee correspondence dealing with regulatory commitments should distinguish clearly between regulatory commitments to restore compliance with NRC rules and regulations and voluntary commitments—for example, enhancements, routine corrective actions taken in accordance with quality assurance programs, or other descriptive information.

In the past, responses to Notices of Violation (NOV) and Licensee Event Reports (LER) have identified corrective actions. Historically, licensees have identified as commitments those corrective actions taken to address a NOV or plant incidents that resulted in a Licensee Event Report. Typically, the licensee would track these corrective actions as commitments in commitment management and corrective action programs. Under the revised definition of "regulatory commitment," dual tracking is not required. In addition, some corrective actions

represent enhancements to ongoing practices that were not directly related to the cause of the event.

Future correspondence with the NRC should distinguish between:

- regulatory commitments and promises to restore compliance, and
- licensee-generated tasks, enhancements, or routine or ancillary information.

It may be useful to include in correspondence specific statements regarding the classification of information.

The nuclear industry and the NRC have the same fundamental objective: to identify and accomplish those actions that provide the level of nuclear plant performance necessary to ensure adequate protection of public health and safety. The lack of distinction between commitments of high and low (or even no) safety significance—and the lack of a readily acceptable and practical method for eliminating or changing resulting commitments when warranted—impedes the achievement of this objective.

Licensees historically have treated commitments seriously, making changes to these commitments only after due consideration of any safety impacts. At times, licensees have hesitated to change commitments even when justified from a safety standpoint. There are two major reasons for this hesitation. First, some licensees are concerned that the NRC may view the commitment change negatively. Second, licensees may perceive that the process for changing commitments is burdensome.

A uniform practice regarding commitments and commitment change mechanisms within the industry would assist individual utilities in focusing resources on significant issues and in changing past commitments that no longer serve their intended purpose.

This guidance document describes a baseline set of commitment change concepts that licensees can use to supplement their plant-specific programs for changing both past and future commitments. The guideline is intended to be used either to change commitments on a case-by-case basis, or as part of a comprehensive effort to re-baseline the total population of docketed commitments. The guidance applies to commitments communicated to the NRC under the current regulatory structure. Licensees must decide how they will address commitments communicated to the NRC prior to the promulgation of this guidance document.

It is important to understand that the guidance does not imply that licensee managers act only in response to regulatory requirements or initiatives. Indeed, licensees take many actions designed to maintain or improve safety without interacting with the NRC staff.

2 RECOMMENDED ACTIONS

2.1 MANAGING COMMITMENTS

Any significant commitment of utility resources—whether to satisfy a concern of an NRC inspector, to respond to a generic NRC communication, or to determine the appropriate manner to implement a regulatory requirement—should follow a reasoned management decision-making process. To ensure proper management control of utility resources, licensees should establish an internal process to control commitments. For example:

- Commitments and their relative priority should be based upon an evaluation of the safety benefit that will be attained; the pertinent legal requirement, if any; the technical bases for the contemplated action or activity; and the resources available, in the context of other requirements and commitments. The licensee also should consider carefully both the cost of an action being considered (its initial cost, as well as any costs that would be incurred over the life of the unit) and the value added. These elements should be considered in the context of any pertinent regulatory requirement(s).

- Commitments should be made only by previously designated persons. Consistent with the utility's management approach, the number of individuals designated could be very few, or the responsibility could be delegated fairly broadly within each area of responsibility.

- The designated individuals(s) should be identified both internally and externally as the only licensee personnel with the authority to commit utility resources. Similarly, the utility should encourage the NRC to designate one or more points of contact to represent the NRC in resolving questions related to the prioritization of issues and utility resource commitments.

- The NRC should be advised that oral statements to take certain action represent an *intent* to make a commitment, but do not constitute a *commitment* until submitted in writing on the docket by a designated utility representative. (This would not apply to "discretionary enforcement" situations.)

