

REACTOR OVERSIGHT PROCESS FEEDBACK PROGRAM

0801-01 PURPOSE

This chapter describes in detail the feedback process and feedback form used by the Office of Nuclear Reactor Regulation (NRR), Division of Inspection Program Management (DIPM), to document problems, concerns, or difficulties encountered in implementing the programs of the NRC's Reactor Oversight Process (ROP).

0801-02 POLICY

The NRC encourages the staff to identify issues that need program level attention and to suggest changes to improve the effectiveness or implementation of the ROP. Although feedback is expected to come mostly from staff who implement the agency's oversight programs, any NRC employee may use the processes described below to make suggestions or recommendations regarding the ROP.

An initial response to acknowledge the feedback received by Inspection Program Branch (IIPB) will be issued within 10 working days of receipt. DIPM has established a goal to resolve most feedback forms within 90 days. A feedback issue normally will be closed when the actions needed to address the issue have been completed.

0801-03 APPLICABILITY

All NRC employees who have concerns or wish to provide feedback regarding the performance indicator, assessment, inspection, significant determination process, enforcement, and training programs should follow the procedures outlined in this inspection manual chapter.

The process described herein for NRR's ROP is used to collect and manage feedback on all ROP programs, including the Performance Indicator Program. The method for resolving interpretations of performance indicators is described in Inspection Manual Chapter (IMC) 0608, "Performance Indicator Program."

0801-04 RESPONSIBILITIES

04.01 Director, Division of Inspection Program Management. Oversees the feedback program for the ROP.

04.02 Division Directors, Program Offices. Ensures that feedback on their programs is reviewed and that a response is sent to IIPB within 90 days of receipt of the feedback, if possible.

04.03 Chief, Inspection Program Branch (IIPB), NRR. Administers the feedback program for the Reactor Oversight Process. Ensures the final resolution of ROP feedback is approved by the cognizant section chief or designated official. Approves inspector training, as appropriate.

04.04 Chiefs, Technical Branches, NRR. Supervises the resolution of feedback on elements of the ROP within their branch's scope of responsibilities. Performs final review on closure for all feedback. Recommends inspector training, as appropriate.

04.05 Regional Offices. Reviews feedback submitted by their staff and responds to issues and questions within their capabilities within 10 working days. Forwards ROP feedback forms with response, or comments and suggested recommendations to the IIPB feedback coordinator via email (PIPBCAL).

04.06 Feedback Coordinator. Receives feedback forms in parallel with the regional office, processes forms and assigns a lead reviewer, ensures management review, and maintains the ROP feedback database.

04.07 Lead Reviewer. Reviews and resolves feedback forms within their assigned area, coordinates changes to program guidance documents, and ensures the final resolution of feedback is consistent with program guidance and the ROP framework. Recommends inspector training, as appropriate.

0801-05 DISCUSSION

NRC staff implementing NRC's programs (particularly inspectors) have first-hand information on licensee performance and directly observe the impact and results of NRC programs and regulatory requirements. Therefore, it is important that the staff are given an opportunity to submit questions, concerns, and suggestions through their regional managers to the program offices.

Program offices need written feedback that explains the originator's suggestions or concerns to make effective changes to the programs. Feedback on ROP programs must be documented on an ROP Feedback Form (Exhibit 1) by the originator and submitted concurrently to their regional management and to IIPB via PIPBCAL. Additionally, regional management should review the originator's feedback, respond to or comment on the feedback, and notify both the originator and IIPB via PIPBCAL.

05.01 Reactor Oversight Process Feedback

a. Documenting ROP Feedback

NRC employees who desire to provide feedback regarding the ROP (i.e., inspection, assessment, enforcement, performance indicators, significance determination process, training, and cross-cutting issues) record their comments and recommendations on the ROP Feedback Form (Exhibit 1). Although the following is written from the perspective of a regional office, the guidance applies to any NRC organization that receives ROP feedback forms from its staff.

1. The originator documents information on the ROP Feedback Form (Exhibit 1) as follows:

(a) Section A, Title: Record the Inspection Procedure (IP) or IMC title, or the name of the performance indicator (PI). Fill in the IP or IMC number and issue date, or the PI flag (i.e. MS01), if known. If an issue affects more than one program document (e.g., IMC 0609, "Significance Determination Process," and IMC 0612, "Reactor Inspection Reports"), the program documents should be indicated on the ROP feedback form.

(b) Section B, Topic: Select all topic areas to which the feedback issue applies.

(c) Section C, Summary of Issue: Briefly summarize the concern or issue in one or two sentences (e.g., "IMC0612 provides conflicting and incomplete guidance on documentation of minor violations"). Originators submitting feedback forms should address no more than one issue per form. Identify the specific IP or IMC section to which the feedback issue applies.

