# VARIOUS CHECKLISTS

# FOR THE QUAD CITIES INITIAL EXAMINATION - AUGUST 2001

Form ES-201-3

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#### 1. <u>Pre-Examination</u>

I acknowledge that I have acquired specialized knowledge about the NRC licensing examinations scheduled for the week(s) of  $\frac{8/6/0/}{}$  as of the date of my signature. I agree that I will not knowingly divulge any information about these examinations to any persons who have not been authorized by the NRC chief examiner. I understand that I am not to instruct, evaluate, or provide performance feedback to those applicants scheduled to be administered these licensing examinations from this date until completion of examination administration, except as specifically noted below and authorized by the NRC.Furthermore, I am aware of the physical security measures and requirements (as documented in the facility licensee's procedures) and understand that violation of the conditions of this agreement may result in cancellation of the examinations and/or an enforcement action against me or the facility licensee. I will immediately report to facility management or the NRC chief examiner any indications or suggestions that examination security may have been compromised.

#### 2. <u>Post-Examination</u>

To the best of my knowledge, I did not divulge to any unauthorized persons any information concerning the NRC licensing examinations administered during the week(s) of  $\frac{2|g|a|}{a}$ . From the date that I entered into this security agreement until the completion of examination administration, I did not instruct, evaluate, or provide performance feedback to those applicants who were administered these licensing examinations, except as specifically noted below and authorized by the NRC.

PRINTED NAME	JOB TITLE / RESPONSIBILITY	SIGNATURE (1)	DATE	SIGNATURE (2)	DATE NOTE
1. Gary Thennes	Exam Co-ordinator	Daughtenne	5/25/01	Daughernes	8/14/01
2. Mike Rodrs	Material Preparation	Roats	6/25/01	Color	9/10/01
3. JOHN HOELLER 4. Jim Mensiller	MATERIAL PREPARATION ALARA	umimlein	6/25/01	Sum million	812401
5. JEFFERY L. HANSEN	MANAGER - Ops. TRA. Wily PROGRAMS		7/16/01	- Justing - Roster	
6. RANDY McCoy	NSO	Pauly de la	2/16/1	Candy lely	
7. Bryan Aude	<u></u>	See 1	7.16.01	FRATE	8.27-01
8. Curt Statter 9. Anthony M. Scott	SRO-Shift Manager	amard	7-16-11	amscrif	117/01
10. KEVIN B. CRAVENS	SRO	REparen	7.16-01	Keling.	8-27-01
11. TIM VEGTER	NSO	- try Ma	7-16-1	14 44	8-27-1
12. Scott Haker	SAU NSO	- to the	7-16-1	April	8-27-1
13. Harold Cours 14. OWERN JAMIRON		Libella Cameson	1-16-1 5	Liven anies	
TS. DUANE DECKER	SIMULATOR COORDINATOR	Sum Lecken	7/16/01 3	Jump Beck	8/14/01
	· · · · · · · · · · · · · · · · · · ·	· <b>)</b>		3	

#### NOTES:

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**Examination Security Agreement** 

#### 1. <u>Pre-Examination</u>

Lacknowledge that I have acquired specialized knowledge about the NRC licensing examinations scheduled for the week(s) of 3/6/6/ as of the date of my signature. I agree that I will not knowingly divulge any information about these examinations to any persons who have not been authorized by the NRC chief examiner. I understand that I am not to instruct, evaluate, or provide performance feedback to those applicants scheduled to be administered these licensing examinations from this date until completion of examination administration, except as specifically noted below and authorized by the NRC. Furthermore, I am aware of the physical security measures and requirements (as documented in the facility licensee's procedures) and understand that violation of the conditions of this agreement may result in cancellation of the examinations and/or an enforcement action against me or the facility licensee. I will immediately report to facility management or the NRC chief examiner any indications or suggestions that examination security may have been compromised.