- In general, licensees should avoid making oral statements of intent to take specific actions requiring significant levels of resources without first obtaining the approval of the designated senior management person responsible. Oral statements to take certain actions should not be made in response to inspection findings until (1) after receipt of the written inspection report that identifies the particular matter and describes the NRC's concern regarding that matter, and (2) after the utility has completed an evaluation to ensure that the root cause of the NRC's concern will be corrected by the proposed action. However, nothing in these guidelines should be construed to suggest that a licensee should not take action immediately to correct an emerging

safety issue or a safety issue arising from noncompliance with a rule or regulation or a licensee's programs or procedures.

- Licensees should review carefully any confirmatory action letters, NRC inspection reports and NRC safety evaluation reports to ensure that (1) any implicit or explicit re-statements of the licensee's regulatory commitments are accurate, and (2) the NRC has not misconstrued oral or written communications as commitments. Inaccurate statements should be corrected promptly by written notification to the NRC.

- Routine licensee programs and processes should be sufficient to ensure that routine corrective actions reported to the NRC are not undermined by subsequent changes. If concerns exist regarding the adequacy of normal processes to maintain desired changes or prevent recurring problems, licensees may use the commitment management system to ensure that future changes receive additional reviews and/or management attention.

- In some cases, licensees may choose to allow NEI, an owners group, or another organization to work with the NRC staff on their behalf to resolve generic issues or issues germane to a vendor type. Licensees should ensure that statements made by such organizations, and represented as commitments by the participating licensees, are appropriate and are managed in accordance with the licensees' commitment management programs. Alternatively, individual licensees may commit to implement programs agreed to by NRC staff and industry organizations. In these cases, licensees should identify any initial deviations from the generic programs when making the commitment and should evaluate and report to the NRC staff subsequent departures from the generic programs in accordance with the licensee's commitment management program.

- Each licensee should consider including a "sunset clause" in commitments, where appropriate, to establish a period of time to evaluate the effectiveness of the commitment.

2.2 Implementation of Regulatory Commitments

Regulatory commitments should be implemented as described in the information provided to the NRC staff. Changes to the plans for implementation—including the schedule and the planned actions themselves—should be communicated to the NRC staff in a timely manner. Information management systems, annotations to procedures, and other methods may be useful for licensees to assure the traceability of regulatory commitments. Such systems can help ensure that subsequent changes to regulatory commitments are evaluated using the guidance in the following section.

Licensees should consider carefully the need to inform the NRC staff prior to implementation if the licensee changes its plans for corrective actions taken to restore compliance with regulatory requirements, even if the specific actions planned were not considered regulatory commitments. In general, the NRC staff should be informed of significant changes in a manner similar to that used to provide the original information (e.g., revised LER, revised NOV response, etc.).

2.3 CHANGING COMMITMENTS

Changes to commitments also should be the result of a reasoned management decision-making process. To ensure continued management control of resources applied to commitments, the following commitment change practices are recommended:

- Each licensee should consider periodically evaluating its outstanding commitments and the manner in which those commitments have been implemented, focusing on those commitments that have a major impact on the utility's costs. The licensee should determine whether the current commitment represents the most cost-effective way of satisfying the safety issue that prompted the commitment and should change those commitments as appropriate.

- Each licensee should establish a practical commitment change process that identifies the relative safety significance and regulatory interest of commitments communicated to the NRC staff.

  [Figure A-1 in Appendix A provides a sample commitment change process.]

3 COMMITMENT CHANGE PROCESS

3.1 DEFINITIONS

The following definitions and their bases are intended to facilitate a common understanding of the distinction between the safety importance and regulatory significance of different types of licensee actions communicated to the NRC.

Obligation refers to any condition or action that is a legally binding requirement imposed on licensees through applicable rules, regulations, orders and licenses (including technical specifications and license conditions). These conditions (also referred to as regulatory requirements) generally require formal NRC approval as part of the change-control process. Also included in the category of obligations are those regulations and license conditions that define change-control processes and reporting requirements for licensing basis documents such as the updated FSAR, quality assurance program, emergency plan, security plan, fire protection program, etc.

Regulatory Commitment means an explicit statement to take a specific action agreed to, or volunteered by, a licensee *and* submitted in writing on the docket to the NRC.

