Reactor Oversight Process

Self-Assessment Program

Job Guide

Revision 0

U.S. Nuclear Regulatory Commission

Office of Nuclear Reactor Regulation

Division of Inspection and Regional Support

Performance Assessment Branch

NRR/DIRS/IPAB

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Initial Revision Approval date: August 17, 2017

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INTRODUCTION

PURPOSE

The purpose of this job guide is to outline the activities associated with the Reactor Oversight Process Self-Assessment Program. The intent of this Job Guide is to provide tactical guidance on the execution of Self-Assessment activities. Information not covered in this guide include roles and responsibilities, history and any other information already captured in Inspection Manual Chapter 0307, Reactor Oversight Process Self-Assessment Program. It combines procedural direction with suggestions on "skill of the craft" activities to enable future users of this guide to efficiently and effectively carry out the duties described herein. This job guide was created to support the NRC's knowledge management initiative

RESPONSIBILITIES

ADHERENCE

This guide does not imply that there is only one means for accomplishing these duties, but seeks to provide guidance to those unfamiliar with the related processes. As such, strict adherence is recommended, but not required.

MAINTENANCE

It is the expectation that future users of this job guide will make updates as necessary as administrative processes are revised, as efficiencies are revealed, and as organizational responsibilities are changed. As stated above, this guide does not define the only means for accomplishing the discussed duties; however, if better ways to accomplish these duties are discovered, this guide should be revised to reflect those efficiencies.

REVIEW AND APPROVAL

The IPAB Branch Chief is the responsible authority for initial approval and approval of subsequent revisions to this document.

REFERENCE INFORMATION

DOCUMENTS

Management Directive 8.13, "Reactor Oversight Process"

IMC 0305, "Operating Reactor Self-Assessment Program"

IMC 0306, "Information Technology Support for the Reactor Oversight Process"

IMC 0307, "Reactor Oversight Process Self-Self-Assessment Program"

IMC 0307 Appendix A, "Reactor Oversight Process Self-Assessment Metrics"

IMC 0307 Appendix B, "Reactor Oversight Process Baseline Inspection Procedure Reviews"

IMC 0307 Appendix C, "Reactor Oversight Process Self-Assessment Regional Peer Reviews"

ROUTINE SELF-ASSESSMENT ACTIVITIES

There are four primary functions within the ROP Self-Assessment Program: a) evaluation, b) monitor ROP, c) reviews and d) additional duties fall into purview of the ROP Self-Assessment Program goals. The following sections provide context to each of these functions and delineate required actions for the ROP Self-Assessments Lead.

