

U.S. NUCLEAR REGULATORY COMMISSIONNUREG-0800"STANDARD REVIEW PLAN FOR THE REVIEW OF SAFETY  
ANALYSIS REPORTS FOR NUCLEAR POWER PLANTS"NOTICE OF ISSUANCE AND AVAILABILITYREVISED SRP SECTION 13.5.2AND APPENDIX A TO SRP SECTION 13.5.2

The U.S. Nuclear Regulatory Commission (NRC) has published a revision to Section 13.5.2, "Operating and Maintenance Procedures," and Appendix A to SRP Section 13.5.2, "Review Procedures for the Evaluation of Procedures Generation Packages" of NUREG-0800, "Standard Review Plan for the Review of Safety Analysis Reports for Nuclear Power Plants," LWR Edition (SRP).

The revision consists of SRP Section 13.5.2, Rev. 1, and an appendix to Section 13.5.2, Appendix A, Rev. 0. The revised SRP Section incorporates the resolution of TMI Action Plan item I.C.1, "Short-Term Accident Analysis and Procedure Revision" and the partial resolution of item I.C.9, "Long-Term Program Plan for Upgrading Procedures" of Supplement 1 to NUREG-0737 - "Requirements for Emergency Response Capability" (Generic Letter 82-33). The acceptance criteria and guidelines incorporated into SRP Section 13.5.2 and Appendix A to this Section are a formalization of criteria that were previously approved and issued in Supplement 1 of NUREG-0737 as Generic Letter 82-33 dated December 17, 1982. Appendix A to

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Section 13.5.2 was formerly Draft NUREG-0799, "Draft Criteria for Preparation of Emergency Operating Procedures, Draft Report for Comment," and NUREG-0899, "Guidelines for the Preparation of Emergency Operating Procedures, Final Report." A notice of availability and request for public and industry comments on NUREG-0799 was published in the Federal Register on July 2, 1981 (46 FR 34735). The notice of availability for NUREG-0899 was published in the Federal Register on September 16, 1982 (47 FR 40958).

The revised SRP section is effective immediately. A copy is expected to be available in the NRC Public Document Room within two weeks. Copies of the revised SRP Section or the complete Standard Review Plan, NUREG-0800, Accession No. PD-81-920199, is available for purchase from the National Technical Information Service, 5285 Port Royal Road, Springfield, Virginia 22161; telephone (703) 487-4650.

Dated at Bethesda, Maryland, this 17th day of July 1985.

FOR THE NUCLEAR REGULATORY COMMISSION



Harold R. Denton, Director  
Office of Nuclear Reactor Regulation



U.S. NUCLEAR REGULATORY COMMISSION

# STANDARD REVIEW PLAN

OFFICE OF NUCLEAR REACTOR REGULATION

Standard Review Plan for the  
Review of Safety Analysis Reports  
for Nuclear Power Plants

Section No. 13.5.2

Revision No. 1

Appendix No. A to 13.5.2

Revision No. 0

Branch Tech. Position N/A

Revision No. N/A

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## FILING INSTRUCTIONS

PAGES TO BE REMOVED			NEW PAGES TO BE INSERTED		
PAGE NUMBER		DATE	PAGE NUMBER		DATE
13.5.2-1 thru 13.5.2-5	Rev. 0	July 1981	13.5.2-1 thru 13.5.2-8	Rev. 1	July 1985
Appendix A to 13.5.2	None	None	Appendix A to 13.5.2 13.5.2-A1 thru 13.5.2-A16	Rev. 0	July 1985

The U.S. Nuclear Regulatory Commission's  
Standard Review Plan, NUREG-0800, prepared by the  
Office of Nuclear Reactor Regulation, is available  
for sale by the National Technical Information  
Service, Springfield, VA 22161.



U.S. NUCLEAR REGULATORY COMMISSION

# STANDARD REVIEW PLAN

OFFICE OF NUCLEAR REACTOR REGULATION

## 13.5.2 OPERATING AND MAINTENANCE PROCEDURES

### REVIEW RESPONSIBILITIES

Primary - Procedures and Systems Review Branch (PSRB)

Secondary - None

### I. AREAS OF REVIEW

PSRB reviews the applicant's plan for development and implementation of operating and maintenance procedures as described in the applicant's Safety Analysis Report (SAR). This section of the SAR should describe the operating procedures that will be used by the operating organization (plant staff) to assure that routine operating, off-normal, and emergency activities are conducted in a safe manner. It is not expected that detailed written procedures will be included in the SAR. The Preliminary Safety Analysis Report (PSAR) should describe preliminary schedules for the preparation of procedures and the Final Safety Analysis Report (FSAR) should provide descriptions of the content and development process for procedures as detailed below.

- A. The FSAR or other submitted section should describe the different classifications of procedures the operators will use in the control room for plant operations. The group within the operating organization having the responsibility for maintaining the procedure should be identified and the general format and content of the different classifications should be described. It is not necessary that each applicant's procedures conform precisely to the same classification since the objective is to assure that procedures will be available to the plant staff to accomplish the functions contained in the listing of Regulatory Guide 1.33. For example, some licensees prefer a classification of abnormal operating procedures whereas others may use off-normal condition procedures. Examples of classifications follow:

Rev. 1 - July 1985

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### USNRC STANDARD REVIEW PLAN

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Published standard review plans will be revised periodically, as appropriate, to accommodate comments and to reflect new information and experience.

Comments and suggestions for improvement will be considered and should be sent to the U.S. Nuclear Regulatory Commission, Office of Nuclear Reactor Regulation, Washington, D.C. 20555.

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1. System Procedures. Procedures that provide instructions for energizing, filling, venting, draining, starting up, shutting down, changing modes of operation, returning to service following testing (if not contained in the applicable testing procedure), and other instructions appropriate for operation of system important to safety.
  2. General Plant Procedures. Procedures that provide instructions for the integrated operations of the plant, e.g., startup, shutting down, shutdown, power operation and load changing, process monitoring, and fuel handling.
  3. Off-normal Condition Procedures. Procedures that specify operator actions for restoring an operating variable to its normal controlled value when it departs from its normal range or to restore normal operating conditions following a transient. Such actions are invoked following an operator observation or an annunciator alarm indicating a condition which, if not corrected, could degenerate into a condition requiring action under an emergency operating procedure (EOP).
  4. Emergency Operating Procedures. Procedures that direct actions necessary for the operators to mitigate the consequences of transients and accidents that cause plant parameters to exceed reactor protection system or engineered safety features actuation setpoints.
  5. Alarm Procedures. Procedures that guide operator actions for responding to plant alarms.
- B. The FSAR should describe how maintenance and other operating procedures are classified, what group or groups within the operating organization have the responsibility for maintaining and performing the duties prescribed in each class of procedures, and the general objectives and characteristics of each class. If their general objectives and characteristics are described elsewhere in the FSAR or application, these may be approximately referenced.

