



Gary R. Peterson
Vice President

Duke Power
Catawba Nuclear Station
4800 Concord Road
York, SC 29745
(803) 831-4251 OFFICE
(803) 831-3221 FAX

May 7, 2001

U.S. Nuclear Regulatory Commission
Document Control Desk
Washington, D.C. 20555-0001

Subject: Duke Energy Corporation
Catawba Nuclear Station Unit 1 and Unit 2
Docket Nos. 50-413 and 50-414
Security Special Report 413/2001-S01, Revision 0

Gentlemen:

Pursuant to 10 CFR 73.71 Sections (b) (1) and Appendix G (I) (b), attached is a Security Special Report 413/2001-S01, concerning the falsification of pre-employment screening records by a vendor employee.

This report is being submitted in accordance with 10 CFR 73.71 and Appendix G (I) (b). This event is considered to be of no significance with respect to the health and safety of the public.

There are no commitments contained in this submittal.

Questions regarding this report should be directed to G. K. Strickland at 803-831-3585.

Very truly yours,

G. R. Peterson

Attachment

JEH

U.S. Nuclear Regulatory Commission
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cc (with attachments):

L.A. Reyes
U.S. Nuclear Regulatory Commission
Regional Administrator, Region II
Atlanta Federal Center
61 Forsyth St., SW, Suite 23T85
Atlanta, GA 30303

D.J. Roberts
Senior Resident Inspector (CNS)
U.S. Nuclear Regulatory Commission
Catawba Nuclear Station

C.P. Patel (addressee only)
NRC Senior Project Manager (CNS)
U.S. Nuclear Regulatory Commission
Mail Stop 08-H12
Washington, D.C. 20555-0001

LICENSEE EVENT REPORT (LER)

(See reverse for required number of
digits/characters for each block)

Estimated burden per response to comply with this mandatory information collection request: 50 hours. Reported lessons learned are incorporated into the licensing process and fed back to industry. Send comments regarding burden estimate to the Records Management Branch (T-6 E6), U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001, or by internet e-mail to bjs1@nrc.gov, and to the Desk Officer, Office of Information and Regulatory Affairs, NEOB-10202 (3150-0104), Office of Management and

FACILITY NAME (1)

Catawba Station, Unit 1

DOCKET NUMBER (2)

050- 413

PAGE (3)

1 OF 5

TITLE (4)

Security Access Revoked For Falsification of Criminal Record

| EVENT DATE (5) | | | LER NUMBER (6) | | | REPORT DATE (7) | | | OTHER FACILITIES INVOLVED (8) | |
|--------------------|-----|------|--|-------------------|--------|--------------------|-----|------|-------------------------------|---------------------------------|
| MO | DAY | YEAR | YEAR | SEQUENTIAL NUMBER | REV NO | MO | DAY | YEAR | FACILITY NAME | DOCKET NUMBER |
| 04 | 11 | 2001 | 2001 | S01 | 0 | 05 | 07 | 2001 | Unit 2 | 050- 414 |
| | | | | | | | | | FACILITY NAME | DOCKET NUMBER |
| | | | | | | | | | | |
| OPERATING MODE (9) | | 1 | THIS REPORT IS SUBMITTED PURSUANT TO THE REQUIREMENTS OF 10 CFR §: (Check all that apply) (11) | | | | | | | |
| | | | 20.2201(b) | | | 20.2203(a)(3)(ii) | | | 50.73(a)(2)(ii)(B) | 50.73(a)(2)(ix)(A) |
| | | | 20.2201(d) | | | 20.2203(a)(4) | | | 50.73(a)(2)(iii) | 50.73(a)(2)(x) |
| POWER LEVEL (10) | | 100 | 20.2203(a)(1) | | | 50.36(c)(1)(i)(A) | | | 50.73(a)(2)(iv)(A) | 73.71(a)(4) |
| | | | 20.2203(a)(2)(i) | | | 50.36(c)(1)(ii)(A) | | | 50.73(a)(2)(v)(A) | 73.71(a)(5) |
| | | | 20.2203(a)(2)(ii) | | | 50.36(c)(2) | | | 50.73(a)(2)(v)(B) | X OTHER |
| | | | 20.2203(a)(2)(iii) | | | 50.46(a)(3)(ii) | | | 50.73(a)(2)(v)(C) | Specify in Abstract below or in |
| | | | 20.2203(a)(2)(iv) | | | 50.73(a)(2)(i)(A) | | | 50.73(a)(2)(v)(D) | NRC Form 366A |
| | | | 20.2203(a)(2)(v) | | | 50.73(a)(2)(i)(B) | | | 50.73(a)(2)(vii) | |
| | | | 20.2203(a)(2)(vi) | | | 50.73(a)(2)(i)(C) | | | 50.73(a)(2)(viii)(A) | |
| | | | 20.2203(a)(3)(i) | | | 50.73(a)(2)(ii)(A) | | | 50.73(a)(2)(viii)(B) | |

