



Evidence-Based Performance Management at the U.S. Nuclear Regulatory Commission: Improving Agency Outcomes and Decision-Making

Office of the Executive Director for Operations

Evidence Building and Evaluation Program

Using evidence to make informed decisions



WHY IT MATTERS: Maximizes Impact Through Evidence and Results

Laws

Federal Managers' Financial Integrity Act
(Integrity Act 1982)

Assess internal control of operations and reduce risk of fraud, waste, and abuse.

Chief Financial Officers Act
(CFO Act 1990)

Annually report to Congress financial condition and status of management controls.

Government Performance and Results Act (GPRA) Modernization Act (GPRAMA)
(GPRA 1993/GPRAMA 2010)

Implement framework for strategic and performance planning; ensure transparency.

Foundations for Evidence-Based Policymaking Act
(Evidence Act 2018)

Implement evidence-based activities to inform decision-making and promote open data.

Nuclear Energy Innovation and Modernization Act
(NEIMA 2019)

Develop technology-inclusive regulatory framework using evaluation methods.

Accelerating Deployment of Versatile, Advanced Nuclear for Clean Energy Act of 2024
(ADVANCE Act)

Accelerate licensing and development of advanced nuclear technologies.

Guidance

Office of Management and Budget (OMB) and Government Accountability Office (GAO)

OMB CIRCULAR A-136

Financial Reporting Requirements

OMB CIRCULAR A-123

Management's Responsibility for Enterprise Risk Management and Internal Control

OMB CIRCULAR A-11

Preparation, Submission, and Execution of the Budget

GAO-14-704G

Standards for Internal Control in the Federal Government



How It's Done: Federal Performance Framework

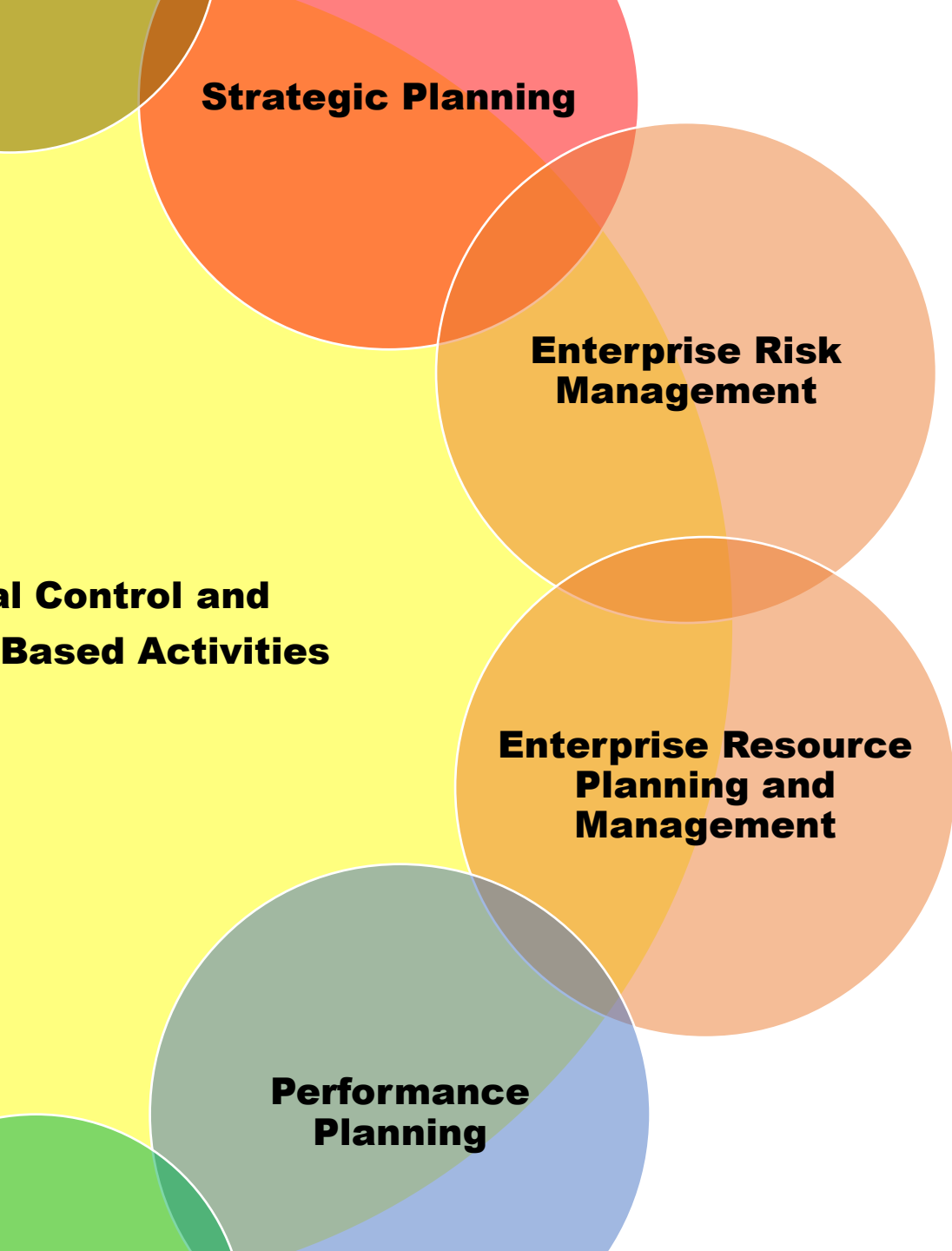
The Federal Performance Framework is the foundation of the NRC's planning, budgeting, and performance management (PBPM) process. The PBPM process is cyclical and provides the basis for coordinating an interdisciplinary array of **integrated, synchronized management functions** that work in concert to improve agency program performance, evaluation of outcomes, and service delivery for the American people.

