



**UNITED STATES  
NUCLEAR REGULATORY COMMISSION**  
REGION III  
2443 WARRENVILLE RD. SUITE 210  
LISLE, IL 60532-4352

September 19, 2014

EA-13-096

Ms. Karen Fili  
Site Vice President  
Monticello Nuclear Generating Plant  
Northern States Power Company, Minnesota  
2807 West County Road 75  
Monticello, MN 55362-9637

**SUBJECT: MONTICELLO NUCLEAR GENERATING PLANT-NOTIFICATION OF NRC  
SUPPLEMENTAL INSPECTION (95002) AND REQUEST FOR INFORMATION**

Dear Ms. Fili:

By letter dated August 28, 2013, the U.S. Nuclear Regulatory Commission (NRC) communicated to you its intent to perform a supplemental inspection to review your evaluation of the root and contributing cause(s) and corrective actions for a finding of substantial safety significance (Yellow) at your Monticello Nuclear Generating Plant. The finding was associated with your failure to maintain a procedure addressing all of the effects of an external flooding scenario at the plant. Specifically, Procedure A.6, "Acts of Nature," was inadequate to support the timely implementation of flood protection activities within the 12-day timeframe credited in the design basis as stated in the Updated Safety Analysis Report.

By letter dated July 18, 2014, you notified us that applicable corrective actions to address the risk-significant finding had either been completed or initiated, and that you were ready for the NRC to conduct our supplemental inspection to review the actions taken to address it. Accordingly, we plan to conduct a supplemental inspection beginning on October 27, 2014, using NRC Inspection Procedure (IP) 95002, "Supplemental Inspection for One Degraded Cornerstone or any Three White Inputs in a Strategic Performance Area." This onsite inspection is scheduled to be performed during the weeks of October 27 and November 3, 2014.

In order to minimize the impact to your staff and to ensure a productive inspection for both organizations, we have enclosed a request for documents needed for this inspection. Most of the documents identified are those that the inspectors will need prior to arrival at the plant. Other documents are requested to be made available to the inspectors upon arrival. It is important that all of these documents are up-to-date and complete in order to minimize the number of additional documents requested during the inspection.

K. Fili

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We have discussed the schedule for the inspection with your staff and understand that our regulatory contact for this inspection will be Mr. Joshua Ohotto of your organization. If there are any questions regarding our schedule for the inspection or the material requested, please contact Mr. Brian Kemker, the team leader for this inspection at 734-586-2798.

In accordance with Title 10 of the *Code of Federal Regulations* 2.390, "Public Inspections, Exemptions, Requests for Withholding," of the NRC's "Rules of Practice," a copy of this letter, its enclosure, and your response (if any) will be available electronically for public inspection in the NRC's Public Document Room or from the Publicly Available Records System (PARS) component of the NRC's Agencywide Documents Access and Management System (ADAMS). ADAMS is accessible from the NRC Web site at <http://www.nrc.gov/reading-rm/adams.html> (the Public Electronic Reading Room).

Sincerely,

***/RA Nick Shah, Acting for/***

Kenneth Riemer, Chief  
Branch 2  
Division of Reactor Projects

Docket Nos. 50-263  
License Nos. DPR-22

Enclosure:  
Supplemental Inspection Document Request

cc w/encl: Distribution via LISTSERV®

## SUPPLEMENTAL INSPECTION DOCUMENT REQUEST

**Inspection Report:** 05000263/2014009

**Inspection Dates:** October 27–31 and November 3–7, 2014

**Inspection Procedure:** IP 95002

Please assemble the following documents and provide them to the inspection team on or before the dates requested. Please provide the documents electronically via CD-ROM /DVD format and/or hardcopy. The information sent should be current as of the date of your mailing. Information provided onsite should be the latest approved documentation. The information should be mailed in such a manner as to reach the addressee by the specified date. Proprietary information should be clearly marked and stored on a separate CD-ROM. Draft documentation should not be provided as part of this information request. It is also requested that access to the internet be provided for each inspector in the room provided to the inspection team. This allows each inspector to use an NRC SharePoint site to collect, store, and develop inspection documentation.