An acceptable procedures classification system for IB is contained in Regulatory Guide 1.33.

- C. The FSAR or other submittal should describe the applicant's program for emergency operating procedures (A.4 above) and provides a description of the required content of the applicant's submittal. PSRB will review the applicant's program for development and implementation of the EOPs.

A Procedures Generation Package (PGP) for EOPs should be submitted to NRC at least three months prior to the date the applicant plans to begin formal operator training on the EOPs. The PGP should include:

1. Plant-Specific Technical Guidelines (P-STGs). Guidelines based on analysis of transients and accidents that are specific to the applicant's plant design and operating philosophy. The submitted documentation of the P-STGs will provide the basis for and include a reference to generic guidelines if used.

For plants not referencing generic guidelines, this section should contain the action steps necessary to mitigate transients and accidents in a format that allows mitigation without first having diagnosed the specific event, along with all supporting analyses, to meet the requirements of TMI Action Plan Item I.C.1. (NUREG-0737 and Supplement 1 to NUREG-0737).

For plants referencing generic guidelines, the submitted documentation should include: 1) a description of the process used to develop plant-specific guidelines from the generic guidelines, 2) identification of significant deviations from the generic guidelines including identification of additional equipment beyond that identified in the generic guidelines, along with all necessary engineering evaluation or analyses to support the adequacy of each deviation, and 3) a description of the process used for identifying operator information and control requirements. Examples of significant safety deviations are provided in Appendix A to this SRP section, Subsection 3.3.2.

2. A plant-specific writers guide (P-SWG) that details the specific methods to be used by the applicant in preparing EOPs based on P-STGs.
3. A description of the program for verification/validation (V/V) of EOPs.
4. A description of the program for training operators on EOPs.

PSRB coordinates evaluations by other branches that involve the review of operating and maintenance procedures. If an applicant references or provides unreviewed technical guidelines as the basis for the plant-specific EOPs, PSRB will conduct an initial review of the guidelines. If the unapproved guidelines incorporate significant technical changes from approved guidelines, then the PSRB may request technical review by RSB. RSB will provide requests for additional information, if necessary, and will provide SER input to PSRB.

## II. ACCEPTANCE CRITERIA

Section 13.5.2 of the SAR constitutes additional evidence of the applicant's technical qualifications, and forms a basis for a key part of the regulatory inspection program. Acceptance is based on meeting the relevant requirements of 10 CFR Part 50.34 as indicated below. Additional guidelines listed in this subsection provide guidance to applicants for meeting basic requirements.

- A. Completion of operating and maintenance procedures. A generally acceptable target date for completion of operating and maintenance procedures is about six months before fuel loading to allow adequate time for plant staff familiarization and to allow NRC staff adequate time to develop operator license examinations. The PGP for EOPs must be submitted not later than three months prior to the date formal operator training on EOPs is to begin.



B. Operating Procedures to be used by licensed operators in the control room. The regulations and staff guidelines applicable to this subsection are as follows:

1. 10 CFR Part 50, §50.34(a)(6) and (10) and §50.34(b)(6)(iv) and (v).
2. NUREG-0737, Clarification of TMI Action Plan, Item I.C.1, Guidance for the Evaluation and Development of Procedures for Transients and Accidents. (Emergency Operating Procedures Only)
3. Supplement 1 to NUREG-0737, TMI Action Plan Items I.C.1 and I.C.9 Requirements for Emergency Response Capability, Item 7, Subsection 7.1 and 7.2, Upgrade of Emergency Operating Procedures. (Emergency Operating Procedures Only)
4. The guidelines in the Regulatory Position Section of Regulatory Guide 1.33.
5. The guidelines of ANSI/ANS 3.2 - 1982, Section 5.3.
6. Appendix A to Standard Review Plan, Section 13.5.2, Guidelines for the Evaluation of Procedures Generation Packages. (Emergency Operating Procedures Only)

C. Other Operating and Maintenance Procedures. The regulations and staff guidelines applicable to this section are as follows:

1. 10 CFR Part 50, §50.34(a)(6) and §50.34(b)(6)(iv).
2. The guidelines in the Regulatory Position Section of Regulatory Guide 1.33.
3. The guidelines of ANSI/ANS 3.2 - 1982, Section 5.3.

### III. REVIEW PROCEDURES

Review of the FSAR in accordance with this section consists of a detailed comparison of the information submitted with the acceptance criteria of subsection II above. The PSAR review should encompass only the schedules for procedures development and determination that the applicant commits to follow the applicable Regulatory Guides and Standards.

To supplement the expertise of the reviewer especially in the human factors area and to promote consistency among the PGP reviews, Appendix A identifies the subjects which should be considered by the reviewer in the evaluation. However, Appendix A is not a "checklist" and each item of Appendix A need not be addressed in the PGP to be acceptable.

Normally the PGP review should be conducted prior to the date the applicant plans to begin formal operator training on the EOPs. If this is not possible because of a delayed submittal, perform an acceptance review of the PGP. Specifically, audit the four parts of the PGP to determine if there are any major deficiencies in the EOP program that warrant postponing operator training. If

major deficiencies are found, identify the additional information necessary to conduct the complete PGP review to the Licensing Project Manager so that the applicant can be notified prior to the initiation of training on the EOPs.

Review the PGPs for operating license applicants to determine if the applicant's program meets the requirements of Generic Letter 82-33. The review consists of the evaluation of the four parts of the PGP: The P-STGs, the P-SWG, the description of the program for V&V of the EOPs, and the description of the training program for EOPs necessary to support the conclusions described in Section IV below. To support this review, Appendix A provides additional review guidance.

Review the P-STGs to determine if acceptable analyses of accidents and transients and development of technical guidelines for operator actions applicable to the plant have been completed, and to determine if an acceptable process for identifying operator information and control needs has been described. Instead of being included in the PGP, this process may be described by the applicant in the documentation submitted for staff review in accordance with SRP 18.1, in support of the Detailed Control Room Design Review (DCRDR). The reviewer should coordinate review of this material with the Human Factors Engineering Branch (HFEB). It is expected that most applicants will reference generic technical guidelines.