The below graphic shows how the ROP Self-Assessment Program aligns within the NRC and the ROP Program. Further, the graphic shows the primary functions within the ROP Self-Assessment Program and the subsets of each of these four primary functions.
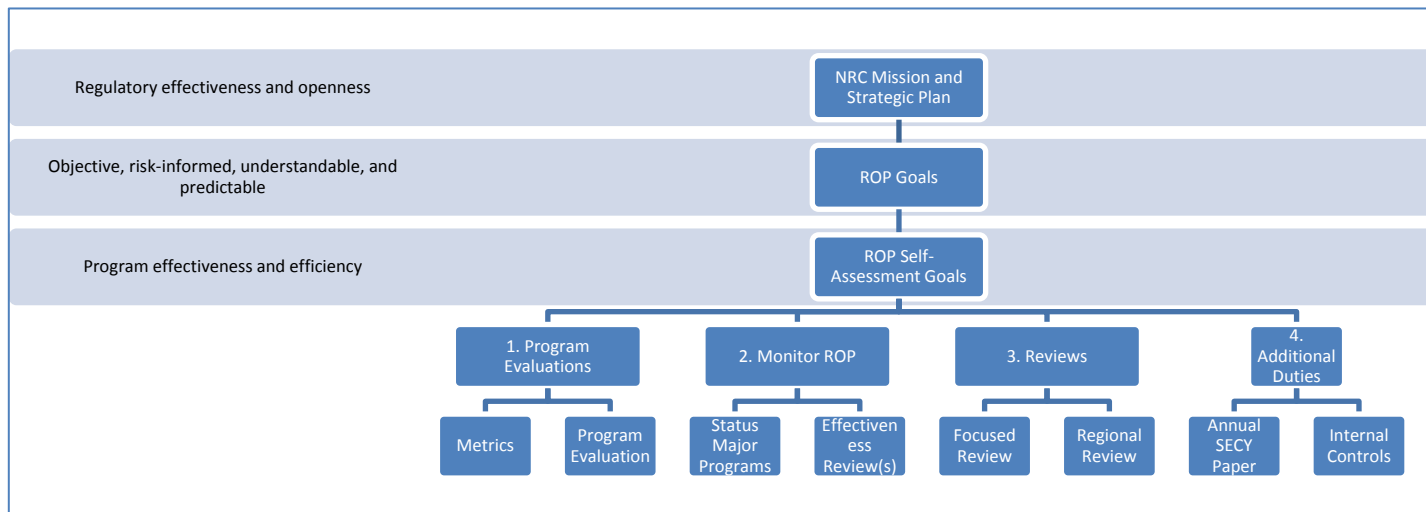
ANNUAL EXPECTATION(S) FOR SELF-ASSESSMENT

The below discusses from the annual expectations of the Self-Assessment Program Lead.

SECY PROCESS

DECEMBER

- Self-Assessment Lead creates/updates SECY template to summarize the activities that occurred in the year prior.

- o Lead may choose to place SECY template in all italics. Update sections when input received.
- Verify/identify POCs for each section of the SECY and associated enclosures.
  - o Inputs due mid-January
- Sent email correspondence to POCs for each relevant section of the SECY
- Metrics coordinator sends out request to key stakeholders for annual metric data
- Review/Monitor relevant SRMs, Tickets etc (to basically see things that might need to be included)
- Reach out to IRIB/IPAB BCs for relevant topics (the list of program big things that should be included in Enclosure 1)

JANUARY

- Self-Assessment Lead incorporates inputs and streamlines verbiage
  - o Ensure POCs concur with edits

FEBRUARY

- Provide copy of SECY and SECY enclosures to Tech Editor (QTE.Resource@nrc.gov)
- Simultaneously provide a draft of the SECY and SECY enclosures to IRIB and IPAB Branch Chiefs
- Coordinate with IPAB Administrative Assistant to place the SECY and SECY enclosures into ADAMS (consider who should have owner rights) such as:
  - o Pckg ML17046A452
  - o Doc ML17046A541
  - o Enc ML17046A593
- Incorporate feedback from IRIB/IPAB BCs and Tech Editor and put the document into ADAMS and put together a concurrence package with a Form 665S (use ADAMS link in email to BCs at this point). Copy DIRS Division Director and Deputy Division Director.
  - o Request final concurrence from IRIB/IPAB BCs in this email
- Once concurrence has been received from IRIB/IPAB BCs, verify that DIRS Division Director and Deputy Director have had a chance to view the SECY and you have approval to send to stakeholders outside of DIRS for concurrence, specifically, OCFO, Regions, NSIR, OGC.
  - o DIRS DD/Deputy DD may have comments. Address comments and get approval to send to key stakeholders. Ensure the DIRS leadership understands this is not their official concurrence. They will concur officially post stakeholder feedback and review.
- As soon as approval is provided, send SECY out to key stakeholders.
- Provide about 1-2 weeks for review. Reference Sample #6-9 for who to send to and previously worded emails.

MARCH

- Receive comments back from key stakeholders and incorporate into SECY and SECY enclosure.

