
ES-501
INITIAL POST-EXAMINATION ACTIVITIES

A. PURPOSE

This standard describes and coordinates the activities that must be completed after the written examinations and operating tests have been administered and graded in accordance with the ES-300 and ES-400 series. Specifically, the standard includes instructions for assembling and reviewing the examination package, notifying the facility licensee and applicants of the examination results, preparing the examination report, and retaining examination records.

B. BACKGROUND

The goal of the NRR operator licensing program office is to complete licensing or denial actions within 30 days after the facility licensee submits the graded examinations or its formal written examination comments to the NRC. The NRC and facility licensee staffs should establish their priorities and schedules to achieve this goal.

Applicants must achieve a grade of 80 percent or greater on the written examination and a grade of "satisfactory" on all three categories of the operating test to qualify for a license.

C. RESPONSIBILITIES

1. Facility Licensee

- a. If the facility licensee participated in developing, administering, and grading the examination, the licensee shall forward the following examination documentation to the NRC chief examiner ("addressee only") ~~so that it is received~~, **as soon as possible** (when practical, within five working days) after the examinations were administered:
- the graded written examinations (i.e., each applicant's original answer and examination cover sheets) plus a clean copy of each applicant's answer sheet (ES-403)
 - the master examination(s) and answer key(s), annotated to indicate any changes made while administering (ES-402) and grading the examination(s) (ES-403)
 - any questions asked by and answers given to the applicants during the written examination (ES-402)
 - any **substantive** comments made by the applicants after the written examination with an explanation why the comment was accepted or rejected (**this item is encouraged but not required**) (ES-402)
 - the written examination seating chart (ES-402)
 - a completed Form ES-403-1, "Written Examination Grading Quality Checklist" (ES-403 and Section D.1)
 - the results of any written examination performance analysis that was performed, **with recommended substantive changes** (ES-403)
 - original Form(s) ES-201-3, "Examination Security Agreement," with a pre- and post-examination signature by every individual who had detailed

knowledge of any part of the written examination or operating tests before they were administered.

Refer to the referenced Examination Standards for a more detailed discussion of each documentation requirement.

- b. If the facility licensee did not participate in developing, administering, and grading the examination, the licensee should submit comments and recommendations regarding the NRC-developed written examination to the NRC regional office **as soon as possible** (within five working days, (when practical) after the exit meeting. The facility licensee should also include and consider comments made by the license applicants that took the examination. (Refer to ES-402 for more detailed instructions.)

2. NRC Regional Office

- a. The NRC regional office shall ensure that the operating tests and written examinations are graded in accordance with ES-303 and ES-403, respectively.
- b. The NRC regional office shall ensure that the examination results and licensing recommendations receive the required reviews and approvals in accordance with Section D, that the associated administrative requirements are completed in accordance with Section E, and that the required records are retained in accordance with Section F.

The regional office may use Form ES-501-1, "Post-Examination Check Sheet," to track completion of the administrative items after the examinations are administered.

- c. NRC regional management should also review the overall examination results and any generic findings, deficiencies, or issues to determine if any follow-up action is required.

If the facility licensee recommends deleting or changing the answers to five percent or more of the questions on a written examination that it developed, the regional office should request that the facility licensee explain why so many post-examination changes were necessary and what actions will be taken to improve future license examinations.

If ten percent or more of the examination questions are deleted during the grading process, the region shall evaluate the remaining examination to ensure that the test outline sampling requirements in ES-401 are still satisfied. The training and assessment specialist on the program office staff should be consulted if the validity of the examination is in question.

If the content validity of the examination is affected (e.g., several knowledge and ability (K/A) topics are not covered, or the majority of the remaining K/As are

associated with a small number of systems) as a result of deleting questions, NRR operator licensing program office will make a decision whether the examination should be voided.

D. EXAMINATION REVIEWS AND LICENSING ACTION

Except as noted below, the quality reviews generally constitute spot checks, or sampling, to follow up on the work performed by the written examination and operating test graders in accordance with ES-403 and ES-303, respectively. If the quality reviews indicate significant problems, additional detailed review will be necessary.

Reviewers should discuss all grading discrepancies with the grader or previous reviewer before making any changes. In addition, the reviewers shall document any changes by carefully lining out the original entry so that it remains legible, entering the revision with a brief explanation, and initialing the change. Reviewers shall not use "white-out" or other methods that obscure the original entry.

