

shall then recommend an overall satisfactory or unsatisfactory evaluation of the licensee requalification program (Attachment 4) and forward the results for approval as established by regional directives. Included, as an attachment to the form, will be the names of those individuals with unsatisfactory results on some portion of the examination and for whom the facility should take corrective action as required by its approved requalification program.

#### F. Program Evaluation

The overall evaluation of the program adequacy should fall into one of the following three categories: (1) programs evaluated as satisfactory, (2) programs evaluated as unsatisfactory, or (3) programs falling between a satisfactory and an unsatisfactory evaluation. The criteria for each of the categories follow.

1. To be evaluated as satisfactory a program should meet the following criteria:

More than 80% of the evaluated operators passed all portions of the examinations.

2. To be evaluated as unsatisfactory are those programs where:

Less than 60% of the evaluated operators passed all portions of the examinations.

When a program is evaluated as unsatisfactory, the regional administrator or designee shall assess the safety significance of the identified deficiencies and determine the follow-up response. If sampled operator knowledges or performance indicate significant generic deficiencies related to the ability of operators to safely continue operation or their ability to safely shutdown the facility, then plant shutdown pending completion of corrective action may be warranted. In making this determination, the criteria noted in Paragraphs C and F.4 should be reviewed for consideration of the timeframe in which utility corrective actions should be taken.

Except in unusual circumstances requiring immediate action, follow-up on an unsatisfactory program should take place within one month of the issuance of the examination report if the plant is operating and should contain the following elements:

- (1) A reactive performance-based training inspection.
  - (2) Conduct full scope examinations for a second sample (20%) of licensed personnel.
  - (3) Meet with senior facility management to discuss examination and inspection results, identified deficiencies, proposed utility corrective actions and their implementation schedules.
3. Programs falling between a satisfactory and an unsatisfactory evaluation include those where only 60 to 80% of the examinees passed all portions of examinations administered by NRC examiners.

For those programs falling between a satisfactory and an unsatisfactory evaluation, the regional administrator or his designee should request the licensee to identify proposed corrective actions and schedules for their implementation. Schedules for followup audits should be established by the regional administrator or his designee to ensure that effective corrective actions are implemented.

4. Because a small sample (20%) of licensed operators is tested, there is a risk of decision errors regarding the acceptability of the utility training program. Therefore, the regional staff should include consideration of other indications of the licensee's commitment to provide high quality training to the licensed operators. This may include:
  - a. trends indicated by the evaluation of selection criteria in Paragraph C
  - b. facility management response in the exit briefing
  - c. facility proposals for corrective actions
  - d. ongoing efforts by the facility to upgrade the training
5. Marginal performance on 2 successive requalification program audits shall result in an unsatisfactory rating on the second audit. Improvement from unsatisfactory to marginal should not result in an unsatisfactory rating on the second audit. Follow-up audits to ensure effective corrective actions to improve a marginal or unsatisfactory program are a process related to the audit that found the program to be marginal or unsatisfactory and are not to be counted as a separate audit. A second audit would be an audit following the completion of the corrective action that returned a marginal or unsatisfactory program to satisfactory.

#### G. Renewals

If a satisfactory evaluation is reached, requests for renewals will be made based on proper certification by facility officials until the next program evaluation. The facility certification shall include certification of accelerated retraining completion for individuals who have failed either an NRC or facility administered requalification examination.

If an evaluation clearly falls between a satisfactory and an unsatisfactory rating, renewals should be made if the corrective actions identified are being implemented to the extent and in accordance with the schedule established above.

If an evaluation is unsatisfactory, renewals will be issued only for those operators who pass an examination administered by the NRC until identified corrective actions have been implemented. The regional administrator or his designee may agree to accept facility certification and issue renewals based on this certification when they have determined that program quality has been upgraded to satisfactory as indicated by additional audits, inspections, or other reviews of the licensee's performance.

#### H. Final Requalification Program Evaluation Report

A final requalification program evaluation report similar to the final examination report for a licensing examination shall be prepared when the grading of requalification examinations has been completed. If Attachment 4 (to ES 601) is not included in the report, the report shall contain the information required to complete Attachment 4. A complete copy of the report shall be filed in the facility requalification file. A copy of the NRC Administered Requalification Examination Results Summary, Attachment 3, ES 601, shall be forwarded to the Management Assistant, Regional Support and Oversight Section, OLB. Note: The results summary is required to verify OLTS data and for statistical data. Neither OLB nor the Regional Offices shall retain examination results identified to individuals except that individual results may be kept in the regional offices' facility requalification file for programs that are judged to be unsatisfactory. These individual results should be purged from the file when the requalification training program has been upgraded to satisfactory.

