Flow Diagram – “Map” Internal Controls

Other suggestions:
1. Include high level information from the ICE template, into the respective activity box or outside it (e.g. any timing/milestones – must be done within 50 days, etc.)
2. Include information that helps map the “who, what, when, where, how” information on the ICE worksheet, to this high level overview of the process, it’s tools and it’s participants.

Self Reporting/Logging Process
(List associated NRC standards here if applicable)

Entity A observes potential non-compliance
[Entity Policy 125]
(List associated entity SME dept here if applicable)

Notify supervisor, SME?
[Entity procedure 456]
(List associated entity SME dept here if applicable)

SME notifies Entity Compliance Group
[Entity procedure 789]
(List associated entity SME dept here if applicable)

Fact finding, review, conclusion, need for mitigating actions and self reporting/self logging?
[Entity procedure 789]
(List associated entity SME dept here if applicable)

Review must be completed within (x) days

Is there a non-compliance?

Perform mitigating actions and documentation for Self Reporting or Self Logging
[Entity procedure 789]
(List associated entity SME dept here if applicable)

Notify appropriate internal parties, maintain documentation and basis for conclusion.
[Reference procedure]
(List associated entity SME dept here if applicable)

Next actions if any – (Lessons learned, periodic department meetings, training, etc.)
[Reference procedure]

Self Report through NPCC CDAA compliance portal
(List responsible SME/ dept here if applicable)

Self Report or Self Log?
[Entity procedure 789]
[List responsible SME/ dept here if applicable]

Notify appropriate internal parties, maintain documentation and basis for conclusion for review by NPCC Enforcement.
[Reference procedure]
(List responsible SME/ dept here if applicable)
Flow Diagram – Outage Application Process

1. Acme Outage Application Submitted [Acme Procedure X]
2. Outage application entered into RC's (software application) IRC procedure Y and/or Acme Procedure Z
3. RC makes generator notifications and RC Outage Request form document notifications
4. Review cause for rejection. Revise request or study alternative outage actions for resubmittal. [Acme Procedure Z]
5. Required studies are performed and summary is included in ISO's Outage Request form

- Outage Request approved by ISO
  - Next action, reference procedure
- Outage Request denied by ISO
  - [List associated entity SME dept here if applicable]