1. Facility Management

If the facility licensee graded the written examinations, a supervisor or manager shall confirm the quality of the grading and sign the bottom of Form ES-403-1 before sending the examinations to the NRC regional office.

The NRC will consider the signed form to represent facility management concurrence with the individual and collective examination results, including the justification for any examination changes.

2. NRC Chief Examiner (or designated alternate)

The written examination grading shall be independently reviewed by at least two NRC personnel using Form ES-403-1 as a guide. If the examination was graded by the chief examiner, then another examiner shall conduct the independent review. If the chief examiner conducts the independent review, he or she may not perform the supervisory review required by Section D.3.

- a. If the facility licensee graded the written examinations, the chief examiner shall immediately inventory the examination package to ensure that all required materials have been submitted. The chief examiner shall inform the responsible supervisor of any obvious deficiencies, and shall contact the facility licensee to determine the status of any missing documentation.
- b. The chief examiner shall independently analyze *each* examination and answer key change made or recommended by the facility licensee or a license applicant to determine whether it is justified. The chief examiner shall ensure that the reason for accepting or rejecting each change or recommendation is documented in the examination report. The report shall briefly state the region's basis for accepting or rejecting each facility comment; simply stating

concurrence with no explanation is not sufficient. The chief examiner will not accept a change to the examination unless the facility licensee submits a valid reference to support its recommendation.

- c. The chief examiner shall review the remaining items on Form ES-403-1. The chief examiner should apply his or her judgment when reviewing the examination results and adjust the level of the review based on the performance of the applicants and the facility licensee (e.g., the number of questions changed or deleted, the average grade, the number of borderline or failing grades, etc.). If the examination was graded by machine or using a template, the chief examiner shall ensure that the template accurately parallels the approved answer key.

The chief examiner shall independently grade every borderline examination (i.e., those between 78% and 82%) using the final, approved answer key and the clean applicant answer sheets provided by the facility licensee.

- d. The chief examiner should review the written examination results and the facility licensee's performance analysis (if applicable) for indications of the following:
- deficiencies in the applicants' training program, so that they may be addressed in the examination report
 - poor question construction, so the applicants are not graded unfairly, any significant problems can be addressed in the examination report, and the questions are corrected before reuse
 - any indications that the examination was compromised
- e. When satisfied with the examination grading, the chief examiner shall sign and date Form ES-403-1 and pass it on to the responsible supervisor for management review (see Item D.2.h).

The chief examiner shall also ensure that the written examination results and the names of the NRC examiners who wrote, graded, or reviewed the examinations are recorded in the "Written Examination Summary" section of each applicant's "Individual Examination Report," Form ES-303-1.

- f. The chief examiner shall also review, *in detail*, the other examiners' operating test documentation to ensure that the test (as given) and its grading meet the requirements in ES-301 and ES-303. In so doing, the chief examiner shall ensure that the other examiners' operating test comments support the pass or fail recommendations and check for consistent documentation and grading among the operators tested on the same simulator crew.

If the documentation is accurate and complete, and the licensing recommendation is appropriate, the chief examiner shall check "Pass" or "Fail" and sign and date the "Final Recommendation" block on Form ES-303-1. If the

licensing recommendation is not appropriate based on the documentation presented, the chief examiner shall discuss the examination findings with the NRC examiner of record and resolve any disagreement.

If the chief examiner administered the operating test, the responsible regional supervisor shall designate another examiner to independently review the documentation and sign the "Final Recommendation" block on page 1 of Form ES-303-1.

- g. The chief examiner shall record the results of the written examinations and operating tests on Form ES-501-2, "Power Plant Examination Results Summary."
- h. The chief examiner shall ensure that the examination documentation is complete and contains all of the items identified in Section F before forwarding the entire package to the responsible supervisor for review and approval in accordance with Section D.3.

If the written examinations were administered much before the operating tests, the chief examiner should enter that data on the form and forward it with the completed written examination package to the responsible supervisor for review and approval in advance of the operating test results.

3. NRC Management Review and Licensing Action

- a. The responsible supervisor shall ensure that all examination results and documentation are complete. The supervisor shall evaluate the written examination results, ensure that the required quality reviews were completed, work with the chief examiner and the facility licensee (as necessary) to resolve any grading problems, and then sign and date Form ES-403-1 to document approval of the process.

Every written examination shall have at least two levels of NRC review. Therefore, the NRC examiner who performed the regional quality review is disqualified from also performing the supervisory review.