- Comments not able to be resolved are adjudicated by DIRS Division Director.
- Reference email sample 10 for OGC comment adjudication.
- If necessary, communicate when able via the Division Directors Bi-Weekly with a status of the paper. Discuss specifically about the concurrence status and when it is due to NRR.
- Obtain Division Director Concurrence.
- Provide to NRR Mailroom. POC Sandra Walker.
  - If necessary to bypass the normal process (providing advance copies to personnel outside of the normal chain of command): ***Ensure that the IPAB Branch Chief is comfortable with this process.***
- Incorporate NRR comments. When complete send back to NRR for full concurrence.

APRIL

- Provide to the EDO's office for concurrence (Theresa Clark). The EDO's office has a week (Theresa often has comments). Once concurred upon by the EDO's office about a week later the name will change to SECY and will include a SECY number.

AARM, COMMISSION MEETING AND SRM ACTIONS

Simultaneous to the SECY paper approval process, towards the end of March, the Self-Assessment Lead should start drafting slides to support the AARM. These slides should be completed by the beginning of April and approved by the IPAB Branch Chief and also DIRS management.

Action: Create AARM Slides by the end of March and provide to AARM Lead soon thereafter.

AARM

Participation in the AARM is highly recommended. The Focused Review topics will be selected at the AARM. The topics provided as options at the AARM are typically determined in January at the bi-annual DDCM. During the AARM, the Regional and Effectiveness reviews are also discussed.

COMMISSION MEETING AND AARM SRM

Participation in the Commission meeting is highly recommended. After the Commission Meeting, the Self-Assessment Lead should anticipate the resulting SRM to be published in response to the AARM about one month after this meeting. Often there are actionable items for Self-Assessment for the ROP. Understanding that this SRM is for the entire AARM, if necessary, create a ROP Self-Assessment specific Action Plan to accomplish actions identified in the SRM. Communicate Action Plan with IRIB/IPAB/DIRS and the Regions as necessary.

INTERNAL CONTROLS TICKET/TASKER

Annually OCFO promulgates a ticket to each Office around Internal Controls. The tasker associated with Self-Assessment tracks the Self-Assessment SECY status, publication and any associated corrective actions. The SECY process nominally is ongoing December at the end of a Calendar Year until publication in April. During the AARM and associated SRM post the AARM, actions may arise that are documented in the Internal Controls ticket/tasker. The Self-Assessment Lead should coordinate with NRR's representative from OCFO, Michelle Curtis. DIRS is required to provide status to this ticket on a quarterly basis.

REVIEW KICK OFF AND EXECUTION

The ROP Self-Assessment program has three primary evaluation processes: Focused Review, Effectiveness Review, and Regional Review/Independent Review. The below graphic summarizes the proposed periodicity of the major reviews/updates associated with Self-Assessment.

Self-Assessment Elements	2016	2017	2018	2019	2020
Metrics	Yes	Yes	Yes	Yes	Yes
Program Evaluations	Yes	Yes	Yes	Yes	Yes
Status Updates	Yes	Yes	Yes	Yes	Yes
Effectiveness Reviews	Yes	Yes	Yes	Yes	Yes
Regional Peer Reviews	Yes		Yes		Yes
Focused Assessments	Yes	Yes		Yes	
Baseline IP Assessments	Yes		Yes		Yes

Shortly after the completion of the AARM, the Self-Assessment Lead should take action to move forward with associated reviews for the respective year. The below discusses the actions associated with the Effectiveness Review, Focused Review, and the Regional Peer Review/Independent Review. Keep in mind that each of these may not occur in the same year. They are documented here for information purposes.

SUMMER DDCM

The Self-Assessment Lead may present at the biannual DDCM in August/September. The Self-Assessment Lead should be prepared to provide slides/talking points discussing outcomes of the AARM and associated Post AARM SRM.   Any slides or taking points discussed at the DDCM should be socialized with the IRIB/IPAB Branch Chief(s). This summer time DDCM meeting may be a platform for the Self-Assessment Lead to add/update/discuss the road ahead for various different reviews.