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PRINTED NAME	JOB TITLE / RESPONSIBILITY	SIGNATURE (1)	DATE	SIGNATURE (2)	DATE NOTE
1. William R. Hemm	OPERATION SUPPORT	William & Himme		williard thing	. sti
2. CHARLES C. SCHRONICIL	_Sim OP	Chos C. Schonet	-1/16/01	Clim Ahrt	8/14/01
3. RAYMOND C. BAKER	SOFTWARE ENGINFER	Rummel Charter II	<u></u>	And Oth An TI	8-20-01
4. STEVE Russell	Exan Coordente	Stopping 1	<u> 76/01</u>	- AR-1-	
5. Daniel L. Snook	TIT GROUP Leader	Dantaroot	8-6-01	Dand Knock	8-14-01
6. Mark W. Jensen	Surrogate	Maken genner 9	9.08-8-014	strong -	8-23-01
7. MIKE KAUFMAN)	SIRPOCIATE	Maul	89/1	M Lawing	<u></u> <u></u>
8. Tim Hanley	Shift Operations Superintent	Timblanley	8/9/1	Tin Hanle	C9/10/4
9/		<u> </u>		0	
10	·	· · · · · · · · · · · · · · · · · · ·			
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12		· ·····		· · · · · · · · · · · · · · · · · · ·	
13				·	
14					
<u>15</u>	·			·	
<b>*</b>					

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**Examination Security Agreement** 

Form ES-201-3

#### 1. <u>Pre-Examination</u>

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	PRINTED NAME	JOB TITLE / RESPONSIBILITY	SIGNATURE (1)	DATE	SIGNATURE (2)	DATE NOTE
1.	Gary Thennes	Exam Co-ordinator	Dausplemme	5/25/01	Daughemes	8/14/01
	Mike Rodrs	Material Preparation	Roots	6/20/01		alult
	JOHN HOELLER JimMeniller	MATERIAL PREPARATION ALARA	Juminless	6/25/01	Affree	<u>e[14]01</u>
5.	JEFFREY L. HANSEN	MANAGER - Ope, TRA. NS ing Programs	( And Han )	7/14/01	Jeffrey 2 Han	8/17/01
	RANSY McCov Bruan Aude	<u></u>	PaulijVila	<u>7/11/0/1</u> 7.16.01	Bolly field	<u>elifi</u> 8.14.01
	Curt Steffer	<u>s</u> Ri	at title	7-16-11		· · · · · · · · · · · · · · · · · · ·
	Anthony M. Scott	SRO-Shift Manager SRO	MBharen-	7-16-01	amscott	115/01
· creie A 10	KEVIN B. CRAVENS TIM VEGTER	NSO	Un Att	7-16-1		······································
÷ A 12		SRO	All flement	7-16-1		
	Harott Cours Owenn Jamieson	<u>NSO</u> OSS	Hardd Cours	<u>7-16-1</u> <u>7-16-1</u>	Leven Comes	x STIVION
	DUANE DECKER	SIMULATOR COORDINATOR	Dump Dicken	7/14/01	Jum Dock	- 3/14/01
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**ES-201** 

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PRINTED NAME	JOB TITLE / RESPONSIBILITY	SIGNATURE (1)	DATE	SIGNATURE (2)	DATE NOTE
	OPERATION SUPPORT SIM OP SOFTWARE ENGINEER	William & Summe Clico Calupties Summel Cognite	<u>11601</u>	Chin think	<u>P/1551</u> <u>8/141 11</u> <u>8-20-01</u> 8-21-01
4. Some Russell. 5. Daniel L. Snook	Ern Coordenton III GROUP Leaden	Mand Harson	<u>46/01</u> 8-6-01 9-08-8-013	Shard Brook	8-14-01
6. Mark W. Jensen 7. MIKE KAUFMAN	Surroyate Sirroyate Shift Operations Superintent	M. Rent	8/9/1	M Low	<u> 5 4/1</u>
8. <u>Tim Hanley</u> 9 10		4	· · ·		
11				· · · · · · · · · · · · · · · · · · ·	
13 14					
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# Operating Test Quality Checklist