- b. The responsible supervisor will also independently review the operating test results, check either the "Issue License" block or the "Deny License" block in the "License Recommendation" section of each applicant's Form ES-303-1, and sign and date each form. Under no circumstances will all three levels of recommendation on Form ES-303-1 (i.e., operating test administrator, chief examiner, and NRC supervisor) be signed by the same individual.

If the responsible supervisor (or licensing official) does not believe that the operating test documentation supports the final recommendation, he or she shall consult the NRC examiner of record and the chief examiner to discuss and resolve any disagreements.

If a recommendation is overturned during the regional management review, the responsible supervisor will line out and initial the affected summary evaluations. The supervisor will then enter the new summary evaluation in the appropriate block, and explain the change on Form ES-303-2, "Operating Test Comments," and attach it to the applicant's Form ES-303-1.

- c. After making the licensing recommendations, the responsible supervisor will have the operator licensing assistant prepare a license, denial, or notification letter for each examined applicant and forward the examination package to the regional licensing official. Applicants who withdrew before taking any part of the license examination shall not be sent a denial letter. Attachments 3 and 4 provide sample RO and SRO (conditional) license letters and a sample denial letter.

Attachment 5 is a sample letter for use in notifying applicants that they passed the examination, but that their licensing action will be delayed. For example, if an applicant was granted a waiver (refer to ES-202 and ES-204) and allowed to take the examination before completing all of the training and experience requirements, the regional office shall normally not issue a license to the applicant until the facility licensee has certified in writing that the applicant has completed all of the waived items. Likewise, if any of the applicants failed the written examination, the regional office shall analyze the question-by-question performance of those applicants who scored 81 percent or lower on the examination to ensure that any question deletions or changes will not affect the licensing decision. And, if necessary, the regional office shall delay issuing licenses to those applicants until any written examination appeals have been reviewed for impact on the licensing decisions.

Before issuing a license in either instance, the regional office shall ensure that: (1) the applicant has been determined to be medically fit within the past 24 months; (2) the applicant has not developed any permanent physical or mental condition that would be reportable under 10 CFR 55.25; and (3) the applicant is up-to-date in the requalification training program. Moreover, the regional office shall advise the facility licensee to properly activate the individual's license in accordance with 10 CFR 55.53(f) if more than three months have passed since the examination results were issued.

If a licensing action is delayed for any reason, the effective date of the license will be the date on which it is issued; licenses will not be backdated.

- d. The final licensing decision is made by the NRC regional administrator or a designated alternate, who must be at or above the level of branch chief; short-term alternates shall not make licensing decisions. The licensing official will consider all recommendations, make changes as described above, and sign each applicant's license, denial, or notification letter, as applicable.

E. EXAMINATION FOLLOW-UP

1. Notify Facility Licensee of Results

The NRC regional office will notify the facility licensee and applicants of the examination results (as described below) only after they are reviewed and approved by the licensing official.

- a. The regional office should normally notify the facility licensee's designated representative of the examination results by telephone, and may confirm the results by mailing a copy of Form ES-501-2 under a separate cover letter. For each applicant that failed or had significant deficiencies that warrant further evaluation and retraining by the facility licensee, the regional office will also send to the facility licensee a copy of the applicant's Form ES-303-1 and written examination answer sheet. These form(s) shall *not* be placed in the public document room or distributed with the final examination report.

If the written examinations were administered much before the operating tests and management has approved the results of those examinations, the regional office may notify the facility licensee of those results rather than waiting until the operating tests are completed.

- b. After the licensing official has signed the license, denial, and notification letters, the regional office shall send each applicant's letter along with the following materials:
- a copy of Forms ES-303-1, ES-303-2, and ES-D-1 (and Forms ES-D-2 if the applicant failed Category C of the operating test) reflecting the "as run" scenario conditions but *without* any rough examiner notes regarding the applicant's performance (pen-and-ink markups of the original, approved scenarios are acceptable)
 - a copy of the applicant's written examination cover and answer sheets (as well as a copy of the master written examination and answer key if the applicant failed the written examination)
- c. The regional office shall send a copy of Form ES-501-2 to the NRR operator licensing program office. If any of the examinations are later regraded in response to an applicant's request for review (refer to ES-502), the original Form ES-501-2 on file in the regional office shall be corrected by lining out the old grade, entering the new grade, and initialing the change. Whenever a change is made, the regional office shall mail a copy of the revised form to the program office.
- d. **The responsible supervisor should consider phoning the facility licensee management counterpart to discuss the examination outcome and lessons learned. Any pertinent feedback on the examination process should be**

forwarded to the operator licensing program office for consideration.