### ***I. Information Requested on or before October 3, 2014***

Please assemble the following documents and provide one copy each (on CD-ROM/DVD and/or hardcopy) to the team leader and to the Monticello Resident Inspector's Office. Information for the team leader should be sent to the following address: Mr. Brian Kemker, Senior Resident Inspector, U.S.N.R.C. Resident Inspector's Office, 6450 N. Dixie Highway, Newport, MI 48166-9726.

1. The root cause evaluation report and associated documents for the Yellow finding and associated safety culture review(s).
2. Any internal and/or external assessments of the root cause evaluation and any follow-up assessments that occurred because of the root cause evaluation. This would include the results of any Quality Assurance Department assessments, corporate assessments, and "mock 95002" assessments conducted at the plant to assess readiness for the inspection.
3. For those documents requested in item 1 and 2 provide:
  - a. A list of all the corrective actions including the identifying number, short description, and status;
  - b. Documentation supporting completion of any corrective actions, including plant procedure changes, Operating Experience Program changes, plant communications, training requests, training completion records, etc.;
  - c. Current schedule and resource commitments for open corrective actions;
  - d. Schedule and status of any ongoing, planned, or completed effectiveness reviews; and
  - e. Documentation supporting completion of any effectiveness reviews.

Enclosure

## ***II. Information Requested on or before October 17, 2014:***

Please assemble the following documents and provide six (6) copies (on CD-ROM/DVD) of the following documents for the inspection team. This information should be sent to the following address: Mr. Jack Rutkowski, Project Engineer, Division of Reactor Projects, U.S.N.R.C. Region III, 2443 Warrenville Road, Suite 210, Lisle, IL 60532-4352.

### Administrative Materials

1. Site Organization Chart (all inclusive listing of plant staff by organization and position).
2. Site phone list.
3. Monticello IP 95002 team contacts, with primary responsibility.
4. Site maps showing locations of plant buildings, facilities, and location of organizations.
5. Site elevation drawings showing key plant features, structures, buildings, and equipment.
6. A list of site meetings (and times) for the onsite inspection weeks, including any meetings related to safety culture, safety conscious work environment, or industry organizational climate survey.
7. Work week schedules for the onsite weeks of the IP 95002 inspection.
8. Work orders used to implement flood protective activities.
9. Any instructions, procedures, and drawings to be utilized for levee construction.
10. Flooding program owner qualification card and/or mentor guide.
11. Resource loaded timeline for the construction of ring levee (the current revision, the revision in place at the time of discovery, and any interim revisions). Please include supporting documents that validate the timeline.

### Procedures

1. Administrative procedure(s) governing the plant's corrective action program including procedures associated with the identification and resolution of problems, the performance of root cause and apparent cause evaluations, and the performance of effectiveness reviews.
2. Administrative procedure(s) governing the performance of self-assessments.
3. Administrative procedure(s) governing the plant's procedure administration and change processes.
4. Administrative procedure(s) governing the plant's engineering design change process.
5. Administrative procedure(s) governing the plant's Employee Concerns Program.
6. Administrative procedure(s) governing the monitoring of safety culture and/or safety conscious work environment.
7. Plant procedure A.6, "Acts of Nature," (the current revision, the revision in place at the time of discovery, and any interim revisions).
8. Plant procedure 8300, "External Flooding Protection Implementation to Support A.6 Acts of Nature," (all revisions).
9. Plant annunciator response procedure(s) for abnormal river level (high and low).
10. Plant procedure C.4, "Plant Flooding," (current revision).
11. Plant procedure 1478, "External Flood Surveillance," (current revision).
12. Fleet procedure CD 5.44, "External Flooding," (current revision).
13. Fleet procedure CD 5.42, "Internal Flooding," (current revision).
14. Design Basis Document T-.05, "External Flooding Topic," (current revision).