#### I. Records

1. A facility requalification file shall be maintained for each facility. All evaluation forms, records, assignment sheets, and correspondence relating to the requalification program audit for the latest two evaluations shall be retained. This file should also contain a copy of the NRC-approved requalification training program (consisting of the program content and the implementation plan), and any requested or approved amendments (such as the responses to Task Action Plan Items I.A.2.1 and II.B.4) and the associated approval letters or safety evaluation reports.
2. When the requalification evaluation has been completed by the Regional Office, a copy of all NRC administered written, oral and simulator examination results shall be supplied to the facility. The facilities are required to maintain these records for 2 years by Appendix A of Part 55 10 CFR.
3. A copy of the results summary (Attachment 3) shall be sent to the Management Assistant, Regional Support and Oversight Section, OLB. These summaries shall be used for statistical data gathering, and neither OLB or the Regional Office shall retain test results or summary sheets that identify individuals to requalification examination results.

#### J. Cover Sheet

A cover sheet, with the format shown in attachments 5 or 6 of this standard shall be used on all written requalification examinations, and the rules and guidance from ES 201-2 should be placed in the examination package following the cover sheet.

## ATTACHMENT 1

## ASSIGNMENT TO EVALUATE LICENSED OPERATOR REQUALIFICATION PROGRAM

NRC Examiner(s):

Assignment To Evaluate Licensed Operator Requalification Program at  
\_\_\_\_\_.

You are assigned to evaluate the requalification program at the above named facility. Please make arrangements to perform the following aspects of the evaluation program:

- \_\_\_ Generate a complete written examination to replace the facility reactor operator (RO) examination.
- \_\_\_ Generate a complete written examination to replace the facility senior reactor operator (SRO) examination.
- \_\_\_ Administer plant oral examinations to \_\_\_ operators and \_\_\_ senior operators.
- \_\_\_ Administer simulator examinations to \_\_\_ operators and \_\_\_ senior operators.
- \_\_\_ Review grading of previous examinations.

Date(s) of Evaluation: \_\_\_\_\_

Facility Contact: \_\_\_\_\_

Simulator Location: \_\_\_\_\_

Comments: \_\_\_\_\_  
\_\_\_\_\_

## ATTACHMENT 2

## FORM LETTER TO FACILITY VICE PRESIDENT - REFERENCE MATERIAL REQUIRED

Date:

To:

Subject: Requalification Program Evaluation

In a telephone conversation between Mr. \_\_\_\_\_ (title, i.e., training coordinator) and Mr. \_\_\_\_\_ (section chief), arrangements were made for an evaluation of the requalification program at the (facility name). The evaluation visit is scheduled for the week of (date).

For this visit, the NRC examiner will administer NRC prepared written, oral, and simulator examinations. When the NRC examiner arrives at the site, he will meet with the appropriate facility personnel to review the schedule for these examinations. For the examiner to adequately prepare for this visit, it will be necessary for the facility to furnish the approved reference material listed in Enclosure 1 "Reference Material Requirements for Requalification Program Evaluations," by (date). Mr. \_\_\_\_\_ has been advised of our reference material requirements and where they are to be sent.

This request for information was approved by the Office of Management and Budget under Clearance Number 3150-0101, which expires June 30, 1986. Comments on burden and duplication may be directed to the Office of Management and Budget, Reports Management Room 3208, New Executive Office Building, Washington, D.C. 20503.

Thank you for your consideration in this matter. If you have any questions on the evaluation process, please contact \_\_\_\_\_ (regional section chief and telephone number).

Sincerely,

(Appropriate Regional Representative)

DISTRIBUTION:

Project Manager  
Resident Inspector  
Regional Section Leader  
Examiner(s)  
Facility Training Coordinator

## ENCLOSURE 1

## REFERENCE MATERIAL REQUIREMENTS FOR REQUALIFICATION PROGRAM EVALUATION

1. An index of administrative, operating, abnormal and emergency procedures.
2. All administrative procedures (as applicable to reactor operation or safety)
3. All integrated plant procedures (normal or general operating procedures)
4. Emergency procedures (emergency instructions, abnormal, or special procedures)
5. Standing orders (important orders which are safety related to and may supersede the regular procedures)
6. Fuel-handling and core-loading procedures (initial core-loading procedure, when appropriate)
7. Annunciator procedures (alarm procedures, including set points)
8. Radiation protection manual (radiation control manual or procedures)
9. Emergency plan
10. Technical Specifications
11. Plant technical data (curve) book
12. Lesson plans (training manuals, learning objectives, plant orientation manual, systems descriptions)
13. Systems operating procedures
14. Piping and instrumentation diagrams, electrical single-line diagrams, or flow diagrams
15. Copies of facility RO and SRO requalification examinations administered during the past 2 years
16. Simulator malfunction list with descriptive summary of malfunction effects.