2. Return the Facility Reference Material

If desired by the facility licensee, the NRC chief examiner shall ensure that the reference materials provided for NRC examiners to prepare for the examinations are returned as soon as possible. If none of the applicants failed the examination, the materials should be returned as soon as the licenses are issued. If any applicant was denied a license based on an examination failure, the reference materials should be retained pending expiration of the 20-day period during which the applicant may request a regrade. If an applicant requests a regrade in accordance with ES-502, the chief examiner shall determine what reference materials need to be retained and should return all unnecessary materials. All reference materials should be returned to the facility licensee within 30 days following the resolution of any appeals.

3. Prepare the Examination Report

The NRC chief examiner shall prepare the final examination report when all portions of the examination have been graded and documented. If the regional office delays some licensing actions in accordance with Section D.3, it should issue and later amend the examination report. The examiner shall ~~use~~ *follow the principles in* NRC Manual Chapter 0610*, "*Reactor* Inspection Reports," when preparing the report.

a. The final examination report shall document the following:

~~a factual description of the test item changes, including the type and number of psychometric enhancements made and agreed upon between the facility licensee and NRC examiners as a result of the joint NRC and facility licensee examination review process. Conclusions regarding the adequacy of the facility proposed examinations are not required and should only be considered if the Region has concluded that the finding has programmatic aspects, e.g., multiple examples of examination submittals with an excessive number of unacceptable test items: whether or not the quality of the submitted examination material was within the range of acceptability expected by the NRC. This will be determined as follows:~~

The NRC will evaluate the submitted written examination questions (RO and SRO combined) using the guidance in Sections E.2-3 of ES-401 to determine the percentage of submitted questions that required replacement or significant modification or that clearly did not conform with the intent of the approved K/A statement.

The NRC will evaluate the submitted operating test material by combining the scenario events, JPMs, and prescribed questions (e.g., an operating test composed of 4 administrative JPMs, 2 prescribed questions, 10 walk-through JPMs, and 2 scenarios with 6 events or malfunctions each

would total 28 proposed test items for evaluation). For the combined total, the NRC will determine the percentage of submitted test items that required replacement or significant modification to conform with the acceptance criteria in Section D of ES-301.

Note: If the review indicated that a specific event in a scenario did not require significant, discriminatory operator actions, it should not be included in the total unless that event was one of the required minimum events for any of the applicants according to Form ES-301-5 or the whole scenario was inadequate. Specific malfunctions that were added to the scenarios to provide complications or distractions for other events should not be judged solely on their individual merits.

If 20 percent or fewer of the test items for the submitted written examination and operating test (judged separately) required replacement or significant modification, the report will simply state that the facility licensee's submittal was within the range of acceptability expected for a proposed examination. If applicable, an observation shall be included, indicating that the examination changes agreed upon between the NRC and the facility were made according to NUREG-1021.

Note: NRC-validated questions, JPMS, prescribed questions, and scenario events that required replacement or substantial modification will not be counted unless the reason for the current unacceptable flaw was caused by the facility licensee since the time the test item was previously approved by the NRC. (For example, the question's reference changed but the question was not revised accordingly.)

If more than 20 percent of the submitted test items (written exam and operating test judged separately) required replacement or significant modification, the report shall include a factual description of the test item changes (observations), including the type and number of test items replaced and significantly modified as a result of the joint NRC and facility licensee examination review process. The report shall also note that the overall submittal was outside the acceptable quality range expected by the NRC and that future examination submittals should incorporate any lessons learned from this effort.

Negative observations regarding the adequacy of the facility licensee's proposed examination (e.g., stating that the proposed examination was not adequate for administration) shall only be made if the examination was not the facility's first submittal to exceed the 20 percent threshold for unacceptable test items and the NRC operator licensing program office has concurred in the evaluation. Report findings for repetitive unacceptable facility submittals will be documented consistent with the "thresholds of significance" guidance of NRC Manual Chapter 0610.