LICENSEE CONTACT FOR THIS LER (12)

NAME

G. D. Gilbert, Regulatory Compliance Manager

TELEPHONE NUMBER (Include Area Code)

(803) 831-3231

COMPLETE ONE LINE FOR EACH COMPONENT FAILURE DESCRIBED IN THIS REPORT (13)

| CAUSE | SYSTEM | COMPONENT | MANU-FACTURER | REPORTABLE TO EPIX | CAUSE | SYSTEM | COMPONENT | MANU-FACTURER | REPORTABLE TO EPIX |
|-------|--------|-----------|---------------|--------------------|-------|--------|-----------|---------------|--------------------|
| | | | | | | | | | |

| SUPPLEMENTAL REPORT EXPECTED (14) | | | | EXPECTED SUBMISSION DATE (15) | MONTH | DAY | YEAR |
|--|----|--|--|-------------------------------|-------|-----|------|
| YES (If yes, complete EXPECTED SUBMISSION DATE). | NO | | | | | | |
| | | | | | | | |

ABSTRACT (Limit to 1400 spaces, i.e., approximately 15 single-spaced typewritten lines) (16)

On 4/11/01, with Catawba Unit 1 and Unit 2 both operating in Mode 1 at 100% power, Catawba site security was notified by Duke Power Company (DPC) Access Services Group that the criminal history inquiry for a vendor employee revealed information that was not disclosed by the individual on his questionnaire. Subsequent adjudication of the information determined that the individual was unreliable. The individual had been granted unescorted access to the Catawba protected area from 3/31/99 through 5/20/99. Clearance authorization and subsequent access to Catawba was granted based upon information that was obtained from the individual's Plant Access Data System (PADS) record. DPC Access Services personnel properly flagged the individual's PADS record upon discovery. An Emergency Notification System (ENS) event notification was made at 1130 hours on 4/11/01.

This event is considered to have no significance with respect to the health and safety of the public.

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| Catawba Nuclear Station, Unit 1 | 050-413 | 2001 | - S01 - | 00 | 2 OF 5 |

NARRATIVE (If more space is required, use additional copies of NRC Form 366A) (17)

EVALUATION:

BACKGROUND

This event is reportable per 10CFR 73.71(b) (2) due to entry into a protected area by a person who should have been denied access. Specifically, a vendor employee was authorized access due to omission from pre-employment screening records of disqualifying information.

EVENT DESCRIPTION

Catawba Nuclear Station, along with all other nuclear sites in Region II and most others in the country, utilizes the Plant Access Data System (PADS). PADS is a database which allows the sharing of background screening data among nuclear sites. This system facilitates the movement of nuclear workers from one site to another without requiring additional screening to be done at each site of access. The system saves each licensee time and money in terms of in-processing outage workers and other personnel.

On 2/10/99, another licensee facility fingerprinted a vendor employee for access to the site. The vendor employee was subsequently badged and worked at the other facility from 2/19/99 until 3/24/99 under a temporary clearance. On 3/29/99, the fingerprint history was returned to the other facility on the individual and it contained criminal history (additional drug charge) that the individual had not previously disclosed on his background questionnaire. Personnel at the other facility failed to update the Plant Access Data System (PADS) with this information.