The NRC requires a performance management system that involves full coordination between the **Executive Director for Operations (EDO)** and **Chief Financial Officer (CFO)**, with evidence-based activities informing and supporting agencywide decision-making.



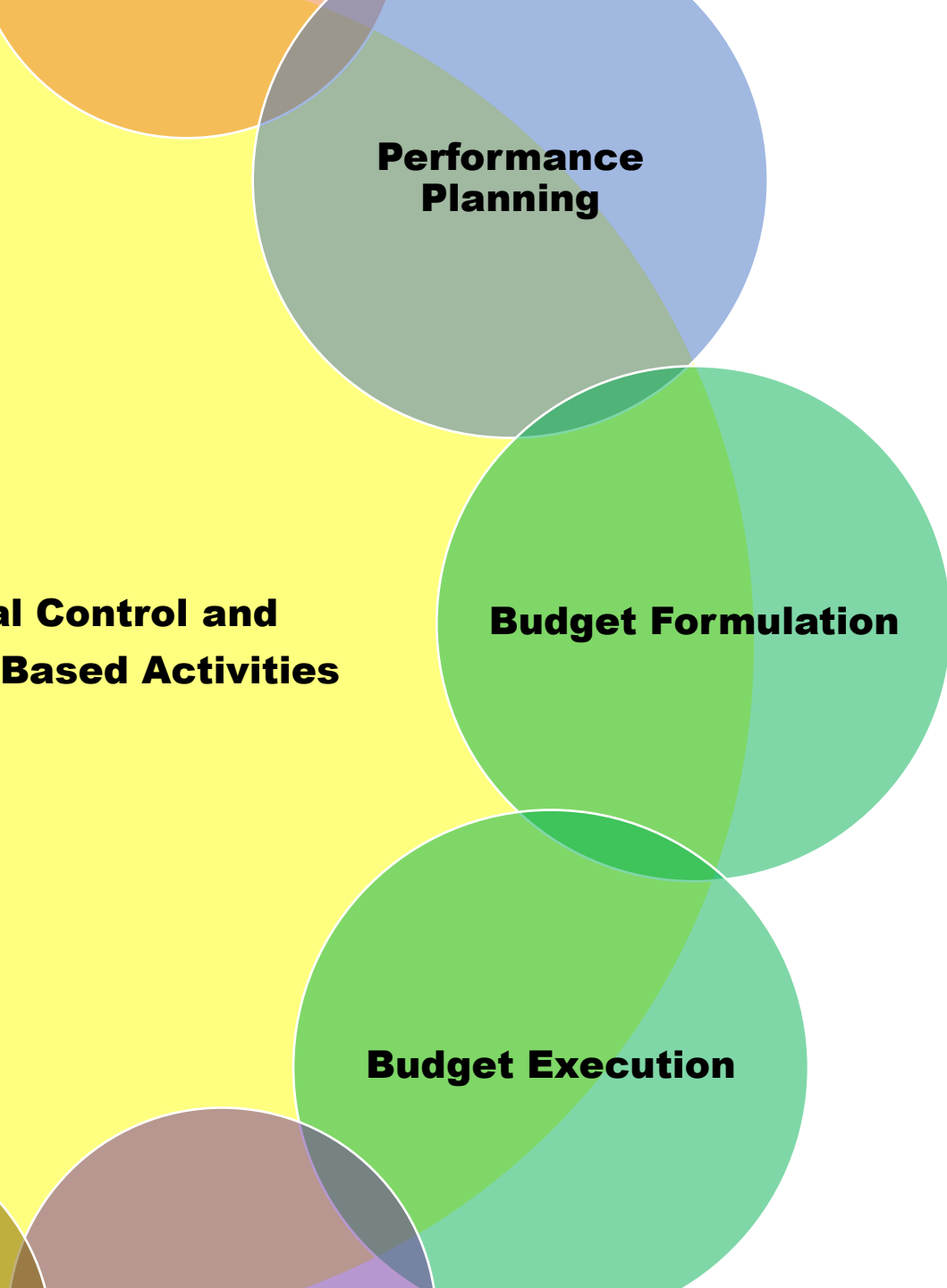
Strategic Planning Stages (Quadrennial):

