

Problem Identification and Resolution Inspection Supporting Documentation

General:

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- * **1 Organization charts and phone list (available for review and use).**

 - * **2 List of system numbers/designations, risk-ranking of systems and a list of system engineers with assigned systems (available for review and use).**

 - 3 Access to a set of system prints (P&IDs).

 - 4 Access to Electronic Final Safety Analysis Report (FSAR) and Technical Specifications (TS), including the bases and the TRM.

 - * **5 Access to the Quality Assurance Manual (electronic prior to the inspection and one hard copy for review during the inspection).**

 - # **6 Schedule of the date/time/location of all meetings associated with the implementation of the corrective action program, such as, Station Ownership Committee (SOC), Management Review Committee (MRC), Corrective Action Review Board (CARB), etc.**
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Corrective Actions:

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- * **7 Access to procedures related to the identification and resolution of problems - initiation, evaluation, correction: including cause evaluations, trending, self-assessments, audits, operability determinations, work requests, engineering requests, fix-it-now, operating experience, etc. (electronic prior to the inspection and one hard copy for review during the inspection).**

 - 8 List of all deficiency documents (IRs (issue reports), ARs (action requests), etc.) initiated since October 21, 2019, (last PI&R inspection) - in electronic spreadsheet format - include the following (as applicable) tracking no. unit id, system ID, date initiated, date due or closed, significance level, evaluation class/type, status, title/short description, department, and, if possible, the number of due date extensions.

 - # **9 Separate list of all corrective action documents (IRs, ARs, etc.) initiated before October 21, 2019 that remain open - in electronic spreadsheet format - include the following (as applicable) tracking number, unit ID, system ID, date initiated, date due, significance level, evaluation class/type, status, title/short description, department, and, if possible, the number of due date extensions.**

 - * **10 Matrix of the total number of IRs generated annually (all of 2019 & 2020, 2021 to date) by department.**

 - 11 For all non-cited violations (NCVs) and findings (FINs) issued since the last PI&R inspection (including the PI&R) - PDF copy of the associated IR including closeout documentation for each NCV/FIN.

 - 12 For all LERs submitted since October 21, 2019 (last PI&R inspection), - PDF copy of the associated IR.

 - 13 List of open temporary modifications, operability determinations, control room deficiencies and operator workarounds\challenges and adverse condition monitoring plans - in electronic spreadsheet format - include the following (as applicable): CAP tracking number, system ID, work order number, title/short description, date initiated, date corrective action due/work order scheduled , significance level, evaluation class/type, status, department, and, if possible, the number of due date extensions.
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14 List of rework and repeat maintenance items and a copy of maintenance performance indicators and metrics including backlog of corrective and elective maintenance issues and applicable preventative maintenance metrics. Any list should be provided in electronic spreadsheet format - include the following (as applicable): CAP tracking number, unit ID, system ID, work order number, title/short description, date initiated, date corrective action due/work order scheduled, significance level, evaluation class/type, status, department, and, if possible, the number of due date extensions.

15 List of all Maintenance Rule systems that indicates high risk systems, system color and whether the system is in (a)(1). The list should indicate the trend in overall system performance since the last PI&R inspection. Also – a list of all systems pending maintenance rule expert panel review for (a)(1) status determination.

16 Copies of the system health reports for all (a)(1) systems and all systems pending maintenance rule expert panel review for (a)(1) status determination.

Operating Experience:

17 List of Operating Experience reviews completed for NRC correspondence (i.e, NRC INs / GLs / Bulletins / Part 21's) issued since October 21, 2019. Provide in electronic spreadsheet format - include the following (as applicable): tracking no., unit ID, system ID, title/short description, date initiated, date due, significance level, evaluation class/type, status, department, and, if possible, the number of due date extensions.

18 List of Industry Operating Experience issues (NSSS vendor reports, EPRI Reports, experience reports from similar facilities) issued since October 21, 2019, and entered into the Corrective Action Program for review. Provide in electronic spreadsheet format - include the following (as applicable): tracking no. unit ID, system ID, title/short description, date initiated, date due, significance level, evaluation class/type, status, department, and, if possible, the number of due date extensions.

19 Provide list of CAP tracking items generated as a result of issues identified during the OE reviews - provide in electronic spreadsheet format - include the following (as applicable): tracking no., unit ID, system ID, date initiated, date due, significance level, evaluation class/type, status, title/short description, department, and, if possible, the number of due date extensions

Audits and Assessments:

* **20 Access to most recent QA reviews (audits, assessments, etc.) and self-assessment of corrective action program performance.**

21 Access to all QA reviews (audits, assessments, etc.) and self-assessments of the corrective action program performed since October 21, 2019.

22 Access to all QA audits, self-assessments and safety culture conducted reviews since October 21, 2019.

23 List of licensee identified issues (IRs) that were identified as a result of the audits and assessments.

* **24 Copy of the most recent CAP trend reports and CAP performance indicators.**

25 Copy of the CAP trend reports and CAP performance indicators used by management issued since October 21, 2019.

26 A list of IRs generated as a result of identified trends (either by station or department) initiated since October 21, 2019. Include a brief description of the trend, how identified (internal or external), when it was identified and whether the IR is open or closed.

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- # 27 List of specific or cross-cutting issues identified by safety review committees (PORC, NSRB, etc.) or other management oversight mechanisms. Indicate whether these items are being tracked in the CAP or other means.
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Safety Conscious Work Environment (SCWE) and Employee Concerns Program (ECP):

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- * **28 Access to procedures related to the ECP (electronic prior to the inspection and one hardcopy for review during the inspection).**
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- # 29 Access to a list of all ECP cases and contacts initiated since October 21, 2019 [will be reviewed onsite to maintain confidentiality]. A list of any IRs generated as a result of these reviews.
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- * 30 Access to PDF or hard copies of all safety culture reviews (audits, assessments, surveys, trend review, etc.) initiated since October 21, 2019, a list of any IRs generated as a result of these reviews, and PDF copies of any SCWE program documents that govern the station's management of SCWE issues.
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Specific Program Documents - (these may also be covered by some of the more general requests :

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- # 31 Most recent PI&R functional area self assessment (FASA) that was performed in preparation for the upcoming PI&R inspection.
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- * **32 Most recent site Quarterly Performance Trending reports**
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- # 33 Hard-copy of last completed INPO evaluation and assistance report [Will be reviewed onsite to maintain confidentiality].
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- # 34 PI&R functional area self assessment (FASA) that was performed in preparation for the 2019 PI&R inspection.
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* **Please provide the results of these item requests (item nos. 1, 2, 5, 7, 10, 15, 16, 20, 24, 28, 30, 32) by July 12th. Bagman planned for July 20-22**

Please have these items (item nos. 6, 9, 15, 16, 23, 26, 27, 29, 31 (if available), 33 and 34) available for review during the first day of the bag man trip.
Anything remaining please provide by July 26, 2021.