- any delay in administering the examination and the reason for the delay, and any extensions of the written examination time beyond five hours
 - the results of the examination, including ~~any generic strengths and weaknesses noted while administering the operating tests or grading and reviewing the written examinations,~~ and any significant grading deficiencies if the examinations were graded by the facility licensee
 - *an overview of the examination security measures and activities evaluated while preparing and administering the examinations* and any examination security issues and incidents or other matters requiring facility attention (consistent with NRC enforcement policy)
 - any other issues discussed at the exit meeting
- b. The report shall include *(or cite the accession number for)* the following items, as applicable:
- a copy of the master written examination(s) and answer key(s)
 - a copy of the facility licensee's (and applicants') specific comments and recommended changes regarding the written examination that was administered
 - the specific NRC resolution, including a precise explanation for accepting or rejecting each facility comment, for each facility recommendation and a specific justification for every additional item deletion or change (Refer to Attachment 1 for examples of facility comments and NRC resolutions.)
 - a simulation facility report (as described below)

Generic comments submitted by the facility licensee about the examinations or the administration process should also be included in the report; however, such comments do not necessarily require a regional response or resolution.

- c. The simulation facility report shall document the NRC examiners' evaluation of the performance or fidelity of the simulation facility during the preparation or conduct of the operating tests. A sample report is provided in Attachment 2.

All simulator deficiencies encountered while preparing or conducting the operating tests should be described in sufficient detail to allow screening and classification during a simulation facility followup. The NRC examiners may include in the simulation facility report any concerns about physical fidelity (hardware or equipment discrepancies) or functional fidelity (performance of the simulation facility during normal, surveillance, abnormal, or emergency events). Each deficiency should include a description of the operation, event, or transient that was in progress, and how the simulation facility failed to accurately model

the expected performance of the reference plant.

- d. The applicants' names and specific grades (i.e., Form ES-501-2) shall *not* be published in the examination report.
- e. The NRC regional office shall send the final examination report to the facility licensee and ensure that a copy is made available to the public.

4. Perform Other Activities

- a. If an applicant did not complete the SRO upgrade training program or failed the upgrade examination, regional management should ensure that the RO licensee complies with the requirements of 10 CFR 55.53(e), (f), and (h) and 10 CFR 55.59(a) before resuming active duties as an RO.
- b. The NRC regional office should also conduct a case-specific review of the SRO upgrade examination to determine if the applicant failed as a result of significant deficiencies in RO knowledge or abilities. Pursuant to 10 CFR 55.7, the NRC may, by rule, regulation, or order, impose upon any licensee additional requirements deemed appropriate or necessary to protect public health and to minimize danger to life and property. If the SRO upgrade applicant's deficiencies pose such a threat, the NRC may require the facility licensee to provide remedial training and reevaluation and to submit evidence of its completion to the NRC.
- c. Once the licensing decisions are complete, the NRC examiners should discard any marked-up documentation or rough notes for those applicants receiving licenses (except as noted below). In accordance with ES-502, NRC examiners should retain all applicable notes and documentation associated with proposed denials until the denials become final; this may include simulator operating test notes regarding crew members that passed the test if the notes contain information relevant to the failing applicant's performance. Examiners are advised that such notes would be subject to disclosure if requested under the Freedom of Information Act.
- d. Agency policy requires that all documents submitted to the NRC for review and approval be made available to the public. Therefore, the NRC regional office shall ensure that a clean copy of the examination outline, the draft written examination(s), the draft operating test(s), the associated quality checklists, and other documents (excluding those containing information protected under the Privacy Act and internal NRC documents developed during the review process) are routed to the NRC's document control system for public dissemination. The final written examination(s) and operating tests must also be made available to the public; however, the intermediate working copies of these documents need not be released to the public unless the NRC regional office provided a copy to the facility licensee to facilitate the communication of deficiencies and required changes. NRC Manual Chapter 0620, "Inspection Documents and Records," provides additional policies and guidance in this area.