Form ES-301-3

Facility: Quad Ci	ties Date of Examination: 8-6-2001 Operating Test Num	nber: 2	001301	
	1. GENERAL CRITERIA		Initial	s
		а	b	с
	perating test conforms with the previously approved outline; changes are consistent with ing requirements (e.g., 10 CFR 55.45, operational importance, safety function distribution).	BBP	ИЕВ	Ju
	is no day-to-day repetition between this and other operating tests to be administered this examination.	66P	M93	sh
c. The op	perating test shall not duplicate items from the applicants' audit test(s)(see Section D.1.a).	NA	NA	J.
d. Overla limits.	p with the written examination and between operating test categories is within acceptable	6 <i>6</i> 2	MB	gu-
	ears that the operating test will differentiate between competent and less-than-competent ants at the designated license level.	GR	MG3	سلا
	2. WALK-THROUGH (CATEGORY A & B) CRITERIA			
· initia · initia · refer · valid to be · spec - - - - - - - - -	IPM includes the following, as applicable: I conditions ting cues ences and tools, including associated procedures ated time limits (average time allowed for completion) and specific designation if deemed time critical by the facility licensee ific performance criteria that include: detailed expected actions with exact criteria and nomenclature system response and other examiner cues statements describing important observations to be made by the applicant criteria for successful completion of the task identification of critical steps and their associated performance standards restrictions on the sequence of steps, if applicable escripted questions in Category A are predominantly open reference and meet the criteria		1495	- nel
in Atta	chment 1 of ES-301.	NA	NA	N/A
	tion from operating tests used during the previous licensing examination is within able limits (30% for the walk-through) and do not compromise test integrity.	507	MG3	<u>b</u> ~
d. At leas	at 20 percent of the JPMs on each test are new or significantly modified.	B&R	MGB	bur
	3. SIMULATOR (CATEGORY C) CRITERIA			
	sociated simulator operating tests (scenario sets) have been reviewed in accordance with ES-301-4 and a copy is attached.	ĢD	ME/3	8m
<ul> <li>a. Author</li> <li>b. Author of Rec</li> <li>c. NRC Chief Ex</li> <li>d. NRC Supervis</li> </ul>	caminer (*) <u>2011 R. Mc Negl</u> Second Michiel		Date - <u> 0</u> - <u> 10</u> - <u> 10</u> - <u> 10</u> - <u> </u> 10 - <u> </u> 10	-01 101 2/

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Simulator Scenario Quality Checklist

Form ES-301-4

Facility:	Quad Cities Date of Exam: 8-6-2001 Scenario Numbers: 1 / 2 / Ope	erating Tes	t No.:	2001	301	
	QUALITATIVE ATTRIBUTES		Initials			
			а	b	с	
1.	The initial conditions are realistic, in that some equipment and/or instrumentation may be service, but it does not cue the operators into expected events.	out of	Bl	Mag	bu	
2.	The scenarios consist mostly of related events.		GBP	mqg	In	
3.	<ul> <li>3. Each event description consists of <ul> <li>the point in the scenario when it is to be initiated</li> <li>the malfunction(s) that are entered to initiate the event</li> <li>the symptoms/cues that will be visible to the crew</li> <li>the expected operator actions (by shift position)</li> <li>the event termination point (if applicable)</li> </ul> </li> </ul>					
4.	No more than one non-mechanistic failure (e.g., pipe break) is incorporated into the scena without a credible preceding incident such as a seismic event.	ario (	BBC	NG3	ben	
5.	The events are valid with regard to physics and thermodynamics.		₿₿?	MCB	ben	
6.	Sequencing and timing of events is reasonable, and allows the examination team to obtai complete evaluation results commensurate with the scenario objectives.	n "	6 P.	YAAB	ben	
7.	<ol> <li>If time compression techniques are used, the scenario summary clearly so indicates. Operators have sufficient time to carry out expected activities without undue time constraints. Cues are given.</li> </ol>					
8.	The simulator modeling is not altered.		1BP	1193	fre	
9.	The scenarios have been validated. Any open simulator performance deficiencies have be evaluated to ensure that functional fidelity is maintained while running the planned scenar	ieen ios.				
10.	Every operator will be evaluated using at least one new or significantly modified scenario. other scenarios have been altered in accordance with Section D.4 of ES-301.	All	6 <i>6</i> P	Mas	br	
11.	All individual operator competencies can be evaluated, as verified using Form ES-301-6 ( the form along with the simulator scenarios).	submit	H	NEB	bn.	
12.	<ol> <li>Each applicant will be significantly involved in the minimum number of transients and events specified on Form ES-301-5 (submit the form with the simulator scenarios).</li> </ol>					
13.	3. The level of difficulty is appropriate to support licensing decisions for each crew position.					
TARGE	T QUANTITATIVE ATTRIBUTES (PER SCENARIO; SEE SECTION D.4.D) Actual Attri	outes				
1.	Total malfunctions (5-8) 5/ 5	1 1	BBP	1143	kn	
. 2.	2. Malfunctions after EOP entry (1-2) 1/ 1 /					
3.	Abnormal events (2-4) 4/ 4 /					
4.	4. Major transients (1-2) 1/ 1 /					
5.	EOPs entered/requiring substantive actions (1-2) 2/ 2	1 6	395	M43	jm	
6.	EOP contingencies requiring substantive actions (0-2) 2/ 1	1 0	XX	WB	Sm	
7.	Critical tasks (2-3) 3/ 4	1 0	39	MGA	fm	