For an applicant using approved generic technical guidelines as the basis for its P-STG, the major portion of the review of the technical guidelines has been accomplished generically. Staff SERs approving each of the four owners groups' generic technical guidelines for use have been published and may be supplemented as guidelines are revised. To review this type of P-STG, review the process described for converting generic technical guidelines into plant-specific procedures to ensure that the safety significant deviations from the generic guidelines are controlled. Evaluate the technical adequacy of the identified plant-specific deviations. Finally, evaluate the process for development of the plant-specific information and control requirements necessary to use the EOPs.

The review of identified safety-significant deviations from generic technical guidelines will be conducted to the same level of detail as the generic technical guidelines. Examples of safety-significant deviations are given in Appendix A, Subsection 3.3.2. Assistance from other technical review branches will be obtained as necessary to perform a thorough review of the safety-significant deviations. Only safety-significant deviations need to be reviewed. However, the reviewer will determine that the applicant's program will control this process so that the work is auditable. It is expected that most applicants will control the process by documenting all deviations.

Since B&W plant owners elected to use a lead plant concept rather than generic technical guidelines, each B&W applicant's identified deviations from the lead plant's (Oconee) guidelines will be reviewed.

For applicants not referencing generic technical guidelines, ensure that the submittal includes analysis of accidents and transients in accordance with the guidance of NUREG-0660 and NUREG-0737 Items I.C.1 and I.C.9. To do this, (1) become familiar with the integrated performance of the NSSS and balance of plant systems, (2) evaluate the completeness of the accidents and transients analyzed, (3) evaluate the use of appropriate models, calculational methods,



and plant data, (4) consider audit calculations of selected accidents and transients, (assistance from other technical review branches required), (5) evaluate the adequacy of the applicant's program to develop guidelines from the analysis of accidents and transients, (6) test the guidelines against scenarios including multiple failures, and (7) evaluate the information and control needs of the operators to execute the instructions of the guidelines.

The P-SWG review will consider the adequacy of the methods of presentation of the technical information as EOPs for the intended users of the EOPs (e.g., control room operators, shift supervisors, and auxiliary operators). Review the P-SWG by evaluating the applicant's methods for meeting the overall writer's guide objectives stated in NUREG-0899. Appendix A provides guidance to assist the reviewer in making this evaluation. This guidance is not to be used as strict criteria, but is to be used as an aid in the overall evaluation of the P-SWG. Because strict criteria do not exist for the human factors evaluation, the reviewer must make a professional judgment regarding the adequacy of the applicant's methods as described in the P-SWG.

Review the V/V and training programs by comparing the program descriptions with the objectives of NUREG-0899.

The level of effort for these reviews will vary significantly. For example, the effort necessary to review the P-STG will vary depending on the number, complexity and significance of the plant-specific deviations from the approved generic technical guidelines.

If the review of the PGP does not provide sufficient information to support the conclusions of the Evaluation Findings section, the reviewer should obtain at least one EOP for review. As a product of the EOP program, the EOP(s) would then be additional information for judging the program's acceptability and will provide additional information as to how the applicant's program for development and implementation of EOPs should be modified to ensure that it contains sufficient information to assure acceptability of the resulting EOPs.

When the reviewer has determined that each of the criteria of Section II have been satisfied based upon the statements made by the applicant in the SAR, the review of Section 13.5.2 is complete.

When the review has determined that each of these criteria has been satisfied based upon the statements made by the applicant in the SAR, the review of this SRP section is complete.

#### IV. EVALUATION FINDINGS

The reviewer verifies that the information presented and his review support the following type of conclusion, to be used in the staff's safety evaluation report:

The applicant's program for operating and maintenance procedures as described in the SAR is in accordance with 10 CFR 50.34, Regulatory Guide 1.33, and ANSI/ANS 3.2-1982 Section 5.3 and is acceptable. The applicant's program for development of EOPs has been reviewed and the staff concludes that:

1. In the area of the technical guidelines:
  - (a) The EOPs will be based upon acceptable technical guidelines derived from approved analyses of transients and accidents.
  - (b) Implementation of the applicant's described methods for conducting an analysis of the operator's tasks should result in the identification of the instrumentation and controls necessary to perform the tasks specified in the P-STGs.
2. In the area of writer's guidance:
  - (a) The writer's guide provides sufficient information to help ensure that EOPs developed using P-STGs will be useable, accurate, complete, readable, convenient to use, and acceptable to control room personnel.
  - (b) The methods described by the writer's guide appear sufficient to support upgrading of the procedures and to ensure long-term consistency within and among procedures.
3. Implementation of the described V/V program provides adequate assurance that EOPs are technically correct and useable, follow the writer's guide, correspond to the control room/plant hardware, and are compatible with the minimum number, qualifications, training, and experience of the operating staff.
4. Implementation of the described training program should result in the operator understanding the philosophy behind the approach to the EOPs, understanding the mitigative strategy and technical basis of the EOPs, having a working knowledge of the technical content of the EOPs, and having the capability to execute the EOPs under operational conditions.

The evaluation findings for this section should also include the following:

1. A statement that the applicant has committed to operate the plant in accordance with written and approved procedures.
2. A brief description of the categories of procedures to be included.
3. A description of the review conducted to ensure that Supplement 1 to NUREG-0737 Item 7, "Upgrade of Emergency Operating Procedures" has been implemented.

#### V. IMPLEMENTATION

The following is intended to provide guidance to applicants and licensees regarding the NRC staff's plans for using this SRP Section.

Except in those cases in which the applicant proposes an acceptable alternative method for complying with specified portions of the Commission's regulations, the method described herein will be used by the staff in its evaluation of conformance with Commission regulations.

Implementation schedules for conformance to parts of the methods discussed herein are contained in the referenced regulatory guides, NUREGS and in accordance with the following:

- a. This SRP revision is applicable to construction permit applicants. Only the guidance pertaining to PSAR contents, i.e., schedules and commitments to follow guidance in appropriate published documents, will be used as review guidance.
- b. This SRP revision will be used by the staff for judging the acceptability of Operating Reactor licensees and operating license applicant emergency operating procedure program submittals made in accordance with Supplement 1 to NUREG-0737 - Requirements for Emergency Response Capability (Generic Letter 82-33). The review guidance in this SRP Section replaces the review guidance contained in Generic Letter 82-33.