EFFECTIVENESS REVIEWS

Topic Selection: Coordinate through weekly IRIB/IPAB meeting, IRIB/IPAB Branch Chief Counterpart (monthly) phone call.

> Effectiveness review topics could come from the ROP Lessons Learned Tracker data base from actions items identified through the Focused Review or the Regional Review or any other recent program improvements (e.g. IG Audit, GAO findings etc).

In January prior to the DDCM, socialize presentation slides with the IRIB/IPAB BCs a few weeks prior to DDCM. The BCs may want to select topics prior to the DDCM.

Once topics are selected, select team for the review (if necessary). Once the team/individual is selected/identified, a charter may be created. The Charter is approved by the IPAB BC.

Nominal Process: Team selected→Charter written (if desired)→Approved→Survey/Interview(s) occur→ Report from IPAB BC with action plan is sent to DIRS DD

Topics selected for FY16 were: Security Baseline Inspection led by NSIR (Marsha and Ron supported) and Browns Ferry (Dan Merzke led).

FOCUSED REVIEW

1. The Focused Review will be done on a biennial basis
2. Potential topics are solicited prior to the January DDCM via Branch meetings, Branch Chief input and are presented at the January DDCM
3. The DDCM selects three or more topics
4. These topics are discussed at the AARM
5. The AARM selects the Focused Review Topic
6. The team may create questions and creates a survey to evaluate the effectiveness of the topic being reviewed.
   a. For inspector training we sent it to all Inspectors and their Branch Chiefs (for 2016 we sent it to the TSAB BCs, sent a sample email, and had them send it out…however Bridget has the Inspector Newsletter)
7. Nominally the process for the Focused Review is as follows:
   Nominal Process: Team selected→Charter written→Approved→Review occurs→ Report from IPAB BC to DIRS DD→ Summarized in the Annual SECY.
8. Action items identified through the Focused Review process should be processed or considered for the Feedback Form process (IMC 0801) or for more complex concerns entered into the ROP Lessons Learned Tracker.

REGIONAL REVIEW

The Regional Review will be done on a biennial basis. The first Region to hold a review was Region II. Region III led the Review with the intent that Region III will hold the next Review. Since all Regions were heavily involved in the review held at Region II, the proposal going forward is that this process is done on a biennial basis. The nominal process to execute the Regional Review is as follows:

1. Appendix C to IMC 0307 speaks about the specifics associated with the Regional Peer Review process. Nominally the process for the Focused Review is as follows:
    Nominal Process: Team selected→Charter written→Approved→Review occurs→ Report from IPAB BC to DIRS DD→Region sends response to paper (1 page) with their action plan→Summarized in the Annual SECY.

ADDITIONAL DUTIES

PROGRAM DOCUMENT UPDATES

As noted in the Reference section, there are documents that the ROP Self-Assessments Lead is responsible for maintaining with updated and current information. Annually, the ROP Self-Assessment Lead should review these documents for accuracy and content. If updates are required, the ROP Self-Assessment Lead should coordinate with the overall program owner and update relevant sections.

METRICS

A separate Job Guide covers the actions associated with Metrics. The metrics are completed by a different person usually in IPAB. This person monitors the Self-Assessment Metrics. At the end of the year, metric data is captured by the Metric Lead and documented in a memo from the IPAB Branch Chief to the DIRS Division Director. The Self-Assessment Lead references this memo in the Self-Assessment SECY. Appendix A to IMC 0307 provides the documentation associated with Self-Assessment Metrics.

PROGRAM EVALUATIONS

As referenced in IMC 0307 proper, the SDP, PI, Assessment, and Inspection Leads provide program evaluations at the end of the calendar year to the Self-Assessment Lead. These Program Evaluations are incorporated into the annual SECY enclosure. It is recommended that the Self-Assessment Lead send out a reminder in August to the program leads reminding them of their duties regarding the Self-Assessment SECY. Information for the Self-Assessment SECY should be requested no later than December.