F. NRC RECORD RETENTION

1. The NRC regional office shall ensure, for the last initial examination at each facility, that the original (whenever possible) or a copy of the following items are either retained in the facility's master examination file or are electronically available via the NRC's document access and management system. The italicized items should be retained or available for the last two examinations at each facility so examiners can verify compliance with the limits on test item repetition.
 - a. ES-201, Attachment 3, "Corporate Notification Letter"
 - b. ES-201, Attachment 4, "Examination Assignment Sheet," with pen-and-ink changes to identify the applicants that were actually examined
 - c. Form ES-201-1, "Examination Preparation Checklist"
 - d. the written examination and operating test outline(s), along with Form ES-201-2, "Examination Outline Quality Checklist"
 - e. the proposed NRC- or facility-developed written examination and operating tests (including comments made by the facility licensee or the NRC, as applicable)
 - f. *the final written examination and answer key* (enclosure to examination report) with all changes incorporated (the pen-and-ink corrections made for the applicants while the examination was administered may be changed to typewritten corrections; however, all changes shall be annotated in such a way that they are evident), Form ES-401-7, "Written Examination Quality Checklist," and Form ES-401-9, "Written Examination Review Worksheet"
 - g. *the as-given scenarios including Forms ES-D-1, "Scenario Outline," and ES-D-2, "Operator Actions," for each scenario set administered, as well as the as-given walk-through tests including Forms ES-301-1, "Administrative Topics Outline," and ES-301-2, "Control Room Systems and Facility Walk-Through Test Outline," and the JPMS for each walk-through test* (all record copies should have the required signatures and reflect the "as run" test conditions; pen-and-ink markups of the original, approved forms are acceptable)
 - h. for each operating test administered: Form ES-301-3, "Operating Test Quality Checklist," Form ES-301-4, "Simulator Scenario Quality Checklist," Form ES-301-5, "Transient and Event Checklist," and Form ES-301-6, "Competencies Checklist"
 - i. Form ES-403-1, "Written Examination Grading Quality Checklist"
 - j. Form ES-501-2, "Power Plant Examination Results Summary Sheet"
 - k. *ES-501, Attachment 1, "Examination Report," with all enclosures*

- I. Form ES-201-3, "Examination Security Agreements"
2. The NRC regional office shall place the following items in each applicant's docket file:
 - a. Forms ES-303-1, "Individual Examination Report," ES-303-2, "Operating Test Comments" (original copies, all pages, including strip charts and other attachments that support the licensing decision), and ES-D-1, "Scenario Outline," as well as Form(s) ES-D-2, "Operator Actions," if the applicant failed Category C of the operating test (all record copies should have the required signatures and reflect the "as run" test conditions; pen-and-ink markups of the original, approved forms are acceptable)
 - b. all correspondence with the applicant
 - c. the applicant's original written examination cover and answer sheets

G. ATTACHMENTS/FORMS

Attachment 1,	"Sample Facility Comments and NRC Resolutions"
Attachment 2,	"Sample Simulation Fidelity Report"
Attachment 3,	"Sample License Letters"
Attachment 4,	"Sample Proposed Denial Letter"
Attachment 5,	"Sample Notification Letter"
Form ES-501-1,	"Post-Examination Check Sheet"
Form ES-501-2,	"Power Plant Examination Results Summary"

Interim
Use.

Question #28

Comment: The question asks for the required method of securing a diesel generator and ensuring that an auto restart does not recur following auto initiation on receipt of a valid LOCA signal with off-site power still available to its associated emergency bus. The question is recommended for deletion since the system operating procedure directs that the diesel be unloaded, verifying that the 4KV bus auto transfer annunciator is reset, and then secured by placing the handswitch in pull to lock. Therefore, the key answer - ensure the "4KV AUTO TRANSFER INOP" annunciator is lit before placing the control switch in PULL TO LOCK - is incorrect.

NRC Resolution: Recommendation accepted. The question is deleted due to no correct answer. The intended answer specified that the annunciator be confirmed as "lit" when it should have specified "reset" in accordance with system operating procedure No. 123 Section 5.1 (Rev. 29).

Question #81

Comment: The question asks for a description of RHR Loop B outboard injection valve operation if level rapidly decreases to 119.5 inches with the RHR loop B operating in the Shutdown Cooling Mode. The question is recommended for deletion since the outboard injection valve reopens automatically when the Group 4 isolation is reset, if a LPCI loop selection is sealed-in. Therefore, the key answer - the operator must reset the shutdown cooling isolation and manually reopen the RHR Loop B outboard injection valve - is incorrect.

NRC Resolution: Recommendation not accepted. The RHR Loop B outboard injection valve will not auto-open unless the operator manually resets the shutdown cooling isolation signal. Therefore, the use of the phrase "manually reopen" is correct, and the key answer is correct. The facility provided reference justification supports that manual action is required to open the injection valve.

Question #96

Comment: The question asks for the condition that will prevent the standby diesel generator upon restoration of power after a station blackout. The facility recommends acceptance of an additional answer - restore power to emergency bus 2B3 prior to restoration of power to the diesel - since the reference AOP indicates that if power is restored to bus 2B3 before 125 VDC is restored to the standby diesel generator starting logic, then there would be no Loss of Off-site Power (LOOP) signal available for generation of an auto start signal.