#### VI. REFERENCES

1. ANSI/ANS 3.2 1982, "Standard for Administrative Controls for Nuclear Power Plants," American National Standards Institute.
2. Regulatory Guide 1.33, "Quality Assurance Program Requirements (Operation)."
3. 10 CFR Part 50, § 50.34, "Contents of Applications; Technical Information."
4. Regulatory Guide 1.70, "Standard Format and Content of Safety Analysis Reports for Nuclear Power Plants."
5. NUREG-0737, Clarification of TMI Action Plan Requirements.
6. Supplement 1 to NUREG-0737, Requirements for Emergency Response Capability (Generic Letter 82-33, December, 1982).
7. NUREG-0899, Guidelines for Preparation of Emergency Operating Procedures.
8. Generic Letters 83-05, 83-22, 83-23, and 83-31, Staff Safety Evaluation Reports for Generic Technical Guidelines for GE, CE, W, and B&W plants, respectively.



U.S. NUCLEAR REGULATORY COMMISSION

# STANDARD REVIEW PLAN

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Appendix A to  
SRP Section 13.5.2

REVIEW PROCEDURES FOR THE EVALUATION  
OF PROCEDURES GENERATION PACKAGES

## Review Responsibilities

Primary - Procedures and Systems Review Branch (PSRB)

Secondary - None

## 1.0 Background

In August of 1982, NUREG-0899, "Guidelines for the Preparation of Emergency Operating Procedures" was published. This document is designed to "identify the elements necessary for licensees and applicants to prepare and implement Emergency Operating Procedures (EOPs) that will provide the operator with directions to mitigate the consequences of a broad range of accidents and multiple equipment failures." In addition to identifying these elements, the document also outlines the process by which licensees and applicants should develop, implement, and maintain EOPs. To ensure that the elements are addressed in the new or upgraded procedures and that acceptable processes of development, implementation and maintenance are used, the staff identified a method of review that is intended to provide confidence that EOPs written or upgraded according to a given plant's program would be acceptable. The NRC staff believes that it is more important that they ensure that the process used to generate procedures and their technical basis is sound and well documented, than to perform a one-time review of EOPs, with no assurance that future EOP revisions are technically adequate and consistent with existing EOPs. With this approach, responsibility for the generation and review of the EOPs, as well as future revisions to EOPs, is retained by the licensee.

In NUREG-0899, four aspects of EOP development and implementation are identified as providing an adequate basis for review. These are (1) plant-specific technical guidelines (P-STG); (2) a plant-specific writer's guide; (3) a description of the

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Rev. 0 - July 1985

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program for verification/validation of the EOPs; and (4) a description of the program for training operators on the EOPs. Information on each of these items are to be provided as the "Procedures Generation Package" (PGP). The PGP for each plant will provide the licensee with a technical and human factors basis for developing its ECPs and for making future revisions to its EOPs.

The formal requirement for submitting this package is provided in Supplement 1 to NUREG-0737, "Requirements for Emergency Response Capability" (Generic Letter No. 82-33). EOPs at all plants will eventually be audited as a part of routine regional inspections to ensure consistency with the PGP.

The purpose of this document is to provide guidance for reviewers during their evaluation of PGPs. The PGP is expected to contain specific information in each of its four parts. The review guidance below is divided into general objectives and specific review guidelines. The listing of review guidelines represents what the staff believes should be considered by reviewers in determining if the general objectives are met. Because each of the objectives can be adequately addressed in many ways and may be satisfied without addressing each of the review guidelines, it will often be necessary for reviewers to use their expert judgment in determining the acceptability of a particular submittal. The general objectives and supporting documents such as NUREG-0899 and NUREG-0799 should be used as guidance in making these judgments. The methods provided in NUREG-0799 are an acceptable approach for preparing EOPs. It should be recognized, however, that approaches other than those found in these documents may be acceptable, and reviewers will need to use their judgment in determining the adequacy of the PGP.

As described in the SRP, all PGPs will be reviewed by the staff. The review guidelines presented in Subsections 3 through 6 of this appendix provide additional assistance to the reviewers. All applicants have the option of providing a justification for their approach where they disagree with a staff position. When all issues are resolved or when the schedule dictates, the reviewer will prepare a Safety Evaluation Report (SER).

## 2.0 General Guidance to Reviewers

The guidance that follows is provided to assist the reviewer in using the criteria presented in Subsections 3 through 6 of this appendix.

- 2.1 Reviewers should be aware that different degrees of objectivity (and thus, subjectivity) may be required in reviewing each of the four parts of the PGP since the parts may differ in detail and approach.
- 2.2 Reviewers should become very familiar with the General Objectives associated with each section of a PGP. The specific review guidelines can serve as the basis for making the subjective evaluations of the general objectives.
- 2.3 When an objective is not met or a specific response cannot be judged acceptable because of missing information, the reviewer should identify the information that is missing and what is needed in the PGP to make it acceptable.
- 2.4 Some items included in a PGP may not be addressed either within the general objectives or the specific review guidelines. These items



must be evaluated carefully to ensure that unnecessary or possibly detrimental inclusions do not occur in the EOPs (e.g., an "EOP Deficiencies" section is not a desirable inclusion in an EOP).

- 2.5 As stated in the Background, most of the review guidelines are subjective in nature. The reviewer will have to judge whether the discussion of an item is sufficiently clear, complete and technically acceptable to achieve the objectives.
- 2.6 In some instances the language (i.e., names, titles, etc.) used in the PGPs may be different from that used in this document, although the same subjects or items are being discussed. For example, format of "decision aids" may be covered under a PGP section entitled "job performance aids." Reviewers should be careful that identified PGP deficiencies are not based on semantics.
- 2.7 In some instances a particular subject may not appear to be addressed in the PGP, when in fact it is addressed in another part of the PGP. For example, the determination of the adequacy of control room instrumentation and controls may not be addressed in the P-STG, but included as a part of the validation/verification program. Reviewers must therefore become familiar with the general objectives and specific review guidelines as a whole so that these situations can be readily identified.