Licensees frequently communicate their intent to take certain actions to restore compliance with Obligations, to define a certain method for meeting Obligations, to correct or preclude the recurrence of adverse conditions, or to make improvements to the plant or plant processes. A Regulatory Commitment is an intentional undertaking by a licensee to (1) restore compliance with regulatory requirements, or (2) complete a specific action to address an NRC issue or concern (e.g., generic letter, bulletin, order, etc.). With respect to corrective actions identified in a NOV response or LER, the specific method(s) used by licensees to restore compliance with an obligation are not normally considered a Regulatory Commitment. The Regulatory Commitment in this instance is the promise to restore compliance with the violated obligation.

In the past, not all licensee correspondence has clearly distinguished between Regulatory Commitments (e.g., promises to restore compliance to a violated obligation by a certain date) and factual statements, descriptive information and voluntary enhancements not intended to constitute a Regulatory Commitment. Potential confusion resulting from this lack of clarity may require dialogue between a licensee and the NRC on a case-by-case basis. To avoid confusion, licensees should distinguish clearly between regulatory commitments to restore compliance with NRC rules and regulations and voluntary enhancements, routine corrective actions taken in accordance with quality assurance programs, and other descriptive information. [In addition to the change process described in the following section, licensees may wish to evaluate existing open, continuous/cyclical or one-time commitments in light of the definitions included in this document.]

4 CHANGE PROCESS

The following outlines a recommended change process intended to provide licensee management with the flexibility necessary to effectively manage the safe and efficient operation of their nuclear plants, while ensuring that changes that are significant to safety and/or of high regulatory interest are communicated to the NRC. The recommended change process does not apply to confirmatory action letter commitments as described in the NRC's Enforcement Policy, NUREG-1600.

4.1 OBLIGATIONS

No changes from current requirements are needed. The available statutory-based mechanisms include petitions for rulemaking under 10 CFR 2.802, exemption requests under 10 CFR 50.12, license amendment requests under 10 CFR 50.90, changes to certain plans under 10 CFR 50.54 and requests to modify or rescind orders issued under 10 CFR 2.202.

4.2 REGULATORY COMMITMENTS

The attached flowcharts, Figures A-1 and A-2, outline a regulatory commitment management change process that (1) delineates commitments that have safety significance and/or regulatory interest; (2) establishes guidance for notifying the NRC of changes to commitments that have safety significance and/or regulatory interest; and, (3) establishes a rationale for eliminating past regulatory commitments that have negligible safety significance and/or regulatory interest. Figure A-3 is a summary sheet that, when completed, provides an adequate level of documentation for the decisions made in revising a commitment using this change process.

[As part of normal business practice, licensees routinely track a variety of actions, including those from non-regulatory sources such as INPO, and other corrective actions or self-assessments. The change process for these actions should be consistent with site management expectations and programs.]

(Figure A-1, COMMITMENT MANAGEMENT CHANGE PROCESS, has five decision steps which are described below.)

STEP 1: IS THERE A CODIFIED CHANGE PROCESS FOR THE COMMITMENT?

Commitments that are embodied in the Updated Final Safety Analysis Report as descriptions of the facility or procedures are changed by applying the provisions of 10 CFR 50.59 to determine if a change requiring prior NRC approval exists. If a complete 10 CFR 50.59 review determines that a change requiring prior NRC approval does not exist, licensees may make the change and provide a description of the change to the NRC annually or coincident with filing FSAR updates. Otherwise, prior NRC review and approval of the change is required.

Licensees apply NEI-96-07 in implementing 10 CFR 50.59. NEI-96-07 provides screening criteria to identify items that clearly do not constitute a change requiring prior NRC approval to eliminate the need for performing a complete 10 CFR 50.59 analysis. Regulatory commitments thus screened from complete application of the 10 CFR 50.59 criteria need not be further evaluated for their safety significance under Step 2 and should proceed to Step 3.

[NOTE: This guideline is not to be used to evaluate individual changes to regulatory commitments embodied in the FSAR or to justify reductions in scope of a FSAR. NEI-98-03 provides guidance for updating the FSAR.]