- ✓ Establish general goals and objectives, along with associated strategies, to achieve the agency's mission. (Deliverable: **Strategic Plan**)
- ✓ Identify key factors external to the agency and beyond its control that could affect the achievement of the goals and objectives.
- ✓ Describe operational processes; skills and technology; and the human capital, information, and other resources required to achieve those goals and objectives.
- ✓ Assess agency capacity to inform where skills or capacity gaps exist that impede the evaluation of progress toward agency goals and objectives. (Deliverable: **Capacity Assessment**)
- ✓ Develop a systematic plan for identifying and addressing priority questions relevant to the programs, policies, and regulations of the agency. (Deliverable: **Evidence Plan**)



Performance Planning Stages (Annual):

- ✓ Establish objective, measurable, and quantifiable performance goals of budgeted program activities that are linked to the strategic goals and objectives.
- ✓ Identify organizations, program activities, regulations, policies, and other activities that contribute to each performance goal.
- ✓ Describe evaluation activities the agency plans to conduct, including those intended to help answer priority questions outlined in the Evidence Plan. (Deliverable: **Annual Evidence Plan**)
- ✓ Incorporate performance goals, indicators, and targets into the **Annual Performance Plan and Report**.



Budgeting Stages (Annual):

- ✓ Incorporate information from Strategic Planning, Enterprise Risk Management, and Enterprise Resource Planning and Management into the formulated budget. (Deliverable: **Congressional Budget Justification**)
- ✓ Ensure that formulated budget addresses identified resources to achieve strategic and performance goals and objectives.
- ✓ Determine projected workload, human capital, resources, and performance indicators needed for formulating the annual budget.
- ✓ Manage resources and assess budgeted programs that help strengthen performance management.
- ✓ Report the agency's financial results of operations, including the audited annual financial statements of the NRC. (Deliverable: **Agency Financial Report**)



al Control and
Based Activities

**Performance
Management**

**Strategic and
Performance
Reporting**

Program Evaluation

Performance Management Stages:

- ✓ Use goals, indicators, targets, analyses, and data-driven reviews to **monitor and improve** budgeted program outcomes and the effectiveness and efficiency of agency operations.
- ✓ **Report to Congress annually** regarding results from performance monitoring via the Annual Performance Plan and Report.
- ✓ Report to Congress on the agency's Strategic Plan, along with the Capacity Assessment and **annual evaluations** stemming from the Evidence Plan.
- ✓ **Monitor agency** PBPM activities regularly to evaluate outcomes, address gaps, and assist agency decision-making in improving strategic and performance planning efforts.
- ✓ **Incorporate information** on program performance and insights from evaluations into the development of the next cycle's strategic and performance plans and budget.

The NRC's Performance Management Team

Performance Improvement Officer (PIO): Mandated position that chairs the Performance Improvement Panel (PIP) to strengthen the performance improvement culture and practices that improve outcomes and cost effectiveness.

Quarterly Performance Review (QPR): Mandated activity that provides a forum for PSAT members to review and share results by business-line offices concerning their enterprise risks, performance indicators, accomplishments, and positive change management activities.