### 3.0 Plant-Specific Technical Guidelines

#### 3.1 General Discussion

All licensees and applicants are required to submit P-STGs. These guidelines may be based on (1) generic technical guidelines (prepared by the owner's group), or (2) a plant-specific reanalysis of transients and accidents as described in TMI Action Plan Item I.C.1. In either case, the P-STG should be based on the identification of plant systems and functions, and be supported by an analysis of operator tasks to identify operator information and control needs. Among the four approved generic technical guidelines, operator task information is provided using different levels of detail. If generic technical guidelines are referenced, the need for additional task specification will be different depending upon the level of task information provided by the generic technical guidelines, and the nature of deviations from the guidelines.

The information to be submitted in the PGP as P-STG is dependent on whether or not generic technical guidelines are used, as well as the degree to which plant specific characteristics (e.g., equipment) are consistent with the plant on which the generic technical guidance is based.

Some of the "deviations" that must be addressed as part of the P-STG submittal are differences between the generic technical guidelines and the P-STG. This includes differences due to plant initiatives and those identified in the generic guidelines as "plant-specific" items. Only differences that are safety significant, e.g., related to systems functions, or methods, should be reviewed. Subsection 3.3.2 provides examples of other deviations that must also be addressed. Where an applicant does reference NRC approved generic technical

guidelines, they should not submit those guidelines. However, safety significant deviations from the mitigative strategy should be described. Furthermore, applicants using generic guidelines need not submit the detailed action steps. The process for developing the action steps from the generic guidelines should be described. Applicants not using generic guidelines should submit, as a part of the P-STG, the action steps necessary to mitigate transients and accidents, and supporting technical analysis and bases. The P-STG should have an orientation that allows mitigation without event diagnosis. In either case, the applicant should submit a description of how operator information and control needs were derived and used to specify instrumentation and control requirements. This description may be in the PGP or in the Section of the FSAR addressed by SRP Section 18.1, Control Room.

The guidance presented below identifies elements reviewers should consider in determining acceptability of P-STG.

### 3.2 General Technical Objectives

The purpose of the review of the technical guidelines submittal is to determine that the following general objectives are adequately addressed. A listing of specific evaluation elements are identified in Subsections 3.3 and 3.4.

- 3.2.1 The EOPs will be based on acceptable technical guidelines derived from approved analyses of transients and accidents as described in NUREG-0660, Item I.C.1 and I.C.9, as clarified by NUREG-0737 and Supplement 1 to it, Item I.C.1. The P-STG along with the generic guidelines (if referenced) and supporting documentation provide EOP writers with all the technical information necessary for preparing EOPs which direct operators' actions to mitigate the consequences of transients and accidents without a need to first diagnose an event to maintain the plant in a safe condition (function orientation).

Part of the acceptability of the P-STG is that the P-STG are validated by the applicant using methods acceptable to the reviewer (see NUREG-0899, Sections 2.6 and 4.2).

- 3.2.2 The PGP describes an adequate method to identify information and control needs to be used as a basis for identifying control room instrumentation and controls necessary to perform the tasks specified in the technical guidelines.

### 3.3 Specific Review Guidelines - Plants Using NRC Approved Generic Technical Guidelines

To determine that the applicant's PGP adequately accomplishes the above objectives, the reviewer should consider the following:

#### 3.3.1 P-STG Development

- 3.3.1.1 Approved version of generic technical guidelines indicated.
- 3.3.1.2 A description of the process used to translate the generic technical guidelines into the P-STG.

### 3.3.2 Deviations and Additions

3.3.2.1 Identification of safety significant deviations from the NRC approved generic technical guidelines. Examples of deviations that should be considered are as follows:

- a. any modification to the mitigative strategy of the generic technical guidelines (e.g., for a Westinghouse plant, initial depressurizing the RCS following a steam generator tube rupture without first having conducted a limited cooldown in accordance with the guidelines to establish a margin to saturation).
- b. differences in equipment operating criteria (e.g., RCP trip criteria, SI injection termination criteria).
- c. differences in equipment operating characteristics (i.e., between the plant-specific equipment and that assumed in the generic analyses, such as SI that can be throttled vs. only on/off).
- d. identification of methods and equipment used to address the technical areas of the generic guidelines that are specified as "plant-specific."
- e. plant-specific setpoints or action levels that are calculated or determined in the manner other than specified in the generic technical guidelines.

NOTE: Plant-specific setpoints (e.g., setpoints associated with automatic initiation of ECCS) called for by the generic guidelines need not be included in the P-STG submittal.

- f. actions that are taken in addition to those specified in the generic guidelines and that affect the mitigative strategy.
  1. differences that affect the equipment's ability to adequately provide the necessary mitigative function.
  2. use of different instruments or control parameters than those specified in the generic technical guidelines or determining instrumentation and control characteristics in a manner different than, or with a different basis than, that specified in the generic technical guidelines.

3.3.2.2 Identification of items not covered by the NRC approved generic technical guidelines (e.g., plant specific conditions, equipment, operations, or bracketed [ ] information from the generic technical guidelines that relate to systems, functions or methods).

- 3.3.2.3 Indication that the safety significant deviations and additions have been identified and technically justified.

NOTE: The reviewer has the option of either reviewing the complete P-STG with associated technical justification, or reviewing only the identified deviations from generic technical guidelines, including technical justification consistent with the Generic Letter 82-33 requirements.

- 3.3.3 Technical Adequacy of Operator Actions (not covered by, or deviations from, the generic technical guidelines)

NOTE: The evaluation of the technical adequacy of operator actions (i.e., that the procedures will work) may be addressed in the validation/verification sections of the PGP (i.e., at the completion of EOP development rather than during EOP development). The P-STG portion of the PGP should describe how the licensee will determine if the approach taken is effective in mitigating transients and accidents.

- 3.3.3.1 Description of the validation/verification of operator actions (to determine their technical adequacy)

- 3.3.4 Applicant's determination of the Need For and the Adequacy of Control Room Instrumentation and Controls for Emergency Operations

- 3.3.4.1 Description of the method used to determine information and control needs of the operators (function and task analysis)

NOTE: The determination of the adequacy of control instrumentation and controls may be addressed in the validation/verification sections of the PGP (i.e., at the conclusion of EOP development rather than during EOP development). For the P-STGs, adequacy of control room instrumentation and controls means that the available instrumentation and controls have been evaluated against the information and control needs of the operators and it has been determined that the parameters are correct and that the instrument and control characteristics (e.g., instrument range, units, precision, rate and setpoints; control type, function, rate, gain and response) meets the needs identified. This may be in the PGP or the section of the FSAR addressed by SRP Section 18.1.