Commitments that are contained in certain programs and plans required by 10 CFR 50.54 are changed by applying the provisions of the applicable section of 10 CFR 50.54 (50.54(a) for Quality Assurance Plan, 50.54(p) for Safeguards Contingency Plan or 50.54(q) for Emergency

Plan). Changes that do not "reduce commitments" in the Quality Assurance Plan or that do not "reduce the effectiveness" of the Safeguards Contingency Plan or Emergency Plan may be made without prior NRC review and approval with notification of the change as specified in the applicable 50.54 section. Otherwise, prior NRC review and approval of the change is required.

Licensees who employ a formal commitment tracking system may choose to remove items from their tracking systems upon placement of the information into another licensing basis document (e.g., updated FSAR and QA Program), to the extent that controls and reporting requirements for subsequent changes are consistent with expectations mutually agreed upon by the licensee and NRC staff. [Decisions to maintain or delete items covered by other controls are left to the discretion of licensees considering the site-specific procedures, information management systems and other factors.]

Commitments made under 10 CFR 50.82(a) apply to plants seeking license termination (decommissioning). Changes to regulatory commitments under this section follow the same guidelines as operating plants

STEP 2: IS THE CHANGE SIGNIFICANT TO SAFETY?

Commitment changes that are not captured by the codified processes identified in Step 1 above still need to be evaluated in terms of their safety significance unless application of the NEI-96-07 screening criteria under Step 1 determined that the change does not impact the ability of a SSC to perform its safety function. Figure A-2 outlines a deterministic approach for conducting safety assessments. The process is briefly described below:

The first step is to evaluate if the change could negatively impact the ability of a SSC to perform its intended safety function. NEI-96-07, Section 4, contains useful criteria for performing this evaluation. Other relevant information in performing this evaluation is an understanding of the safety basis for the original commitment. A review of pertinent documentation (e.g., NRC bulletin or generic letter, LER, NOV, etc.) that prompted the original commitment is a source for basis information. A further factor to be considered in performing the evaluation is whether the change could negatively impact the ability of licensee personnel to ensure the SSC is capable of performing its intended safety function as a result of changes to procedures, programs and other human performance elements. If the evaluation determines that the change could not negatively impact the ability of a SSC to perform its intended safety function, the change is not safety significant.

If the evaluation determines that the change could impact the ability of a SSC to perform its intended safety function, then an assessment applying the criteria of 10 CFR 50.92 (c), (1) through (3), should be performed to determine if the change involves a significant hazards consideration. Probabilistic Safety Assessment (PSA) insights can be used to supplement deterministic-based assessments. If the assessment determines that a significant hazards consideration exists, the change is significant to safety. Otherwise, the change is not safety significant.

Changes to commitments that are evaluated as being significant to safety would either not be implemented or would require discussion with the NRC and review and approval, as appropriate, or written notification. Changes evaluated as not significant to safety would proceed to Step 3 to assess if a compliance issue exists.

STEP 3: WAS THE ORIGINAL COMMITMENT DESIGNED TO ACHIEVE COMPLIANCE WITH AN OBLIGATION?

Non-compliance with obligations are identified to licensees through (NOVs) and non-cited violations. Responses to NOVs and some LERs include the immediate corrective actions taken to restore compliance with the obligation. Historically, these corrective actions (e.g., one-time, recurring, etc.) typically prescribed the method(s) of complying with obligations. In the future, the method(s) used by licensees to restore compliance with an obligation will normally not be considered a commitment. The commitment, in this example, (corrective actions taken in a NOV response or LER) is the licensee's promise to restore compliance with a violated obligation by a certain date.

Additionally, NRC must be notified of changes to the date committed to restore compliance with an obligation. If a revision to the regulatory commitment date is necessary, and can be justified, then notify NRC prior to the original commitment date. If the revision to the commitment date can not be justified, then either meet the original commitment date or apply for the appropriate regulatory relief. Changes to the associated corrective actions will need to be evaluated (by the licensee) to determine if the change would still achieve compliance with the obligation.

It may be prudent to discuss changes in methods of restoring compliance with the NRC staff to determine if the description of the corrective actions planned or taken to restore compliance may be of a sufficient interest to warrant a submittal.