NRC Resolution: Recommendation accepted; the question has two correct answers (a and c). Figure 8 of system description No. 123, Rev. 3 for Bus 2B3 shows that bus 2B3 cannot be restored without restoring voltage to the secondaries of the startup and standby transformers thereby removing the LOOP diesel auto start signal. The AOP reference cited by the facility was not considered relevant since it did not state that the standby or startup transformers had to be energized in order to energize the 2B3 bus.

Facility Licensee: _____ (Facility name)

Facility Docket No.: _____ (number)

Operating Tests Administered on: _____ (date)

This form is to be used only to report observations. These observations do not constitute audit or inspection findings and, without further verification and review, are not indicative of noncompliance with 10 CFR 55.45(b). These observations do not affect NRC certification or approval of the simulation facility other than to provide information that may be used in future evaluations. No licensee action is required in response to these observations.

While conducting the simulator portion of the operating tests, examiners observed the following items:

(EXAMPLES)

<u>ITEM</u>	<u>DESCRIPTION</u>
HPSI header B pressure (PI-301)	The pressure instrument read mid-scale regardless of actual pressure.
Head bubble	During a scenario that caused a rapid depressurization during natural circulation, the vessel head level indication indicated a void (bubble). The confirming indications (i.e., pressurizer level and pressure) failed to verify or confirm the bubble.
Steam generator A wide range level	The meter has been out of service for the last three operating tests (approximately 18 months).

NRC Letterhead

(Date)LICENSE

(Applicant's name)
(Street address)
(City, State, Zip code)

Pursuant to the *Atomic Energy Act of 1954*, as amended; the *Energy Reorganization Act of 1974*, as amended; and Public Law 93-438, and subject to the conditions and limitations incorporated herein, the Nuclear Regulatory Commission hereby licenses you to manipulate all controls of the (Name of facility, facility license number).

Your License No. is OP-(number). Your Docket No. is 55-(number). The effective date is (date). Unless sooner terminated, renewed, or upgraded, this license shall expire six years from the effective date.

This license is subject to the provisions of Title 10, Section 55.53, of the *Code of Federal Regulations*, with the same force and effect as if fully set forth herein.

While performing licensed duties, you shall observe the operating procedures and other conditions specified in the facility license authorizing operation of the facility.

The issuance of this license is based upon examination of your qualifications, including the representations and information contained in your application for this license.

A copy of this license has been made available to the facility licensee.

For the Nuclear Regulatory Commission,

(Name and title of licensing official)

Docket No. 55-(number)

cc: (Facility representative who signed the applicant's NRC Form 398)

NRC Letterhead

(Date)

LICENSE

(Applicant's name)
(Street address)
(City, State, Zip code)

Pursuant to the *Atomic Energy Act of 1954*, as amended; the *Energy Reorganization Act of 1974*, as amended; and Public Law 93-438, and subject to the conditions and limitations incorporated herein, the Nuclear Regulatory Commission hereby licenses you to direct the licensed fuel handling activities of licensed operators at, and to manipulate all fuel handling controls of the (Name of facility, facility license number).

Your License No. is SOP-(number). Your Docket No. is 55-(number). The effective date is (date). Unless sooner terminated or renewed, this license shall expire six years from the effective date.

This license is subject to the provisions of Title 10, Section 55.53, of the *Code of Federal Regulations*, with the same force and effect as if fully set forth herein.

While performing licensed duties, you shall observe the operating procedures and other conditions specified in the facility license authorizing operation of the facility. You shall also comply with the following condition(s):

You shall wear corrective lenses while performing the activities for which you are licensed.

The issuance of this license is based upon examination of your qualifications, including the representations and information contained in your application for this license.

A copy of this license has been made available to the facility licensee.

For the Nuclear Regulatory Commission,

(Name and title of licensing official)

Docket No. 55-(number)

cc: (Facility representative who signed the applicant's NRC Form 398)

- Include only for unrestricted senior operators.
 Include only for senior operators limited to fuel handling.

NRC Letterhead

(Date)

(Applicant's name)
(Street address)
(City, State, Zip code)

Dear (Name):

This is to inform you that your grade on the (written examination, operating test, or both) taken on (date(s)), in connection with your application for a (reactor operator, senior reactor operator) license for the (facility name), indicates that you did not pass that (examination, test, or both). As a result, it is proposed that your application be denied. Enclosed is a copy of the (written examination, operating test, or both) results indicating those areas in which you exhibited deficiencies. (A copy of the master answer key is also provided.)