- 3.3.4.2 Description of the method used to determine if the control room instrumentation and controls meet the information and control needs of the operators.

### 3.4 Specific Review Guidelines - Plants Not Using Generic Guidelines

The review of the P-STGs for plants not referencing generic guidelines will be performed using a methodology similar to that used to evaluate the acceptability

of the owner's group guidelines. The reviewer should evaluate analyses submitted to support proposed accident recovery strategies. When necessary, the reviewer should request DSI (or other cognizant division) to evaluate analytical models. Improvements in accident recovery techniques should be encouraged; however, in the review of alternate strategies the reviewer should obtain from the applicant sufficient technical bases to demonstrate that the plant remains within its FSAR licensing basis envelope (for licensing basis events).

The reviewer evaluates the effects of and resulting recovery strategies for transients and accidents, using the guidance available in NUREG-0737. The P-STG reviewer should consider the following:

3.4.1 Analysis of transients and accidents (consistent with requirements of NUREG-0660 and NUREG-0737).

NOTE: The steps to be taken for this review are contained in the Review Procedures, SRP Section 13.5.2.

3.4.2 Validation of Technical Adequacy of Operator Actions

NOTE: The evaluation of the technical adequacy of operator actions (i.e., that the procedures will work) may be addressed in the validation/verification sections of the PGP (i.e., at the completion of EOP development rather than after P-STG development). The P-STG portion of the PCP should describe how the applicant will determine if the approach taken is effective in mitigating transient and accidents.

3.4.2.1 Description of the validation/verification of operator actions

3.4.3 Determination of the need for and the adequacy of Control Room Instrumentation and Controls for emergency operation

3.4.3.1 Description of the method used to determine information and control needs of the operators

NOTE: The determination of the adequacy of control room instrumentation and controls may be addressed in the validation/verification sections of the PGP (i.e., at the conclusion of EOP development rather than after P-STG development) or in the part of the FSAR addressed by SRP Section 18.1, Control Room. For the P-STGs, adequacy of control room instrumentation and controls means that the available instrumentation and controls have been evaluated against the information and control needs of the operators and it has been determined that the parameters are correct and that the instrument and control characteristics (e.g., instrument range, units, precision, rate and set-points; control type, function, rate, gain and response) meet the needs identified.



- 3.4.3.2 Description of the method used to determine if the control room instrumentation and controls meet the information and control needs of the operators

#### 4.0 Writer's Guide (Plant Specific) Review

##### 4.1 General Discussion

Applicants are required to submit a writer's guide that details the specific methods to be used in preparing EOPs which are based on the P-STGs. NUREG-0899 provides objectives and intent for the writer's guide. Because of the variety of available technical writing style guides and other references pertaining to the presentation of information, the specific information found in the writer's guide is expected to vary considerably among plants. To supplement the human factors expertise of the reviewer, review guidelines are provided that address instructions and guidance expected to be found in writer's guides. In addition, the writer's guide should contain general, philosophical standards and information which would assist the writers in preparing the EOPs.

##### 4.2 General Writer's Guide Objectives

The purpose of the evaluation is to determine if acceptable methods are described for accomplishing the following general objectives.

- 4.2.1 The writer's guide provides sufficient information for developing EOPs from the P-STG, which are useable, accurate, complete, readable, convenient to use, and acceptable to control room personnel.
- 4.2.2 The writer's guide supports upgrading of the procedures and long term consistency within and between procedures.

##### 4.3 Specific Review Guidelines

NOTE: Following each element, the number in parentheses designates the specific section within NUREG-0899 where the element is addressed.

Asterisked items are those which may appear in a procedure at the discretion of the applicant. If they are used in the EOPs, they should be addressed in the writer's guide and considered in the review. Where a sample procedure is submitted as a part of the writer's guide, the reviewer should verify that any non-required element included in the procedure is addressed in the writer's guide.

To determine that the applicant's PGP includes methods which appear adequate to accomplish the above objectives, the reviewer should consider the following:

- 4.3.1 Organization, Content, and Format of Major Sections of the EOPs (5.5)
  - 4.3.1.1 Cover page (5.4.1)
  - 4.3.1.2 Table of contents\* (5.4.2)

- 4.3.1.3 Scope statement (5.4.3)
- 4.3.1.4 Entry conditions (5.4.4)
- 4.3.1.5 Automatic actions\* (5.4.5)
- 4.3.1.6 Content and Format of Operator Action Steps including
  - (a) simple action steps, (b) steps which verify an action, (c) steps of continuous or periodic concern/applicability, (d) steps for which a number of alternative actions are equally acceptable, and (e) steps performed concurrently with other steps, and (f) steps which lead the operator to the appropriate subsection of the EOPs (5.4.6, 5.4.7, 5.7, 5.8).
- 4.3.1.7 Figures and tables\* (5.4.8 and 5.5.8)
- 4.3.1.8 Flowcharts and decision aids\* (5.4.8 and 5.5.9)
- 4.3.1.9 EOP page identifying information including title, procedure number, revision number and date, number of pages, unit designation (if applicable), facility designation, and location of identifying information in the EOP (5.5.1)
- 4.3.1.10 Page Layout including margins, line spacing, and steps complete on page (5.5.2)
- 4.3.1.11 Warnings (or Cautions) and Notes including placement, definitions, emphasis and format, and warnings (Cautions) and notes complete on one page (5.3, 5.7.9, 5.7.10)
- 4.3.1.12 Placekeeping aids (5.5.4)
- 4.3.1.13 Emphasis techniques (5.5.6)
- 4.3.1.14 Divisions, Headings and Numbering of Pages and Steps (5.5.5)
- 4.3.2 Writing Style (5.6)
  - 4.3.2.1 A vocabulary list - words to use, their definition, and words to avoid (5.6.1)
  - 4.3.2.2 A list of abbreviations, acronyms and symbols, and label consistency between procedures and control room (5.6.2)
  - 4.3.2.3 Sentence structure and limit on actions per step (5.6.3)
  - 4.3.2.4 Punctuation (5.6.4)
  - 4.3.2.5 Capitalization (5.6.5)
  - 4.3.2.6 Units of measure in the action steps and in the tables and figures should be consistent with presentation of information in the control room (5.6.6)