STEP 4: DID THE NRC RELY UPON THE ORIGINAL COMMITMENT BEING CONSIDERED FOR CHANGE?

Some commitments are made in response to a subject of regulatory interest. For example, the NRC may have either reviewed and approved the action volunteered or agreed to by the licensee or relied upon the commitment in lieu of taking other action, such as issuing orders. Items in this category include: (1) specific statements in NRC safety evaluation reports crediting specific licensee commitments as being the basis for an NRC staff safety conclusion (general references to an entire licensee report, such as a fire hazards analysis, are not considered to be specific commitments in this context); (2) commitments made in response to NRC bulletins and generic letters; and (3) commitments made in response to requests for information under 10 CFR 50.54(f) or 10 CFR 2.204.

Regulatory commitments may involve new actions as well as existing actions credited by licensees in responding to NRC requests. For example, responses to an item in an NRC bulletin crediting an existing program, practice or plant feature as meeting the intent of the requested action is a regulatory commitment. Changes to regulatory commitments not captured in categories (1) through (3) would proceed to Step 5.

If the original commitment has yet to be implemented, the licensee can proceed with the change, but the NRC should be notified of the change as soon as practicable after the change is approved by licensee management, but before any committed completion date. Notification should be accomplished by supplementing the docketed correspondence containing the original commitment.

If the original commitment has been implemented, the licensee can revise the commitment and the NRC should be notified in a summary report (annual, refueling outage, or for decommissioning plants, 24 months).

STEP 5: WAS THE ORIGINAL COMMITMENT MADE TO MINIMIZE RECURRENCE OF A CONDITION ADVERSE TO QUALITY?

Commitments to take long-term corrective actions in Licensee Event Reports (LERs) are made to minimize recurrence of adverse conditions. Licensees may find it useful to periodically review the necessity of commitments related to minimizing recurrence of adverse conditions. Licensees need the flexibility to change or eliminate commitments they determine are no longer necessary based on:

- The committed corrective action may not have been successful in minimizing recurrence of the condition; or,
- There may be a more effective way to minimize recurrence of the condition other than the method selected; or,
- The commitment may no longer be necessary due to changing conditions at the plant; or,
- In hindsight and based on experience, the commitment may never have been necessary to minimize the potential for future non-compliance.
- The commitment may subsequently have been captured as part of an on-going program or other administrative control that is subject to a revision review process (e.g., procedure changes governed by administrative technical specifications).

If the changed commitment is necessary to minimize recurrence of an adverse condition, the NRC should be notified of the change in a summary report (annual, refueling outage, or for decommissioning plants, 24 months).

If the commitment is no longer considered necessary, the licensee may change the commitment without notifying the NRC.

CAUTION: Due to the sensitivity of some issues, licensees may choose to notify the NRC prior to making changes to Regulatory Commitments even though the above change process would not require such action.

5 REPORTING AND DOCUMENTATION

5.1 REPORTING

The above process identifies various commitments that can be changed with notification to the NRC made in a report submitted annually or along with the FSAR updates as required by 10 CFR 50.71(e). The intent of this report is to provide a brief summary of commitments changed since the last report in lieu of filing individual notifications as commitments are revised. A brief statement of the basis for the change should be included. However, items with similar bases for change can be grouped by bases. For example, all LER commitment changes related to procedures for which a revised commitment was identified that minimized recurrence of the original adverse condition could be provided as a listing in the report under a general basis description.

5.2 DOCUMENTATION

Figure A-3, "Revised Commitment Evaluation Summary," provides documentation of the decisions made in applying the above change process. The form would serve as proof that an evaluation was performed and should be retained by the licensee either (1) until submittal of the annual report or report filed coincident with the FSAR updates per 10 CFR 50.71(e) for commitment changes that require NRC notification, or (2) for the life of the facility for commitment changes that do not require NRC notification. Where the form calls for a description of the rationale for a decision, it is expected that, in the majority of instances, a justification of one or two sentences would be sufficient. In some cases a more detailed explanation or reference to a backup assessment may be appropriate. It is not the intent to generate lengthy descriptions supported by detailed analyses, but rather to capture the essence of the basis for changing the commitment.