On 3/31/99, the vendor employee was badged for access into Catawba Nuclear Site. Duke Power Company (DPC) Access Services Group had granted a clearance authorization based upon the information that was in PADS. The vendor employee was badged at Catawba from 3/31/99 through 5/20/99 and worked as a scaffold builder.

On 4/10/01, DPC Access Services personnel were notified by personnel at the other licensee facility regarding the individual's failure to list the additional criminal history information at the

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NARRATIVE (If more space is required, use additional copies of NRC Form 366A) (17)

other facility and their subsequent failure to update the individual's PADS data. A telephone conference call between security management at Oconee and Catawba Nuclear Sites and personnel in the DPC Access Services Group was held at 1035 hours to discuss event reportability. As a result of this discussion and based on guidance in the Duke Power Company Reporting and Trending of Safeguards and Security Events Directive, the event was reported via ENS notification at 1130 hours on 4/11/01.

The following is a chronology of the security event reported by Catawba Nuclear Site to the NRC Operations Center via the Emergency Notification System at 1130 hours April 11, 2001. Note that Oconee Nuclear Site made a similar ENS report, and is also providing a written Special Report, which is designated 269/2001-S01.

| | |
|---------|---|
| 2-10-99 | Vendor employee fingerprinted for access into another licensee facility. Temporary clearance granted. |
| 2-19-99 | Vendor badged for work at another licensee facility. |
| 3-24-99 | Vendor left another licensee facility. Work completed. |
| 3-29-99 | Fingerprint record returned to the other licensee facility reflecting additional criminal information not disclosed by vendor employee. PADS data not updated by the other facility personnel. |
| 3-31-99 | Vendor employee badged at Catawba subsequent to granting of clearance authorization based on existing PADS data. |
| 5-20-99 | Vendor left Catawba site. Work completed. |
| 9-20-00 | Other licensee facility reports "Unescorted access granted inappropriately" via ENS. Event Number 37355 assigned. Other facility discovered that additional criminal information had not been entered into PADS database. The additional information was entered into PADS. |

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NARRATIVE (If more space is required, use additional copies of NRC Form 366A) (17)

Duke Power Company (DPC) was not notified regarding the PADS update.

10-12-00 Other licensee submitted Licensee Event Report 424/1-00-01s.

4-10-01 Other licensee notified Duke Power Company (DPC) Access Services Group about the vendor employee and the omission/falsification of criminal history data.

4-11-01 DPC Access Services notified Catawba site at approximately 1000 hours.

4-11-01 Conference call at 1035 hours between Catawba Nuclear Site, Oconee Nuclear Site, and the DPC Access Services Group regarding reportability determination.

4-11-01 Emergency Notification System (ENS) Event notification to NRC made at 1130 hours.

CAUSAL FACTORS

The cause for this vendor employee gaining access into Catawba is that the additional criminal data was not entered in the individual's PADS record by another licensee facility in a timely manner after receipt of background information on March 29, 2000. There can be no determination made by Catawba as to whether this failure to update PADS was due to a system failure or a human error.

As a result of this event, it can be determined that there was no program failure or human performance error on the part of any personnel in the Duke Power Company Access Services group or at the Catawba Nuclear site In-processing/Security areas.

CORRECTIVE ACTIONS

Immediate:

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None

Subsequent:

The vendor employee's PADS record was flagged by DPC Access Services Personnel.

Planned:

There are no planned corrective actions in response to this event as there were no program failures or human performance errors by DPC Access Services or Catawba site personnel. Therefore there are no NRC commitment items contained in this report.

SAFETY ANALYSIS

Although the individual was allowed access into the Catawba site, there was no malevolence associated with the entry. As a scaffold builder, the individual entered controlled areas of the site to which he had been granted unescorted access without incident. The vendor employee did not operate or manipulate any equipment that would impact plant operability.

This event did not result in any uncontrolled releases of radioactive material, personnel injuries, or radiation over exposure. The health and safety of the public were not affected by this event.

ADDITIONAL INFORMATION

A review of Catawba events over the previous three years did not identify any similar events of personnel being granted unescorted access to protected areas due to discovery of omission / falsification of data as reflected on PADS information.

This event is not considered reportable under the Equipment Performance and Information Exchange (EPIX) program.