

## Problem Identification and Resolution Inspection Supporting Documentation

### General:

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

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

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  - 3 List of system prints (P&IDs).

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  - 4 Electronic copies of Final Safety Analysis Report (FSAR) and Technical Specifications (TS), TS Bases and the TRM.

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  - \* **5 Electronic copy of the Quality Assurance Manual.**

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  - # **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.**

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  - 8 List of all deficiency documents (IRs (issue reports), ARs (action requests), etc.) initiated since June 8, 2020, (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.

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  - # **9 Separate list of all corrective action documents (IRs, ARs, etc.) initiated before June 8, 2020 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.**

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  - # **10 List of all evaluation products (including, but not limited to root cause evaluation, apparent cause evaluation, NCAN, work group evaluation, common cause analysis, etc.) completed since June 8, 2020, (last PI&R inspection)**

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  - \* **11 Matrix of the total number of IRs generated annually (all of 2020 & 2021, 2022 to date) by department.**

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  - 12 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.

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  - 13 For all LERs submitted since June 8, 2020 (last PI&R inspection), - PDF copy of the associated IR.

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  - 14 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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- 15 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 – to 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.
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- # 16 **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.**
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- # 17 **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.**
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**Operating Experience:**

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- 18 List of Operating Experience reviews completed for NRC correspondence (i.e, NRC INs / GLs / Bulletins / Part 21's) issued since June 8, 2020. 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.
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- 19 List of Industry Operating Experience issues (NSSS vendor reports, EPRI Reports, experience reports from similar facilities) issued since June 8, 2020, 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.
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- 20 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
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**Audits and Assessments:**

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- \* 21 **Access to most recent QA reviews (audits, assessments, etc.) and self-assessment of corrective action program performance.**
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- 22 Access to all QA reviews (audits, assessments, etc.) and self-assessments of the corrective action program performed since June 8, 2020
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- 23 Access to all QA reviews (audits, self-assessments, etc.) conducted since June 8, 2020.
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- # 24 **List of licensee identified issues (IRs) that were identified as a result of the audits and assessments.**
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- \* 25 **Copy of the most recent CAP trend reports and CAP performance indicators.**
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- 26 Copy of the CAP trend reports and CAP performance indicators used by management issued since June 8, 2020.
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- # 27 **A list of IRs generated as a result of identified trends (either by station or department) initiated since June 8, 2020. 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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- # 28 **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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- \* 29 Electronic copies of procedures related to the ECP**

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  - # 30 Access to a list of all ECP cases and contacts initiated since June 8, 2020 [will be reviewed onsite to maintain confidentiality]. A list of any IRs generated as a result of these reviews.**

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  - \* 31 Access to PDF or hard copies of all safety culture reviews (audits, assessments, surveys, trend review, etc.) initiated since June 8, 2020, 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

- # 32 Copy of most recent PI&R functional area self assessment (FASA) that was performed in preparation for the upcoming PI&R inspection.**

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  - \* 33 Copy of most recent site Quarterly Performance Trending reports**

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  - # 34 Hard-copy of last completed INPO evaluation and assistance report [Will be reviewed onsite to maintain confidentiality].**

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  - # 35 PI&R functional area self assessment (FASA) that was performed in preparation for the 2020 PI&R inspection.**
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**\* Please provide the results of these item requests (item nos. 1, 2, 5, 7, 11, 21, 25, 29, 31, and 33) by December 13. Bagman planned for December 15-16.**

**# Please have these items (item nos. 6, 9, 10, 16, 17, 24, 27, 28, 30, 32 (if available), 34 and 35) available for review during the first day of the bag man trip.**

Anything remaining please provide by January 14, 2022.