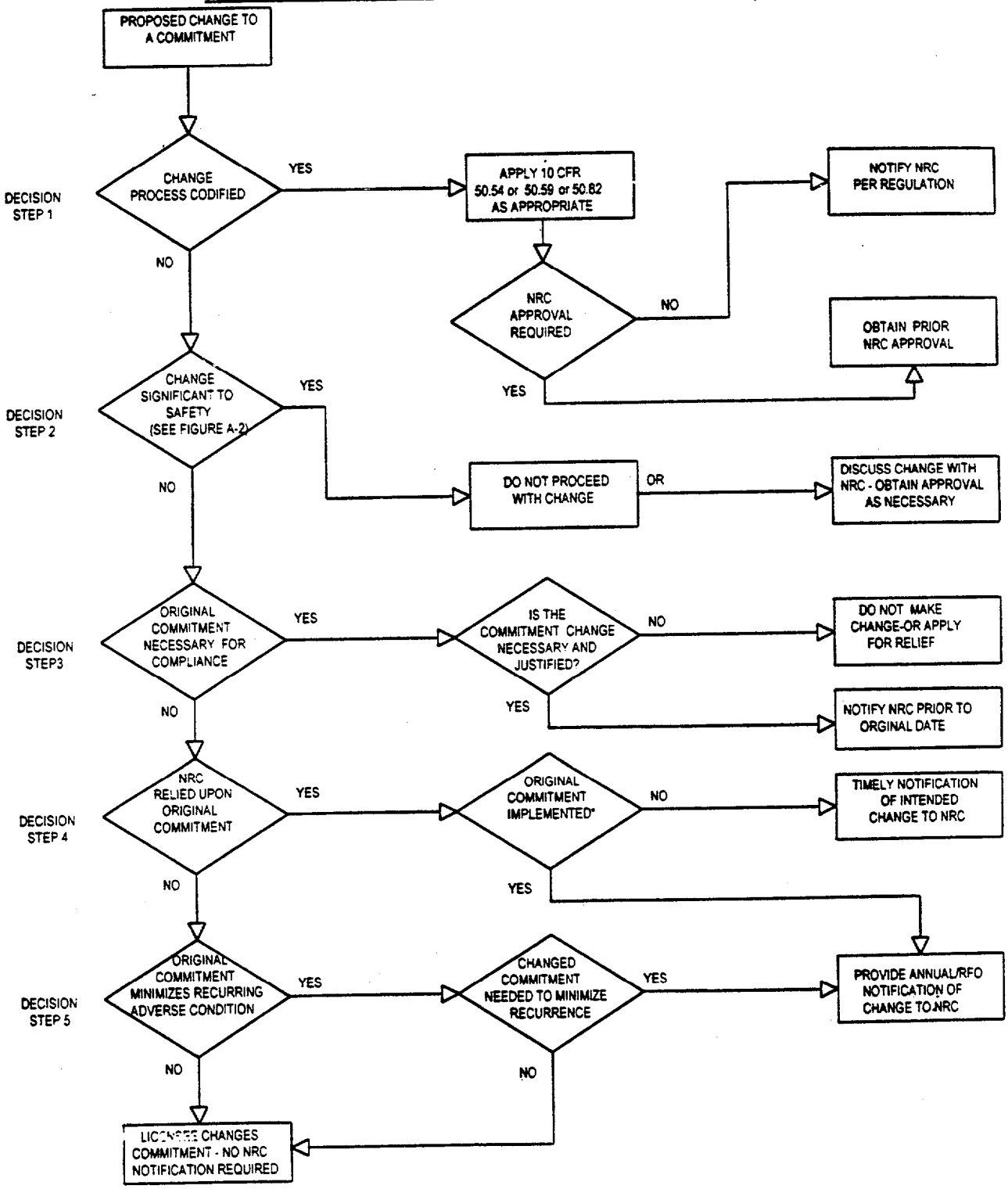
6 REFERENCES

NEI 96-07 (Rev. 0), September 1997 "Guidelines For 10CFR 50.59 Safety Evaluations"