If you accept the proposed denial and decline to request either an informal NRC staff review or a hearing within 20 days, as discussed below, this proposed denial will become a final denial. You may then reapply for a license in accordance with Title 10, Section 55.35, of the *Code of Federal Regulations* (10 CFR 55.35), subject to the following conditions:

- * a. Because you passed (a written examination, an operating test) on (date), you may request a waiver of that portion.
- * b. Because you did not pass the (written examination, operating test) administered to you on (date), you will be required to retake that portion.
- * c. You may reapply for a license two months from the date of this letter.
- ** a. Because this is your (second, subsequent) examination failure, you will be required to retake both the written examination and the operating test.
- ** b. You may reapply for a license (6, 24) months from the date of this letter.
- *** a. Because you did not pass either the written examination or the operating test administered to you on (date(s)), you will be required to retake both the written examination and the operating test.
- *** b. You may reapply for a license (2, 6, 24) months from the date of this letter.

If you do not accept the proposed denial, you may, within 20 days of the date of this letter, take either of the following actions:

- You may request an informal NRC staff review of the grading of your examination. Your written request must be sent to the Director, Division of Inspection Program Management, Office of Nuclear Reactor Regulation, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555. Your request must identify the portions of your examination that you believe were graded incorrectly or too severely. In addition, you must provide the basis, including supporting documentation (such as procedures,

instructions, computer printouts, and chart traces), in as much detail as possible, to support your contention that certain of your responses were graded incorrectly or too severely.

The NRC will review your contentions, reconsider your grading, and inform you of the results. If the proposed denial is sustained, you will have the opportunity to request a hearing pursuant to 10 CFR 2.103(b)(2) at that time.

You may request a hearing pursuant to 10 CFR 2.103(b)(2). Submit your request, in writing, to the Secretary of the Commission, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555, with a copy to the Associate General Counsel for Hearings, Enforcement, and Administration, Office of the General Counsel, at the same address.

Pursuant to 10 CFR 55.35, you may not reapply for a license until your license has been finally denied. Failure on your part to exercise either of the above options within 20 days constitutes a waiver of your opportunity for informal review and your right to demand a hearing. For the purpose of reapplication under 10 CFR 55.35, such waiver renders this letter a notice of final denial of your application, effective as of the date of this letter.

If you have any questions, please contact (name) at (telephone number).

Sincerely,

(Name and title of licensing official)

Docket No. 55-(number)

Enclosures: As stated

cc: (Facility representative who signed the applicant's NRC Form 398)

CERTIFIED MAIL, RETURN RECEIPT REQUESTED

* Use for initial RO or SRO license applicants who passed either the written examination or the operating test but failed the other.

** Use for second and subsequent retake applicants.

*** Use for applicants who failed both the written and the operating test.

NRC Letterhead

(Date)

(Applicant's name)
(Street address)
(City, State, Zip code)

Dear (Name):

This letter is to inform you that you passed the site-specific written examination and operating test administered to you during the week of (date) in connection with your application for a (reactor operator, senior reactor operator) license for the (facility name). Copies of your operating test and your written examination answer sheets are enclosed.

However, as explained in NUREG-1021, "Operator Licensing Examination Standards for Power Reactors," Revision 8, Section ES-501, paragraph D.3.c, we will not be issuing your license [until your employer certifies in writing that you have acquired all of the training and experience for which you were previously granted a waiver.] [[because any written examination with a passing grade of 81 percent or below is normally held for review until those applicants who failed the examination have had an opportunity to appeal their license denials.

After resolving potential changes from any appeal, the NRC will issue your license if your final grade remains above 80 percent. Should changes result in your final grade being below 80 percent, the NRC will send you a proposed denial letter, which will outline your response options.]]

If you have any questions, please contact (name) at (telephone number).

Sincerely,

(Name and title of licensing official)Docket No. 55-(number)

Enclosures: As stated

cc: (Facility representative who signed the applicant's NRC Form 398)

[] Use only for applicants who need to complete training or experience prior to licensing.
[[]] Use only for applicants whose final licensing action is pending the resolution of written examination appeals.

Task Description	Date Complete
1. Facility written exam comments or graded exams received and verified complete	
2. Facility written exam comments reviewed and incorporated and NRC grading completed, if necessary	
3. Operating tests graded by NRC examiners	
4. NRC Chief examiner review of written exam and operating test grading completed	
5. Responsible supervisor review completed	
6. Management (licensing official) review completed	
7. License and denial letters mailed	
8. Facility notified of results	
9. Examination report issued (refer to NRC MC 0610)	
10. Reference material returned after final resolution of any appeals	

Use.