### Problem Identification and Corrective Action Objectives

1. The root cause evaluation report and associated documents for the Yellow finding and associated safety culture review(s).
2. Any internal and/or external assessments of the root cause evaluation and any follow-up assessments that occurred because of the root cause evaluation. This would include the results of any Quality Assurance Department assessments, corporate assessments, and “mock IP 95002” assessments conducted at the plant to assess readiness for the inspection.
3. For those documents requested in item 1, and 2, provide:
  - a. A list of all the corrective actions including the identifying number, short description, and status;
  - b. Documentation supporting completion of any corrective actions, including plant procedure changes, Operating Experience Program changes, plant communications, training requests, training completion records, etc.;
  - c. Current schedule and resource commitments for open corrective actions;
  - d. Schedule and status of any ongoing, planned, or completed effectiveness reviews, and
  - e. Documentation supporting completion of any effectiveness reviews.
4. A copy of all condition reports that resulted from the root cause evaluation.
5. A copy of all condition reports that resulted from any assessments of the root cause evaluation.
6. A copy of all procedures and documents mentioned in the root cause evaluation.
7. A copy of all documented interviews/statements with individuals associated with the Yellow finding.

### Extent of Condition/Extent of Cause Objectives

1. A list of all condition reports since January 1, 2012 associated with, either by assigned department, title key word, or assigned codes, etc., for the subjects listed below. The list should be sorted by date and contain the condition report number, the title, and a short description.
  - a. External and/or internal flood protection;
  - b. Risk assessment/management;
  - c. Engineering design/configuration management;
  - d. Procedure change process and/or adequacy;
  - e. Human performance; and
  - f. Safety culture and/or safety conscious work environment.
2. A list of all Quality Assurance Department assessments, audits, and surveillances performed in calendar years 2012 and 2013.
3. A list of all self and/or external assessments, audits, and surveillances performed in calendar years 2012 and 2013.
4. A list of all extent of condition evaluations and/or extent of cause evaluations conducted for the issues from the list in item 1 above. The list should be sorted by date and contain the condition report number, the title, and a short summary of the conclusion.

## Safety Culture Objective

1. Safety Culture Work Environment, Safety Culture, and Industry Climate survey/assessment results since January 1, 2012; and if not included within this timeframe, the last independent-of-your-utility safety culture survey. Please include data showing variations, if any, among organizational levels and departments included in the survey results. Please include any root cause evaluations from internal safety culture assessments.
2. Minutes from Safety Culture Monitoring Panel meetings.
3. Safety Conscious Work Environment and Safety Culture Training Completion Documentation since January 1, 2012.
4. Safety Conscious Work Environment and Safety Culture Training Lesson Plans and Presentations since January 1, 2012.
5. The results of the targeted observations of supervisors and managers from the Leader in the Field and Meeting Effectiveness & Safety Culture Observation Cards since January 1, 2012.
6. Training/Communications provided to employees pertaining to the Yellow finding and Safety Culture (brochures, lesson plans, etc.), if not included in item 4 above.
7. Root cause evaluations for current Substantive Cross Cutting Issues.

### **III. Information Requested to Be Available Onsite on October 27, 2014:**

Please assemble the following documents and have available for the inspectors onsite provide six (6) copies (on CD-ROM/DVD and/or hardcopy) of the following documents for the inspection team.

1. Technical Specifications.
2. Updated Safety Analysis Report.
3. Selected Employee Concerns Program documents.
4. Selected documents from the requested lists contained in Section II. These specific documents will be verbally requested at the end of the NRC preparation week, Friday, October 24, 2014.
5. Any previously provided documents that have been updated or revised.

K. Fili

-2-

We have discussed the schedule for the inspection with your staff and understand that our regulatory contact for this inspection will be Mr. Joshua Ohotto of your organization. If there are any questions regarding our schedule for the inspection or the material requested, please contact Mr. Brian Kemker, the team leader for this inspection at 734-586-2798.

In accordance with Title 10 of the *Code of Federal Regulations* 2.390, "Public Inspections, Exemptions, Requests for Withholding," of the NRC's "Rules of Practice," a copy of this letter, its enclosure, and your response (if any) will be available electronically for public inspection in the NRC's Public Document Room or from the Publicly Available Records System (PARS) component of the NRC's Agencywide Documents Access and Management System (ADAMS). ADAMS is accessible from the NRC Web site at <http://www.nrc.gov/reading-rm/adams.html> (the Public Electronic Reading Room).

Sincerely,

**/RA Nick Shah, Acting for/**

Kenneth Riemer, Chief  
Branch 2  
Division of Reactor Projects

Docket Nos. 50-263  
License Nos. DPR-22

Enclosure:  
Supplemental Inspection Document Request

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DOCUMENT NAME: Monticello Request for Information 95002

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