NRC Chairman

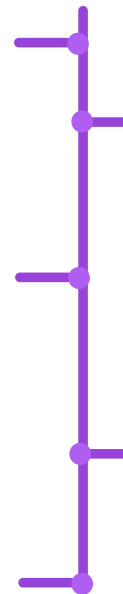
Principal executive officer of and the official spokesman for the NRC responsible for, among other duties, signing the agency's Integrity Act Statement of Assurance

Programmatic Senior Assessment Team (PSAT)

Chaired by the EDO and CFO to assess program operations, elevating significant risk management issues to the enterprise-wide level, and conduct data-driven strategic reviews to assess program performance

Performance Management Working Group (PMWG)

Serves as the standing working group and communications conduit for the PIO and the agency's Performance Improvement Panel (PIP)



Executive Committee on Enterprise Risk Management (ECERM)

Provides strategic oversight over NRC programs and ensures agencywide risks identified by the PSAT through QPR meetings have been addressed by mitigation strategies

Performance Improvement Panel (PIP)

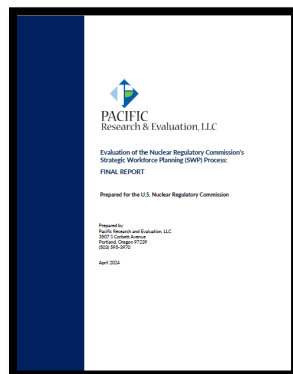
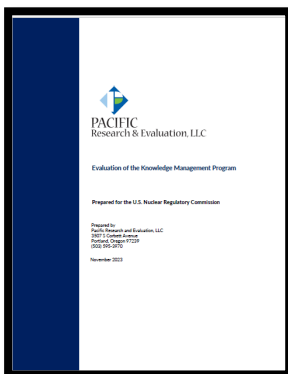
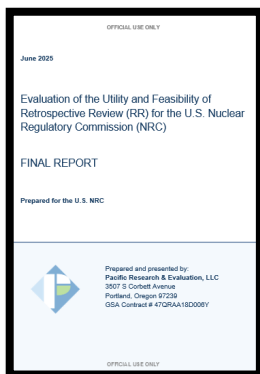
Chaired by the PIO to strengthen the performance improvement culture and practices that improve outcomes and cost effectiveness

The NRC's Program Evaluation and Research Activities

Program Evaluation Activities: Priority evaluation as identified in Annual Evaluation/Evidence Plan is conducted by Program Evaluators, following the Agency Evidence Building and Evaluation Policy and Annual Evaluation Plan.

Research and Assessment Activities: The NRC regularly conducts issue-based or topical research and assessment activities across the organization.

Program Evaluation Products



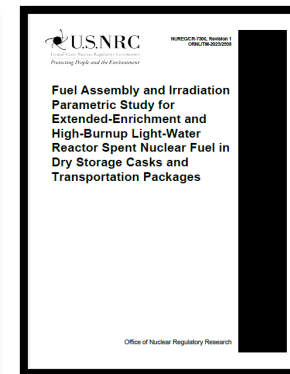
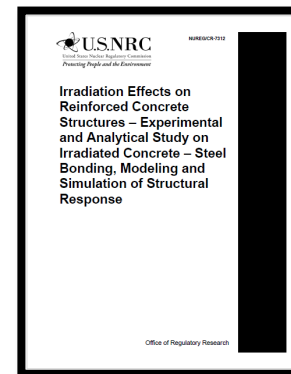
Evidence Act Deliverables

Agencywide Evidence-Building Activities

The U.S. Nuclear Regulatory Commission (NRC) is an evidence-based organization with a culture of continuous learning and improvement. Evidence building and evaluation activities (e.g., assessments, research, analysis) produce the evidence necessary to inform agency decisions for areas such as programs, policies, operations, and regulations. The NRC is committed to meeting the intent of the Foundations for Evidence-Based Policymaking Act of 2018 by evaluating the NRC's effectiveness and efficiency to help achieve its mission. Evidence-building and evaluation activities conducted by the NRC are expected to adhere to the standards of rigor, relevance and utility, transparency, collaboration, independence and objectivity, and ethics, which are discussed in the NRC's [Evidence-Building and Evaluation Policy Statement](#).