(d) Section D, Comment(s)/ Recommendation(s): Briefly describe the concern or issue and the impact to the IP or IMC and other related program documents (if known). If the description includes an excerpt from another document as an attachment to the feedback, attach only the portion of an inspection report or the program document that pertains to the concern or issue. Provide recommendation(s) and suggested resolution(s) for the issue. Include in the recommendation if staff resources to implement the recommended change will be impacted and how. Lastly, indicate in the boxes provided whether training would be part of the solution.

If describing a PI interpretation issue: 1) state the licensee's interpretation, 2) state the region's position, and 3) provide any recommendation(s), if appropriate.

(e) Section E, Originator: Complete all of the applicable information in this section.

(f) Email the completed feedback form to the appropriate supervisor (or designated regional contact) with a copy (cc) to PIPBCAL.

2. Supervisor's Review (Section F): The originator's management (usually a supervisor) reviews the feedback form, responds to issues and questions within their capabilities, provides perspective on originator's feedback, suggests recommendations to IIPB, electronically signs feedback form, and e-mails the form to both the originator and PIPBCAL within 10 working days.

Information received by the program office through other means (e-mails, agency reports, and in some cases from external stakeholders, etc.) that could affect the ROP is reviewed by an IIPB supervisor and documented on an ROP feedback form if further consideration is necessary.

b. Program Office Review of ROP Feedback

IIPB manages the final review and resolution of feedback on all aspects of the ROP, and also coordinates all responses to ROP feedback. IIPB assigns a lead reviewer to the feedback form from the program or technical branch responsible for the procedure or area.

1. The IIPB feedback coordinator performs the following:

(a) Section G, Lead Reviewer Assigned: The IIPB feedback coordinator receives feedback form concurrently with originator supervisor and processes it within 10 working days. Electronically forwards copy of the processed feedback form to the originator, originator's supervisor, and lead reviewer.

(b) Maintains the ROP feedback data base.

(c) Regularly provides status reports to management and staff.

(d) Posts status reports to ROP web-page.

(e) Section I, Headquarters Approval and Completion Tracking: The feedback coordinator receives, from lead reviewer, an electronic copy of feedback resolution. Reviews feedback and forwards to the appropriate IIPB Section Chief for final concurrence.

(f) Electronically forwards updates and resolved feedback forms to originator, originator's supervisor, assigned regional coordinator and lead reviewer. Completes tracking table in Section I.

2. The lead reviewer completes Section H, Lead Reviewer's Remarks and Resolution, and performs the following:

(a) Through the feedback coordinator, responds to the originator and the originator's organization if the feedback cannot be responded to in 90 days. At a minimum, this response should describe how the staff

intends to address the issue if it cannot be resolved within the 90 days. The initial response is recorded on the electronic version of the feedback form and the form is e-mailed to the originator and the originator's organization.

- (b) Directly contacts the originator, as needed, to fully understand the feedback.
 - (c) Follows the process in IMC 0608, "Performance Indicator Program," for resolving performance indicator interpretation issues.
 - (d) Sends a final response to the IIPB feedback coordinator after deciding to accept or not to accept the feedback recommendation. After the feedback resolution is approved by the IIPB Section Chief, the comments are incorporated into the program document. The final response is recorded on the electronic copy of the feedback form.
 - (e) Through the feedback coordinator, gets IIPB Section Chief approval for the final resolution of feedback comments. The approval is recorded on the electronic version of the feedback form.
 - (f) Informs IIPB Feedback Coordinator of the status of the feedback form by recording actions and decisions on the form.
- d. Closing ROP Feedback Forms. IIPB closes a ROP feedback form after it incorporates the comments or suggestions into a program document, if appropriate. In cases where a revision to an inspection procedure or manual chapter is documented, the block entitled "Hold for Issuance of Change Notice" in Section H will be checked. The feedback form will remain open, and tracked in the table in Section I, until the Change Notice for the inspection procedure or manual chapter is issued. Once the inspection procedure or manual chapter is issued, the feedback coordinator will close the feedback form. If the resolution of the feedback does not affect a program document, the issue is closed when the approved final response is sent to the originator and the originator's management. IMC 0608 describes the process for resolving performance indicator issues that are documented on ROP feedback forms in accordance with this manual chapter.

END

REACTOR OVERSIGHT PROCESS FEEDBACK FORM

Feedback Form No.

(provided by IIPB)

INSTRUCTIONS

- (1) Originator: Complete Sections A through E and email completed feedback form to your supervisor (or designated regional contact) with a copy (cc) to PIPBCAL.
- (2) Supervisor (or regional contact): Complete Section F of this form, then email form to the originator and to PIPBCAL.

