



UNITED STATES
NUCLEAR REGULATORY COMMISSION
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March 15, 2017

MEMORANDUM TO: Christopher G. Miller, Director
Division of Inspection and Regional Support
Office of Nuclear Reactor Regulation

FROM: Nathan T. Sanfilippo, Chief */RA/*
Performance Assessment Branch
Division of Inspection and Regional Support
Office of Nuclear Reactor Regulation

SUBJECT: REACTOR OVERSIGHT PROCESS PERFORMANCE METRIC
REPORT FOR CALENDAR YEAR 2016

The Reactor Oversight Process (ROP) self-assessment program evaluates the effectiveness of the ROP by measuring its success in meeting its pre-established goals and intended outcomes. The staff performed the Calendar Year (CY) 2016 performance metric analysis in accordance with the recently revised Inspection Manual Chapter (IMC) 0307, "Reactor Oversight Process Self-Assessment Program," and IMC 0307 Appendix A, "Reactor Oversight Process Self-Assessment Metrics," dated November 23, 2015.

Under Element 1 of the self-assessment process, the staff measures the effectiveness of and adherence to the current program using objective and measurable metrics based on readily available data. The metrics align with the Principles of Good Regulation and a graded approach is used to measure metric adherence. IMC 0307, Appendix A describes the performance metrics associated with the five Principles of Good Regulation: independence, openness, efficiency, clarity, and reliability. The staff designates the principle-specific metrics as the Independence (I), Openness (O), Efficiency (E), Clarity (C), and Reliability (R) metrics, respectively. The staff uses the metric analyses as an input to the annual Commission paper on ROP self-assessment.

The results of the staff's CY 2016 analyses are enclosed. Enclosure 1 provides a summary of the metric results and enclosure 2 provides the detailed report. The staff found that the ROP met 24 out of the 24 applicable performance metrics by satisfying the criteria defined in Appendix A to IMC 0307. Metric E-4, "Completion of Performance Deficiency Determinations," which is a pilot metric to help ensure the timeliness of performance deficiency determinations, was also met. Metric E-6, "Responsiveness to ROP Feedback Forms," was deemed not applicable for the CY 2016 self-assessment, because the timeliness goals for ROP feedback

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forms were not developed until December 2016. All metrics and data sources will be collected and analyzed for the CY 2017 self-assessment.

All 24 of the successful metrics were evaluated as Green, indicating that they met or exceeded the specified criterion that represents expected performance and, therefore, do not warrant further evaluation. The pilot metric (E-4) was evaluated as Yellow, indicating that it falls within the specified range that warrants further evaluation and potential staff action to correct before the acceptance criterion has been exceeded. The staff notes that this is the first year of this metric and the new Inspection Finding Resolution Management (IFRM) process was not in place at the time of the evaluated performance deficiencies. The staff will continue to monitor the effect the new IFRM process has on timely completion of performance deficiency determinations as evaluated by E-4, but at this time no further evaluation or action is required. No metrics were evaluated as Red, which would indicate unexpected performance that necessitates further evaluation and likely staff action to address the cause(s) of the failed metric.

Enclosure:

1. Metric Overview/Dashboard
2. Metric Report

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