- 4.3.2.7 Numerals including type, use of decimals and significant digits (5.6.7)
- 4.3.2.8 Tolerances (5.6.8)
- 4.3.2.9 Formulas and calculations\* (5.6.9)
- 4.3.2.10 Titles/nomenclature of instrumentation and controls (what information to provide in the procedure and in what format) (5.6.2)
- 4.3.3 Conditional and Logic Statements including format, style, emphasis; definition and use of logic terms; and logic terms and sequences to avoid (5.6.10 and Appendix B)
- 4.3.4 Referencing Other Procedures, Sections of Procedures or Subprocedures and Specific Steps Within a Procedure (5.2.2 and 5.5.7)
  - 4.3.4.1 Content and format of reference (5.2.2)
  - 4.3.4.2 The criteria used to determine when steps of a referenced procedure are to be included in an EOP (to minimize cross-referencing) (5.2.2)
  - 4.3.4.3 Method for identifying sections or subsections (e.g., use of tabbing) (5.5.7 and 6.1.4)
- 4.3.5 When and how to present location Information (equipment, controls and displays) (5.7.11)
- 4.3.6 Control Room Staffing and Division of Responsibilities (5.8)

NOTE: This section addresses the need to consider operating crew staffing and responsibilities during the process of developing EOPs to help ensure efficient and effective implementation of EOPs during an emergency. Deficiencies in this regard may be identified by the applicant during validation/verification of the EOPs. Subsection items 4.3.6.1 through 4.3.6.4 may therefore be addressed under validation/verification.

- 4.3.6.1 Structuring of EOPs to ensure that minimum staffing can execute the EOPs
- 4.3.6.2 Designating the operators' responsibilities in implementing EOPs (i.e., each operator will know what they have to do during an emergency; it is not necessary to specify roles in PGP or EOPs)
- 4.3.6.3 Sequencing action steps to minimize physical interference between operators
- 4.3.6.4 Sequencing action steps to avoid their unintentional duplication by operators

4.3.7 Use and Maintenance of EOPs including accessibility and quality of copies (6.0)

4.3.8 Statement of commitment to use Writer's Guide in developing and revising the EOPs

## 5.0 Program for Validation/Verification

### 5.1 General Discussion

All applicants must submit a description of their programs for validating and verifying their EOPs. Because of the lack of a consistent and clearcut distinction between "validation" and "verification" within the nuclear industry, the staff has elected to bypass the semantic ambiguity by leaving their definition up to the individual applicants; only the desired outcomes are specified (independent of terminology). As a result, it is anticipated that there will be considerable variation in the nature of the submittals, particularly with regard to the guidelines addressed under each item below (if distinguished), and the amount of detail provided. Furthermore, both technical and human factors aspects of the EOPs are addressed by validation/verification activities, and submittals may integrate the two aspects under a given evaluation scheme. For these reasons reviewers will have to exercise considerable judgment in their review of the submittals. The evaluation elements for validation/verification were drawn from the six objectives identified in NUREG-0899 (subsection 3.3.5.1) which are repeated below. These objectives should serve as the general basis for determining the acceptability of the validation/verification programs reviewed.

### 5.2 General Objectives

The purpose of evaluating the validation/verification program is to ensure that the following general objectives are met. A listing of specific evaluation elements is provided in Subsection 5.3.

- 5.2.1 EOPs are technically correct, i.e., they accurately reflect the technical guidelines
- 5.2.2 EOPs are written correctly, i.e., they accurately reflect the plant-specific writer's guide
- 5.2.3 EOPs are useable, i.e., they can be understood and followed without confusion, delays, errors, etc.
- 5.2.4 There is a correspondence between the procedures and the control room/plant hardware, i.e., controls, equipment, and indications that are referenced, are available (inside and outside of the control room), use the same designations, use the same units of measurement, and operate as specified in the procedures
- 5.2.5 The language and level of information presentation in the EOPs are compatible with the minimum number, qualifications, training and experience of the operating staff

- 5.2.6 There is a high level of assurance that the procedures will work, i.e., the procedures guide the operator in mitigating transients and accidents

### 5.3 Specific Validation/Verification Review Guidelines

To aid the reviewer in the evaluation of the validation/verification program, the reviewer should consider the following review guidelines:

- 5.3.1 Indication of the methods that will be used to meet each of the objectives (as specified in Subsection 5.2 above) of the validation/verification program; the specific combination of methods for meeting each objective should be identified by the applicant so that the reviewer has assurance that the objectives of the overall validation/verification program are met. In the staff's judgment, the following combination of methods should be used to meet each of the objectives:

- 5.3.1.1 Whether the EOPs are technically correct, (i.e., whether they accurately reflect the technical guidelines), is expected to be evaluated by a combination of the following methods: (a) desk-top review, (b) seminars, workshops, operating team review, and computer modeling/analysis.
- 5.3.1.2 Whether the EOPs are written correctly [i.e., whether they accurately reflect the (approved) plant-specific writer's guide], is expected to be evaluated by a combination of the following methods: (a) desk-top review, and (b) seminars, workshops, operating team review.
- 5.3.1.3 Whether there is a correspondence between the procedures and the control room/plant hardware, [i.e., controls, equipment, and indications that are referenced are available (inside and outside the control room), use the same designations, use the same units of measurement, and operate as specified in the procedures] is expected to be evaluated by a combination of the following methods: (a) seminars, workshops, operating team review, (b) control room walkthroughs (static), and (c) simulation (if plant-specific) (static).
- 5.3.1.4 Whether the EOPs are usable [i.e., they can be understood and followed without confusion, delays, errors, etc.] for the given level of qualifications, training, and experience of the control room staff, is expected to be evaluated by a combination of the following methods: (a) seminars, workshops, operating team review, (b) simulator exercises, and (c) control room walkthroughs (dynamic).
- 5.3.1.5 Whether the language and level of information presentation in the EOPs are compatible with the minimum control room staffing and the qualifications, training, and experience of the control room staff is expected to be evaluated by a combination of the following methods: (a) desk-top review,



(b) seminars, workshops, operating team review, (c) simulator exercises, and (d) control room walkthroughs (dynamic).

- 5.3.1.6 Whether there is a high level of assurance that the procedures will work [i.e., the procedures guide the operator in mitigating transients and accidents] is expected to be evaluated by a combination of the following methods:  
(a) desk-top review, (b) seminars, workshops, operating team review, (c) simulator exercises, and (d) control room walkthroughs (dynamic).