STATUS UPDATES

The Self-Assessment Lead maintains awareness of the Reactor Oversight Process program. Any external/internal audits, reviews, program changes are monitored by the Self-Assessment lead and incorporated into the annual SECY.

BASELINE INSPECTION PROCEDURE ASSESSMENTS

This portion of the Self-Assessment process is governed by Appendix B to IMC 0307 and is maintained by IRIB. The lead for Appendix B to IMC 0307 is Ben Mabbott. If this point of contact has changed, contact the IRIB Branch Chief and request the appropriate contact. The nominal process to execute the Baseline Inspection Procedure Assessment is as follows:

1. Appendix B to IMC 0307 speaks about the specifics associated with the Baseline Inspection Procedure Assessment process. Nominally the process for the Baseline Inspection Procedure Assessment is as follows:
   Nominal Process: Review occurs by IMC/IP leads→ Report from IRIB BC to DIRS DD→ Summarized in the Annual Self-Assessment SECY (Inspection Program Evaluation in the Enclosure with a note in the body of the SECY with a summary sentence for each program).

MAJOR NRC MEETINGS/CONFERENCES

Major NRC meetings/conferences are defined as any event where the Self-Assessment Lead has the opportunity to evaluate, monitor and assess the ROP. Some examples of major NRC meetings/conferences that the ROP Self-Assessment Lead may consider attending are as follows:

- Agency Action Review Meeting (AARM)
- ROP Monthly Public Meetings
- Mid/End of Cycle Meetings
- Division Director Counterpart Meetings
- Branch Chief Counterpart Meetings
- Biweekly Division Director Conference Call
- DIRS Quarterly All Hands
- DIRS/IPAB Bi-Monthly Meeting
- Inspector Counterpart Meetings

The specific actions required in support of these meetings/conferences should be coordinated through the respective Leads in concert with IPAB Branch Chief approval and oversight.

TICKETEDRESPONSES

Occasionally, there are tickets that are issued from the EDO, NRR, or other offices requiring Self-Assessment Program action. Some examples of these tickets are:

- GAO Audits
- ROP Self-Assessments
- OIG Audits
- Independent Audits/Reviews outside of the Self-Assessment process

Coordinate ticket response with the IPAB Branch Chief and divisional Technical Assistant. Relevant ticketed responses are summarized in the Annual Self-Assessment SECY in the body of the paper and more detail included in the enclosure. For example, for 2016 findings were summarized in the second element (modifications of the ROP) in the main body of the paper and additional detail included in Enclosure 1 regarding program evaluations (baseline inspection and SDP).

SUMMARY OF REQUIRED ACTIONS

The following table provides a list of all quarterly, annual, repeated tasks required for the ROP Self-Assessment Program Execution.

Task	Periodicity	Note(s)
SECY Paper	Annual	Preparations begin in December for a April due date to the EDO
DDCM Self-Assessment Presentation	Annual	Occurs in January
Job Guide Update	Annual	Review and update as necessary
Metrics	Annual	Due annually from the Regions by January 15. The report is issues separately coincident with the ROP Self-Assessment SECY in the main body under Element 1.
Program Evaluations	Annual	Requested in December from the SDP, PI, Assessment and Inspection Leads due by the end of January (or maybe a week after January 15th).
Status Updates	Annual	Input to the SECY (OIG audits, GAO results, ROP programmatic changes) … this is the ticketed responses mentioned above under…Ticketed responses.
Effectiveness Reviews	Annual	Commence shortly after the AARM (May occur earlier in future years.)
Focused Review	Biennial	Waiting approval to shift from Annual to Biennial (Decision pending AARM/Commission meeting 2017)
Regional Review	Biennial	Waiting approval to shift from Annual to Biennial (Decision pending AARM/Commission meeting 2017)
Baseline Inspection Assessment	Biennial	Waiting approval to shift from Annual to Biennial (Decision pending AARM/Commission meeting 2017)