NEI 98-03 (Rev.0), October 1998 *"Guidelines For Updating Final Safety Analysis Reports"*

NEI 98-05 (Rev.2), December 1995 *"Guideline for Managing NRC Commitments"*

FIGURE A-1
COMMITMENT MANAGEMENT CHANGE PROCESS



* FOR LONG-TERM CORRECTIVE ACTION COMMITMENTS MADE IN RESPONSE TO A NOTICE OF VIOLATION, SEE PAGE 9

FIGURE A-2
SAFETY SIGNIFICANCE ASSESSMENT (DECISION STEP 2)

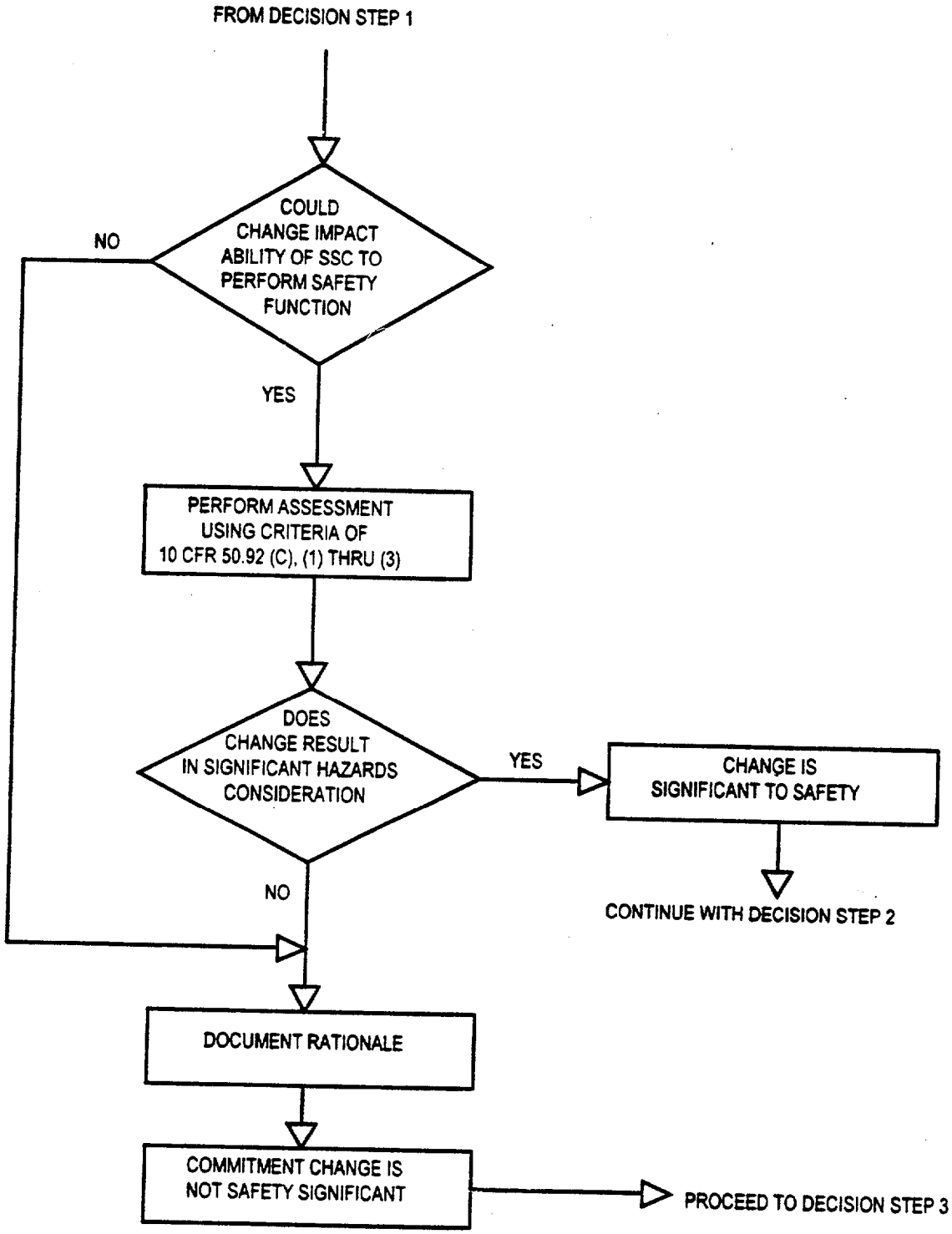


FIGURE A-3
COMMITMENT EVALUATION SUMMARY

Commitment Tracking Number (NCO): _____

Source Document: _____ Date: _____

Existing Commitment Description:

