### Questionnaire B:

**How to Inspect a Licensee’s Corrective Action Programme**

Country: …………………………

**NOTES**

Only one response per country is required. If more than one person from your country is participating, please co-ordinate the responses accordingly.

Submittals should be sent by e-mail to [luc.chanial@oecd.org](mailto:luc.chanial@oecd.org?subject=14th%20International%20Nuclear%20Regulatory%20Inspection%20Workshop%20-%20Questionnaire%20B:%20How%20to%20Inspect%20a%20Licensee's%20Corrective%20Action%20Programme%20(CAP)) by 11 February 2018.

**FOREWORD**

In 2010, the Working Group on Inspection Practices (WGIP) issued a report titled Inspection of Licensee’s Corrective Action Programme [[NEA/CNRA/R(2010)7](https://www.oecd-nea.org/nsd/docs/2010/cnra-r2010-7.pdf)]. The observations, commendable practices and conclusion in this report were developed based on the results of a questionnaire to which 14 countries responded. In general, the commendable practices are of a broad nature and indicate *what* areas of a licensee’s corrective action programme (CAP) should be assessed by the regulatory body (RB).

This workshop topic will build on the 2010 report and examine *what* and *how* RB’s assess licensee CAPs, as their effectiveness is the foundation to sustain safe operation of nuclear power plants. CAPs cover a wide range of areas; the scope of this workshop topic is limited to those identified below:

* identification and documentation of the problem;
* actions taken to address the problem;
* prioritisation of corrective actions;
* implementation and execution of corrective actions;
* assessment of the effectiveness of corrective actions;
* trend analysis to identify repetitive problems or repetitive causes;
* apparent cause analysis/root cause analysis.

The purpose of this workshop topic is to identify commendable inspection practices and share information about methods, procedures and criteria used to inspect licensees’ corrective action programmes.

A RB should have confidence that a licensee’s corrective action program is effective; this includes assessments of the effectiveness of corrective actions as well as apparent cause analysis/root cause analysis, and trend analysis.

This workshop topic excludes physical security.

**QUESTIONNAIRE**

For the preparation of the workshop, participants are invited to supply their national inspection approaches used according to the following questionnaire:

1. What are your RB’s definition and understanding of a licensee’s CAP?
2. Does your RB have legislative and regulatory requirements that obligate a licensee to implement a CAP?
   1. If not, do your licensees have a self-imposed CAP?
   2. Does your RB approve a licensee’s CAP? What are the acceptance criteria used by your RB to conduct this approval (e.g. standard)?
   3. Does your RB give credit (i.e. confidence) to a CAP that is shared amongst different sites within the same parent company? For example, is the CAP inspected at only one NPP or all NPPs that are using the same CAP?
3. How does your RB inspect a licensee’s CAP?
   1. What is the frequency at which your RB inspects a licensee’s CAP? What are the criteria used to modify the frequency of inspection?
   2. Does your RB have inspection guides to inspect a licensee’s CAP?
   3. What areas of the licensee's CAP does your RB inspect?
4. What are the criteria used by your RB to inspect the following areas for compliance?
   1. identification and documentation of the problem including the identification of human and organisational factors issues (e.g. licensee reports, non-conformance reports, etc.)
   2. actions taken to address the problem
   3. prioritisation of corrective actions
   4. implementation and execution of corrective actions
   5. assessment of the effectiveness of corrective actions
   6. trend analysis to identify repetitive problems or repetitive causes
   7. apparent cause analysis/root cause analysis
5. Does your RB inspect how a licensee processes corrective actions? If yes, explain what your RB does in the following areas:
   1. deadlines of corrective actions
   2. safety assessments and reporting to RB
   3. approval process by RB and feedback to the licensee
   4. follow-up of open issues
   5. safety culture requirements, including human and organisational factors

Are there any other important topics that you would like to be considered for the workshop?