Form ES-301-6

					<b></b>		
		Applicant #1		ant #2	Applicant #3		
	RO/SRC	RO/SRO-I/SRO-U		-I/SRO-U	RO/SRO-I/SRO-U		
Competencies	SCE	SCENARIO		NARIO	SCENARIO		
	1	2	1	2	1	2	
Understand and Interpret Annunciators and Alarms	5,7	4,5,7	4,6,7,8	6,7	4,5,6,7, 8	4,5,6,7	
Diagnose Events and Conditions	3,5,7	4,5,7	4,6,7,8	3,6,7,8	3,5,6,7, 8	3,4,5,6, 7,8	
Understand Plant and System Response	2,3,5,7, 8	2,4,5,7, 8	1,4,6,7, 8	1,3,6,7, 8	3,5,6,7, 8	3,4,5,6, 7,8	
Comply With and Use Procedures (1)	2,3,5,7	2,4,5,7	1,4,6,7, 8	1,3,6,7, 8	4,5,6,7, 8	3,4,5,6, 7,8	
Operate Control Boards (2)	2,3,5,7	2,4,5,7	1,4,6,7	1,3,6,7, 8			
Communicate and Interact With the Crew	3,5,7,8	2,4,5,7, 8	1,4,6,7, 8	3,6,7,8	3,4,5,6, 7,8	2,3,4,5, 6,7,8	
Demonstrate Supervisory Ability (3)					4,5,6,7, 8	3,4,5,6, 7,8	
Comply With and Use Tech. Specs. (3)					3,5,6	3,4,5,6,	

Notes:

(1) Includes Technical Specification compliance for an RO.

(2) Optional for an SRO-U.

(3) Only applicable to SROs.

Instructions:

Circle the applicant's license type and enter one or more event numbers that will allow the examiners to evaluate every applicable competency for every applicant.

Author: Author of Record Chief Examiner:

## Written Examination Quality Checklist

Form ES-401-7

Facility:	Quad Cities Nuclear Power Station Da	te of Exam	n: <b>08/0</b>	6/2001		ity: Quad Cities Nuclear Power Station Date of Exam: 08/06/2001 Exam Level: RO								
							Initial							
Item Description							b*	c#						
1.	Questions and answers technically accurate and	applicable	to faci	lity		BBC	Sh	Đđ.						
2.	<ul><li>a. NRC K/As referenced for all questions</li><li>b. Facility learning objectives referenced as avail</li></ul>	able				CEP	Sm	19						
3.	RO/SRO overlap is no more than 75 percent, and per Section D.2.d of ES-401	SRO que	stions	are app	propriate	BBP	zun	pd,						
4.	Question selection and duplication from the last to appears consistent with a systematic sampling provide the systematic sampl		ensing	g exam	s		1000	ÐM						
5.							Ym	Þ¢						
6.	Bank use meets limits (no more than 75 percent from the bank at least 10 percent new, and the rest modified); enter the actual question distribution at right	Bank 32 331∞		lified 15 4m	New	BOP	Jun	PA						
7.	Between 50 and 60 percent of the questions on the exam (including 10 new questions) are written at the comprehension/analysis level; enter the actual question distribution at right	Memo 4 -4 <del>0</del>	4		C/A 56 <del>6</del> 91-	GAC	Der	2A						
8.	References/handouts provided do not give away a	answers				BBP	1m	Das						
9.	Question content conforms with specific K/A state approved examination outline and is appropriate f assigned; deviations are justified				/ are	BBP	Sen	DR						
10. Question psychometric quality and format meet ES, Appendix B, guidelines						BBP	Ym	DV.						
11. The exam contains 100, one-point, multiple choice items; the total is correct and agrees with value on cover sheet							Jun	99						
a. Author Under Instruction       Bruce B. Palagi / Bruce B Columnia         b. Author of Record       Dell R. McNeil / Survey         c. NRC Chief Examiner (#)       DAVIDL TEGEN / Hunder         d. NRC Regional Supervisor       Da 2 3 C · IA · (b) / Faul Caluta						Date <u>7-10-01</u> <u>7/10/2001</u> 7 <u>/15/01</u> 7 <u>-31-41</u>								
Note:	<ul> <li>The facility reviewer's initials/signature are not a         Independent NRC reviewer initial items in Colur     </li> </ul>													

