



UNITED STATES
NUCLEAR REGULATORY COMMISSION
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March 23, 2016

MEMORANDUM TO: Scott A. Morris, Director
Division of Inspection and Regional Support
Office of Nuclear Reactor Regulation

FROM: Nathan 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 2015.

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) 2015 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 revised self-assessment process, the staff measures the effectiveness of and adherence to the current program using objective, 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.

For the CY 2015 self-assessment metric report, all data that was readily available and in many cases already being collected, such as in support of the regional operating performance reports, is included in this year's self-assessment metric report. However, some data points and metrics are not included in this report because they were deemed not applicable for the CY 2015 self-assessment. Specifically, metrics E-4, "Completion of Performance Deficiency Determinations," E-6, "Responsiveness to ROP Feedback Forms," and C-4,

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“Maintenance of ROP Governance Documents,” are newly developed metrics. The data for these new metrics will be collected and reported during the CY 2016 self-assessment metric report. In addition, data points from the Office of Nuclear Security and Incident Response (NSIR) were not collected and reported within the applicable metrics for the CY 2015 self-assessment. All metrics and data sources will be collected and analyzed for the CY 2016 self-assessment.

The results of the staff’s CY 2015 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 22 out of the 23 applicable performance metrics by satisfying the criteria defined in Appendix A to IMC 0307. Three of the metrics were deemed not applicable for the CY 2015 self-assessment, because the supporting data were either not being collected or were not readily available. All 22 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. No metrics were evaluated as Yellow, which would demonstrate a downward trend that warrants further evaluation and potential staff action to correct before the acceptance criterion has been exceeded. Metric E-5, “Completion of Final Significance Determinations,” was evaluated as Red because it met the criterion that represents unexpected performance and thus necessitates further evaluation and likely staff action to address the cause(s) for the missed metric. In CY 2015, 88 percent of the Greater-than-Green inspection findings were completed within 90 days versus the goal of 90 percent, with two determinations exceeding the 90 day goal, one by only a matter of days. The staff is currently undertaking an Significance Determination Process (SDP) streamlining initiative that is expected to improve SDP timeliness performance. In addition, metric E-4, “Completion of Performance Deficiency Determinations,” was created for CY 2016 and will be implemented going forward to ensure timeliness of performance deficiency determinations, further contributing to overall SDP timeliness.

Enclosure: 1. Metric Overview/Dashboard
 2. Metric Report

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