

March 26, 2014

MEMORANDUM TO: Ho K. Nieh, Director  
Division of Inspection and Regional Support  
Office of Nuclear Reactor Regulation

FROM: Rani L. Franovich, Chief **/RA/**  
Program Assessment Branch  
Division of Inspection and Regional Support  
Office of Nuclear Reactor Regulation

SUBJECT: REACTOR OVERSIGHT PROCESS ANNUAL PERFORMANCE  
METRIC REPORT FOR CALENDAR YEAR 2013

The Reactor Oversight Process (ROP) self-assessment program evaluates the effectiveness of the ROP through its success in meeting pre-established goals and intended outcomes. The staff evaluates performance metrics to determine the success of the ROP in meeting these goals and outcomes. The staff performed the calendar year (CY) 2013 performance metric analysis in accordance with Inspection Manual Chapter (IMC) 0307, "Reactor Oversight Process Self-Assessment Program."

IMC 0307 describes performance metrics associated with each of the four ROP program areas: the performance indicator (PI) program, inspection program (IP), significance determination process (SDP), and assessment (AS) program. The staff designates the program-specific metrics as the PI, IP, SDP, and AS metrics, respectively. The staff also monitors and analyzes metrics of a more general nature, which are designated as the O metrics, to assess the overall performance of the ROP. The staff uses the metric analyses as input to the annual Commission paper on ROP self-assessment. The results of the staff's CY 2013 analyses are enclosed.

The staff has noted in the past several self-assessments that the level of participation and the number of new insights from the ROP surveys has been limited and decreasing. Further, the staff has noted its intent to explore ways to improve or replace the survey tool to improve objectivity in the measurement of ROP performance and minimize the reliance on more subjective measures such as stakeholder perception. In addition, the staff has experienced challenges in obtaining the necessary clearance from the Office of Management and Budget to issue the survey to external stakeholders. As a result, the staff did not issue an external survey in CY 2013 and has suspended the use of surveys to assess ROP effectiveness. Those ROP performance metrics that are evaluated based on the survey results have been characterized as not applicable for the CY 2013 self-assessment and will be removed from or replaced in the self-assessment process guidance going forward. The staff discussed its intent to discontinue the survey with both external and internal stakeholders, and stakeholders cited both the

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Commission-directed independent review and the ROP enhancement project as significant opportunities for stakeholder engagement and feedback in CY 2013. The staff continues to value and encourage stakeholder feedback on potential improvements to the ROP and is exploring alternate avenues for obtaining that feedback.

All 23 of the applicable ROP performance metrics met the established criteria in CY 2013 as defined in IMC 0307, Appendix A, "Reactor Oversight Process Self-Assessment Metrics," dated March 27, 2013. Nineteen metrics that are measured based on survey responses were not applicable. As part of its ROP enhancement project, the staff has initiated an effort to evaluate potential improvements to the ROP self-assessment process and explore more objective performance metrics for assessing ROP effectiveness. The staff will also ensure that the metrics measure ROP conformance with the founding ROP goals and objectives and the NRC's Principles of Good Regulation. Insights for new metrics may be gleaned from several recent and ongoing program evaluations as discussed in the annual ROP Self-Assessment commission paper. The staff also will consider revising the ROP self-assessment process to better solicit and assess both tactical and strategic feedback consistent with the recommendation from the Commission-directed independent review.

Enclosure:  
2013 Metric Report

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