- 5.3.2 Indication that plant operators, subject matter experts, and procedures writers are involved

- 5.3.3 Identification of the roles played by the participants (i.e., how will operators, subject matter experts, etc., participate in the validation/verification process) (roles should be based on specific validation/verification objective being addressed)

- 5.3.4 Use of Scenarios

Indication that the full complement of EOPs are exercised, including multiple failures (simultaneous and sequential), and inclusion of criteria for selecting scenarios

NOTE: Where a generic simulator is used, and to some extent, where a plant reference simulator is used, it will not be possible to fully exercise all parts of the EOPs. In these instances, the PGP should describe the method that the licensee will use to ensure that the validation/verification program will cover areas missed in the simulator exercises. The following element is included to address this issue.

- 5.3.5 Indication that areas not covered by simulator exercises will undergo validation/verification

- 5.3.6 Description of the plan for correcting and revising EOPs as a result of the validation/verification and for feedback from simulator exercises, control room walkthrough, desk-top reviews, operating team reviews and operator training to address accuracy, readability, usability, and completeness of the EOPs

- 5.3.7 Statement of commitment to validate/verify revisions to EOPs, when appropriate, and the conditions under which revisions should be validated/verified

- 5.3.8 Description of the method by which multiple units will be handled in the validation/verification process to account for unit differences

NOTE: For multi-unit sites, the part of the validation/verification process involving control room walk-throughs and use of operators should be carried out for each unit of a multi-unit site to the extent that the units differ in terms of instrumentation, controls, equipment (including availability

of, design of, labeling of, or location of) or any other aspect that may impact plant safety.

- 5.3.9 Indication that the EOPs will be compatible with minimum control room staffing
- 5.3.10 Description of the plan by which adequacy (in terms of availability, readability and usability) of control room instrumentation and controls will be determined
- 5.3.11 Description of the plan by which correspondence between EOPs and control room instrumentation and controls will be determined
- 5.3.12 Where available instrumentation and controls have not been evaluated against the information and control needs of the operators as a part of the P-STG (see Subsection 3.3.4.2 and 3.4.3.2), they should be evaluated as a part of the validation/verification program. The description of the validation/verification program should include the method that will be used to determine the adequacy of control room instrumentation and controls in meeting the information and control needs of the operators [i.e., it has been determined that the parameters are correct and that the instrument and control characteristics (e.g., accuracy, scaling, etc.) meet the needs identified].

NOTE: Since many aspects of validation/verification can be addressed during operator training, it is anticipated that applicants will combine these activities to make more efficient use of simulator time. Where validation/verification is tied to the EOP training program it is necessary for applicants to distinctly address validation/verification through a formal process which documents results and provides for feeding this information back into the EOP development process. The PGP should describe this process.

NOTE: Where EOPs are partially validated/verified on a generic simulator, licensees should commit to performing the dynamic portion of the validation/verification of the EOPs if a plant reference simulator becomes available.

## 6.0 Program for Operator Training on EOPs

### 6.1 General Discussion

Applicants are to submit descriptions of their planned programs for training operators on EOPs. The intent of reviewing the EOP training program is to ensure that operators will be trained prior to implementation of the EOPs, and that there is a reasonable assurance that the methods to be used in training are adequate. This determination can be made by verifying that the training program meets the general training objectives identified in Subsection 6.2. To determine that these general objectives are met, the reviewer should consider the specific review guidelines of Subsection 6.3.

## 6.2 General EOP Training Program Objectives

The purpose of the evaluation is to determine that the following general objectives are adequately addressed in the training program described by considering the specific review guidelines provided. These guidelines are not intended to represent all the necessary components of an adequate training program, but rather to serve as a basis for assuring the staff that the operators have been trained prior to EOP implementation and that they will be capable of using the EOPs.

- 6.2.1 Trainees should understand the philosophy behind the approach to the EOPs, i.e., their structure and approach to transient and accident mitigation, including control of safety functions, accident evaluation and diagnosis and the achievement of safe, stable or shutdown conditions.
- 6.2.2 Trainees should understand the mitigation strategy and technical bases of the EOPs, i.e., the function and use of plant systems, subsystems, components, in mitigating transients and accidents.
- 6.2.3 Trainees should have a working knowledge of the technical content of the EOPs, i.e., they must understand and know how to perform each step in all EOPs to achieve EOP objectives.
- 6.2.4 Trainees should be capable of executing the EOPs (as individuals and teams) under operational conditions, i.e., they must be able to carry out an EOP successfully during transients and accidents.

## 6.3 Specific EOP Training Review Guidelines

The reviewer should consider the following specific review guidelines in evaluating the description of the EOP training program:

- 6.3.1 Inclusion of training objectives consistent with Subsection 6.2 above
- 6.3.2 Use of Simulator Exercises

- 6.3.2.1 Specification of plant-specific or generic simulation

- 6.3.2.2 Indication that all EOPs will be exercised by all operators

NOTE: Where a generic simulator is used, and to some extent, where a plant reference simulator is used, it will not be possible to fully exercise all parts of the EOPs. In these instances, the PGP should describe the method that the applicant will use to ensure that the validation/verification program will cover areas missed in the simulator exercises. The following element is included to address this issue.

- 6.3.2.3 A description of the method for training in areas not covered by simulator exercises

- 6.3.2.4 Indication of planned operator roles and team work
- 6.3.2.5 Indication of the use of a wide variety of scenarios (i.e., incorporating multiple, simultaneous and sequential, failures)
- 6.3.3 Use of Control Room Walk-through
  - 6.3.3.1 Indication of walk-through of all EOPs by all operators
  - 6.3.3.2 Indication of planned operator roles and team work
  - 6.3.3.3 Indication of use of a wide variety of scenarios (i.e., incorporating multiple failures, simultaneous and sequential)
- 6.3.4 Use of lectures, discussion sessions, and seminars
- 6.4 Indication that operators will be trained prior to implementation of EOPs
- 6.5 Indication that operators will be evaluated as part of the training program

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Revision No. 1 to Section 13.5.2 and Revision 0 to Appendix A of Section 13.5.2 of the Standard Review Plan incorporates changes that have been developed since the original issuance in July 1981. This revision incorporates guidelines of Task Action Plan Items I.C.1 and I.C.9 of NUREG-0660 as clarified in Supplement 1 of NUREG-0737. Appendix A to SRP Section 13.5.2 was formerly NUREG-0899.

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