SECTION A: TITLE

(Record the Inspection Procedure (IP) or IMC title, or the name of the performance indicator (PI). Fill in the IP or IMC number, or the PI flag (i.e. MS01), if known. If an issue affects more than one program document (e.g., IMC 0609, "Significance Determination Process," and IMC 0612, "Reactor Inspection Reports"), the program documents should be indicated on the ROP feedback form).

Inspection Procedure (IP) or
Inspection Manual Chapter (IMC) Title or
Performance Indicator (PI) Title:

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Inspection Procedure (IP) or
Inspection Manual Chapter (IMC) Number
and the issue date:

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Performance Indicator Flag (i.e. MS01):

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SECTION B: TOPIC (Select all topic area to which the feedback issue applies):

Inspection SDP PIs Training

Assessment Enforcement Other X-Cut Issue

SECTION C: SUMMARY OF ISSUE

(Briefly summarize the concern or issue in one or two sentences (e.g., "IMC0612 provides conflicting and incomplete guidance on documentation of minor violations"). Originators submitting feedback forms should address no more than one issue per form. Identify the specific IP or IMC section to which the feedback issue applies).

IP/IMC Section:

Summary:

SECTION D: COMMENT(S)/RECOMMENDATION(S)

(Briefly describe the concern or issue and the impact to the IP or IMC and other related program documents (if known). If the description includes an excerpt from another document as an attachment to the feedback, attach only the portion of an inspection report or the program document that pertains to your concern or issue. Provide recommendation(s) and suggested resolution(s) for the issue. Include in the recommendation if resources to implement the change will be impacted and how. Lastly, indicate in the boxes provided whether training would be part of the solution. If describing a PI interpretation issue: 1) state the licensee's interpretation, 2) state the region's position, and 3) provide any recommendation(s), if appropriate).

Comment(s):

Recommendation(s):

YES	NO

Do you think training is part of the solution?

SECTION E: ORIGINATOR

(Complete all of the applicable information in this section. Providing the name and email address of your supervisor will improve reviewer followup communication).

Name:	
E-mail:	
Phone No:	
Plant Name or Region:	
Date submitted to Supervisor:	
Supervisor's Name:	
Supervisor's E-mail:	

SECTION F: SUPERVISOR'S REVIEW

(The originator's management (usually a supervisor) reviews the feedback form, responds to issues and questions within their capabilities, provides perspective on originator's feedback, suggests recommendations to IIPB, electronically signs feedback form, and e-mails the form to both the originator and PIPBCAL within 10 working days).

Supervisor's remarks (mandatory):

Supervisor: _____ Date: _____

SECTION G: LEAD REVIEWER ASSIGNED

(The IIPB feedback coordinator receives feedback form concurrently with originator supervisor and processes it within 10 working days. Electronically forwards copy of the processed feedback form to the originator, originator's supervisor, and lead reviewer).

Assigned to: Branch: Phone No:
(Lead Reviewer)

Date Lead Reviewer Received Feedback Form:

Date Feedback Coordinator Acknowledged Receipt to Originator:

SECTION H: LEAD REVIEWER'S REMARKS AND RESOLUTION

(The Lead Reviewer responds to the feedback within 90 days. At a minimum, this response should describe how the staff intends to address the issue if it cannot be resolved within the 90 days. The reviewer determines to accept or not to accept the feedback recommendation. After the feedback resolution is approved by the IIPB Section Chief, the comments are incorporated into the program document. The final response is recorded on the electronic copy of the feedback form).

CHANGE NOTICE/TRAINING RECOMMENDATIONS:

Change Notice Recommended (Please note that any proposed change must still undergo the normal regional review and comment prior to implementation and that the proposed language may change as a result):

YES	NO
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>

Training Recommended:

SECTION I: HEADQUARTERS APPROVAL AND COMPLETION TRACKING

(The IIPB Section Chief approves the final resolution of feedback comments and the originator and the originator's organization is notified. The ROP feedback form is closed after the comments or suggestions are incorporated into a program document, if appropriate. The feedback form will remain open, and tracked in the table until the Change Notice for the inspection procedure or manual chapter is issued. If the resolution of the feedback does not affect a program document, the issue is closed when the approved final response is sent to the originator and the originator's management. IMC 0608 describes the process for resolving performance indicator issues that are documented on ROP feedback forms in accordance with this manual chapter).

Lead Reviewer: _____ Date: _____

IIPB Final Approval: _____ Date: _____

(IIPB Section Chief)

Date Feedback Form w/ Change Notice Updated in Database:		
Date Feedback Coordinator Updated Originator of Feedback Status:		
Date Proposed Changes Incorporated into Document:		
Date Revised Document Issued:		
Date Feedback Form Closed in Database:		

END