## Written Examination Quality Checklist

Form ES-401-7

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Facility:         Quad Cities Nuclear Power Station         Date of Exam:         08/06/2001         Exam Level:         SRO									
							Initial		
	Item Description					а	b*	c*	
1.	Questions and answers technically accurate and	applicable	to faci	lity		BBP	Der	001	
<ul> <li>a. NRC K/As referenced for all questions</li> <li>b. Facility learning objectives referenced as available</li> </ul>							su	() ()	
3.	RO/SRO overlap is no more than 75 percent, and per Section D.2.d of ES-401	SRO que	stions	are app	oropriate	BEP	su	NA	
4.	Question selection and duplication from the last to appears consistent with a systematic sampling pr		censing	) exam	3		2-3 A	Ø	
<ul> <li>Question duplication from the license screening/audit exam was controlled as indicated below (check the item that applies) and appears appropriate:         <ul> <li>the audit exam was systematically and randomly developed; or</li> <li>the audit exam was completed before the license exam was started; or</li> <li>x the examinations were developed independently; or</li> <li>the licensee certifies that there is no duplication; or</li> <li>other (explain)</li> </ul> </li> </ul>						66P	Sm-	ØK	
6.	Bank use meets limits (no more than 75 percent from the bank at least 10 percent new, and the rest modified); enter the actual question	Bank	1	lified	New 69	GBP	ber	J.G.A	
	distribution at right	18	4	27~	- <del>70 p</del> r				
7.	Between 50 and 60 percent of the questions on the exam (including 10 new questions) are written at the comprehension/analysis level;	Memo			C/A	BBP	m	\$16	
	enter the actual question distribution at right	Dr <del>43</del>	48		<del>57</del> # 52	0.0			
8.	References/handouts provided do not give away a					660	21	ØB -	
9.	Question content conforms with specific K/A state approved examination outline and is appropriate f assigned; deviations are justified	ments in th or the Tier	he prev to whi	/iously ch they	are	ØBP	Der	PP	
10.	Question psychometric quality and format meet E	S, Append	ix B, gi	uideline	s	BBP	Den	W	
11. The exam contains 100, one-point, multiple choice items; the total is correct and agrees with value on cover sheet						<u>BB</u> P	Ju	PN	
Printed Name / Signature Date a. Author Under Instruction b. Author of Record <u>Dell R. McNeil / Legar R. Mailag</u> <u>7-10-0</u> c. NRC Chief Examiner (#) d. NRC Regional Supervisor <u>David F. Wille</u> <u>7-31-0</u>									
Note: * The facility reviewer's initials/signature are not applicable for NRC-developed examinations. # Independent NRC reviewer initial items in Column "c;" chief examiner concurrence required.									

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## Written Examination Grading Quality Checklist

Facility: QUAD CITIES STATION Date of Exam: 8/13/01 Exam Level: RO/SRO							
	Initials						
Item Description	а	b					
1. Clean answer sheets copied before grading	BBP	su	10P				
2. Answer key changes and question deletions justified and documented	BBP	5m	Pul				
<ol> <li>Applicants' scores checked for addition errors (reviewers spot check &gt; 25% of examinations)</li> </ol>	ввР	han	$\mathcal{O}$				
4. Grading for all borderline cases (80% +/- 2%) reviewed in detail	BBP	An	ØP				
5. All other failing examinations checked to ensure that grades are justified	BBP	N/A	PP				
<ol> <li>Performance on missed questions checked for training deficiencies and wording problems; evaluate validity of questions missed by half or more of the applicants</li> </ol>	6 <u>6</u> ?	be	bol				
Printed Name / Signature		D	ate				
a. Grader de record Bunce Palagi 8/23/01 B. Facility Reviewer(*) Supp. Marchil 8/23/01 8/23/01							
c. NRC Chief Examiner (*) d. NRC Supervisor (*) David C.H. 1/5 Deglin 8/24/01 8/24/01							
(*) The facility reviewer's signature is not applicable for examinations graded by the NRC; two independent NRC reviews are required.							