All of the above referenced material should be approved, final issues and should be so marked. Uncontrolled, preliminary, or other such issues will not be acceptable. All procedures and reference material should be bound or in the form used by the control room operators, with appropriate indexes or tables of contents to ensure efficient use.



ATTACHMENT 4  
 REQUALIFICATION PROGRAM EVALUATION REPORT

Facility: \_\_\_\_\_  
 Examiner: \_\_\_\_\_  
 Date(s) of Evaluation: \_\_\_\_\_  
 Areas Evaluated: \_\_\_\_\_ Written \_\_\_\_\_ Oral \_\_\_\_\_ Simulator

Examination Results:

	<u>RO</u> <u>Pass/Fail</u>	<u>SRO</u> <u>Pass/Fail</u>	<u>Total</u> <u>Pass/Fail</u>	<u>Evaluation</u> <u>(S, M or U)</u>
Written Examination	_____	_____	_____	_____
Operating Examination				
Oral	_____	_____	_____	_____
Simulator	_____	_____	_____	_____
Evaluation of facility written examination grading				_____

Overall Program Evaluation

Satisfactory \_\_\_\_\_ Marginal \_\_\_\_\_ Unsatisfactory \_\_\_\_\_ (List major deficiency areas with brief descriptive comments)

Submitted:

Forwarded:

Approved:

\_\_\_\_\_  
 Examiner

\_\_\_\_\_  
 Section Chief

\_\_\_\_\_  
 Branch Chief



Attachment 5

U.S. NUCLEAR REGULATORY COMMISSION  
 SENIOR REACTOR OPERATOR REQUALIFICATION EXAMINATION

Facility: \_\_\_\_\_  
 Reactor Type: \_\_\_\_\_  
 Date Administered: \_\_\_\_\_  
 Examiner: \_\_\_\_\_  
 Candidate: \_\_\_\_\_

INSTRUCTIONS TO CANDIDATE:

Read the attached instruction page carefully. This examination replaces the current cycle facility administered requalification examination. Retraining requirements for failure of this examination are the same as for failure of a requalification examination prepared and administered by your training staff. Points for each question are indicated in parentheses after the question. The passing grade requires at least 70% in each category and a final grade of at least 80%. Examination papers will be picked up six (6) hours after the examination starts.

<u>Category Value</u>	<u>% of Total</u>	<u>Candidate's Score</u>	<u>% of Category Value</u>	<u>Category</u>
_____	_____	_____	_____	1. Principles of Nuclear Power Plant Operation, Thermodynamics, Heat Transfer and Fluid Flow
_____	_____	_____	_____	2. Plant Design Including Safety and Emergency Systems
_____	_____	_____	_____	3. Instruments and Controls
_____	_____	_____	_____	4. Procedures - Normal, Abnormal, Emergency, and Radiological Control
_____	_____	_____	_____	Totals
_____	_____	_____	_____	Final Grade

All work done on this examination is my own, I have neither given nor received aid.

\_\_\_\_\_  
 Candidate's Signature

Attachment 6

U.S. NUCLEAR REGULATORY COMMISSION  
 SENIOR REACTOR OPERATOR REQUALIFICATION EXAMINATION

Facility: \_\_\_\_\_  
 Reactor Type: \_\_\_\_\_  
 Date Administered: \_\_\_\_\_  
 Examiner: \_\_\_\_\_  
 Candidate: \_\_\_\_\_

INSTRUCTIONS TO CANDIDATE:

Read the attached instruction page carefully. This examination replaces the current cycle facility administered requalification examination. Retraining requirements for failure of this examination are the same as for failure of a requalification examination prepared and administered by your training staff. Points for each question are indicated in parentheses after the question. The passing grade requires at least 70% in each category and a final grade of at least 80%. Examination papers will be picked up six (6) hours after the examination starts.

<u>Category Value</u>	<u>% of Total</u>	<u>Candidate's Score</u>	<u>% of Category Value</u>	<u>Category</u>
_____	_____	_____	_____	5. Theory of Nuclear Power Plant Operation, Fluids, and Thermodynamics
_____	_____	_____	_____	6. Plant Systems Design, Control, and Instrumentation
_____	_____	_____	_____	7. Procedures - Normal, Abnormal, Emergency, and Radiological Control
_____	_____	_____	_____	8. Administrative Procedures, Conditions, and Limitations
_____	_____	_____	_____	Totals
		<u>Final Grade</u>		

All work done on this examination is my own, I have neither given nor received aid.

\_\_\_\_\_  
 Candidate's Signature