Research Products



NRC Evidence and Evaluation Policy



Evaluation and Evidence Building

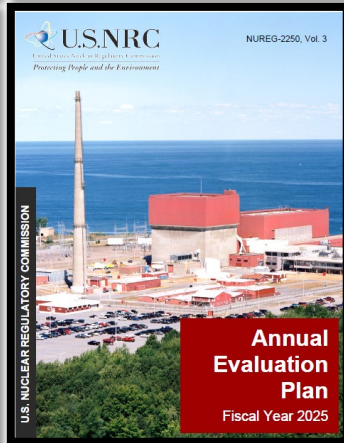
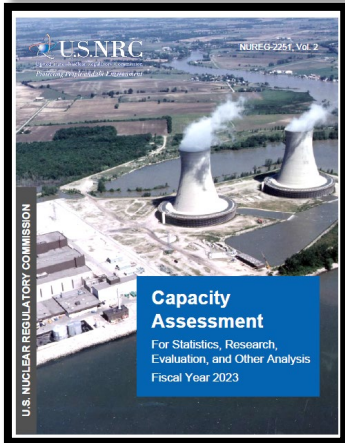
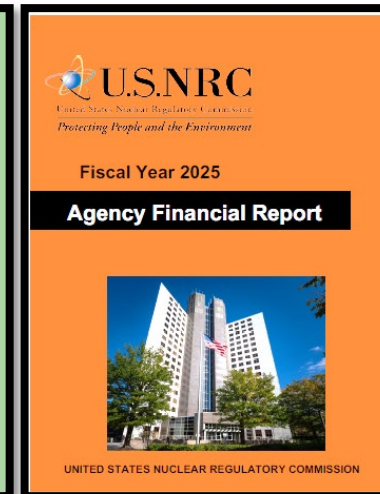
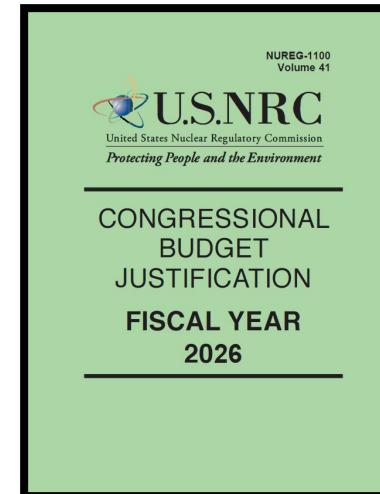
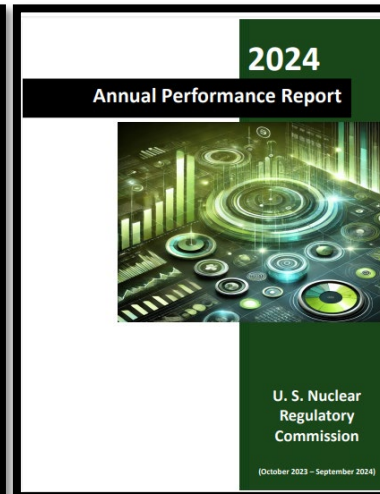
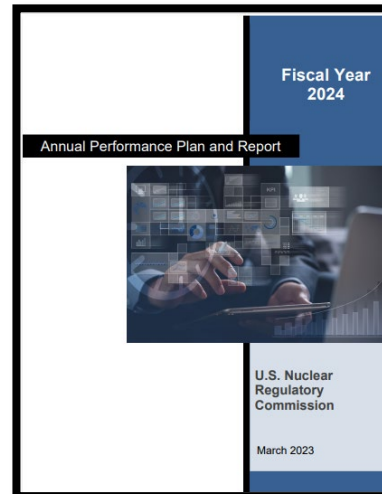
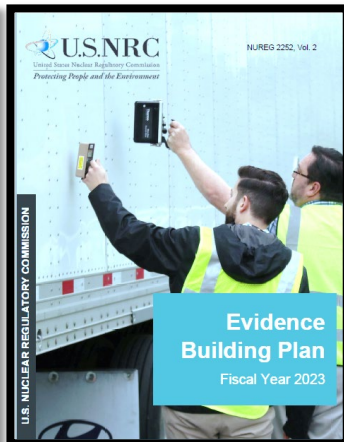
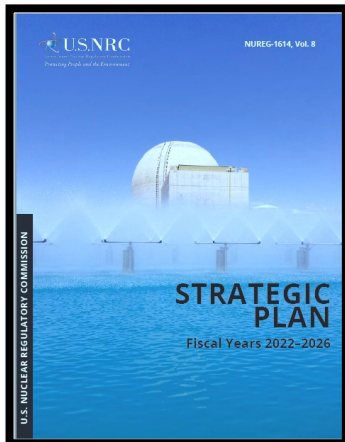


Research

Strategic Planning Deliverables

Performance Planning Deliverables

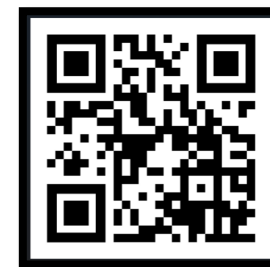
Budgeting Deliverables



Strategic Planning



Annual Performance Report



Budget Justification



Financial Reports



**In conclusion,
evidence-based
performance management
is part of a cyclical process
of planning and budgeting
that leads to improved
outcomes and
decision-making at the
NRC.**