Revised Commitment Description:

Summarize Justification for Revising Commitment :

(Attach additional sheets, as necessary)

Refer to Figure A-2 for a flow diagram that outlines the commitment evaluation process.

PART I

1.1 Is the existing commitment located in the Updated Final Safety Analysis Report, Emergency Plan, Quality Assurance Plan, Fire Protection Program or Security Plan?

☐ Yes STOP. Do not proceed with this evaluation. Instead, use the appropriate codified process (e.g., 10 CFR 50.71(e), 10 CFR 50.54) to evaluate commitment.

☐ No Go to Part II.

PART II

2.1 Could the change negatively impact the ability of a system, structure or component (SSC) to perform its safety function or negatively impact the ability of licensee personnel to ensure the SSC is capable of performing its intended safety function?

☐ No Continue with Part III. Briefly describe rationale:

☐ Yes Go to Question2.2

2.2 Perform a safety evaluation using the following 10 CFR 50.92 criteria to determine if a significant hazards consideration exists:

Does the revised commitment involve a significant increase in the probability or consequences of an accident previously evaluated?

☐ Yes ☐ No

Basis:

(Attach additional information, as necessary.)

COMMITMENT EVALUATION FORM

Does the revised commitment create the possibility of a new or different kind of accident from any accident previously evaluated?

☐ Yes ☐ No

Basis:

Does the revised commitment involve a significant reduction in a margin of safety?

☐ Yes ☐ No

Basis:

If any of the above questions are answered Yes, STOP. Do not proceed with the revision, OR discuss change with NRC and obtain any necessary approvals prior to implementation of the proposed change. If all three questions are answered No, go to Part III.

(Attach additional sheets as necessary.)

PART III

3.1 Was the original commitment (e.g., response to NOV, etc.) to restore an OBLIGATION (i.e., rule, regulation, order, or license condition)?

☐ Yes Go to Question 3.2.

☐ No Go to Part IV.

3.2 Is the proposed revised commitment date necessary and justified?

☐ Yes Briefly describe rationale (attach additional sheets as necessary) and notify NRC of revised commitment date prior to the original commitment date.

☐ No STOP. Do not proceed with the revision, OR apply for appropriate regulatory relief.

PART IV

4.1 Was the original commitment: (1) explicitly credited as the basis for a safety decision in an NRC SER, (2) made in response to an NRC Bulletin or Generic Letter, or (3) made in response to a request for information under 10 CFR 50.54(f) or 10 CFR 2.204?

☐ Yes Go to Question 4.2.

☐ No Go to Part V.

COMMITMENT EVALUATION FORM

4.2 Has the original commitment been implemented?

☐ Yes STOP. You have completed this evaluation. Revise the commitment and notify NRC of revised commitment in summary report.

☐ No Go to Question 5.1.

PART V

5.1 Was the original commitment made to minimize recurrence of a condition adverse to quality (e.g., a long-term corrective action stated in an LER)?

☐ Yes Go to Question 5.2.

☐ No STOP. You have completed this evaluation. Revise the commitment. No NRC notification required.

5.2 Is the revised commitment necessary to minimize recurrence of the condition adverse to quality?

☐ Yes Revise the commitment and notify NRC of revised commitment in next annual/RFO interval summary report.

☐ No Revise commitment: no NRC notification is required.

REFERENCES

List documents (e.g., procedures, NRC submittals, etc.) affected by this change.

Description	EDMS #

Prepared by: _____

APPROVALS

Signature _____ _____
Lead Coordinator *Date*

Signature _____ _____
Nuclear Licensing *Date*