

APPENDIX

EMPLOYEE CONCERNS PROGRAMS

PLANT NAME: Watts Bar LICENSEE: TVA DOCKET #: 50-390.391

NOTE: Please circle yes or no if applicable and add comments in the space provided.

A. PROGRAM:

1. Does the licensee have an employee concerns program?
(Yes or No/Comments)

Entitled "Concerns Resolution Program"

2. Has NRC inspected the program? Yes. Report #'s? Various since start of this particular program on February 1, 1986. Current reports are 90-01, 92-14, and 93-54.

B. SCOPE: (Circle all that apply)

1. Is it for:

a. Technical? (Yes, No/Comments)

b. Administrative? (Yes, No/Comments)

However, Intimidation and Harassment issues are referred to the TVA IG for investigation.

c. Personnel issues? (Yes, No/Comments)

Personnel issues are referred to the appropriate TVA organization.

2. Does it cover safety as well as non-safety issues?
(Yes or No/Comments)

All matters that could possibly affect the safe operation of the nuclear plant are followed up by the concerns resolution staff.

3. Is it designed for:

a. Nuclear safety? (Yes, No/Comments)

b. Personal safety? (Yes, No/Comments)

c. Personnel issues - including union grievances?
(Yes or No/Comments)

Personnel issues are referred to the appropriate TVA organization.

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4. Does the program apply to all licensee employees?

(Yes or No/Comments)

5. Contractors?
(Yes or No/Comments)

6. Does the licensee require its contractors and their subs to have a similar program?
(Yes or No/Comments)

TVA requires contractors performing technical support activities to have their own program. Contractors directly supporting TVA staff personnel come under the purview of the TVA Concerns Resolution Program.

7. Does the licensee conduct an exit interview upon terminating employees asking if they have any safety concerns?
(Yes or No/Comments)

TVA employees as well as contractors providing direct support to the TVA staff are interviewed by the TVA concerns resolution staff prior to their departure. Contractors with concerns programs interview their employees.

C. INDEPENDENCE:

1. What is the title of the person in charge?

The entire TVA organizations Concerns Resolution Program is headed by the "Manager, Concerns Resolution Staff." This individual is located in Chattanooga, TN at the corporate office. The individual in charge of the Concerns Resolution Program on site has the title of "Concerns Resolution Staff Site Representative."

2. Who do they report to?

The site representative reports to the Manager, Concerns Resolution Staff, who in turn reports to the Vice President of Technical Support. The organization was set up for the Manager, Concerns Resolution Staff to report to the Senior Vice President of Nuclear Power. However, the senior VP position is currently vacant. Interim reporting to the Vice President, Technical Support. In addition, the Manager, Concerns Resolution Staff can contact the President of the Generating Group to resolve employee concerns.

3. Are they independent of line management?

The individuals referenced in question C.2. above are independent of all line management at the site.

4. Does the ECP use third party consultants?

Although no independent contractors are used, "third party consults" from various organizations within TVA are used by the concerns resolution staff to investigate employee concerns.

5. How is a concern about a manager or vice president followed up?

Because of the independence of the Concerns Resolution Staff, concerns about a manager or vice president are generally handled in the same manner as other concerns. However, in addition these concerns are raised to the appropriate level of management within TVA and if applicable (wrongdoing) to the TVA Inspector General.

D. RESOURCES:

1. What is the size of staff devoted to this program?

The Concerns Resolution Staff located at Watts Bar consists of three individuals.

2. What are ECP staff qualifications (technical training, interviewing training, investigator training, other)?

The following is a list of qualifications for an individual on the ECP staff:

-B.S. degree in Engineering or other scientific discipline or its equivalent.

-Effective communications skills

-Training in interviewing and negotiations

In addition, experience is required in the utility/power plant field, preferably nuclear power. The site representative is required to have 10 years experience with the assistant positions requiring 7 years experience.

E. REFERRALS:

1. Who has followup on concerns (ECP staff, line management, other)?

The concerns resolution staff has the requirement to followup on concerns.

F. CONFIDENTIALITY:

1. Are the reports confidential?
(Yes or No/Comments)
2. Who is the identity of the allegor made known to (senior management, ECP staff, line management, other)?
(Circle, if other explain)

Allegors who request confidentiality can have their identity made known to the Concerns Resolution Staff, the TVA Board, TVA OGC, and the TVA OIG on a need to know basis. In addition, names will be provided to the NRC, Department of Labor, Merit System Protection Board, Equal Employment Opportunity Commission, or any court of law when legally required to do so. Concerns Resolution Staff policy for allegors who do not request confidentiality is not to broadcast the individuals name, but also not to hinder an investigation because the allegors identity may be indirectly revealed by the investigation.

3. Can employees be:

a. Anonymous? (Yes, No/Comments)

b. Report by phone? (Yes, No/Comments)

G. FEEDBACK:

1. Is feedback given to the allegor upon completion of the followup?
(Yes or No - If so, how?)

Feedback is given to allegors through followup meetings, telephone calls or through written correspondence.

2. Does program reward good ideas?

No.

3. Who, or at what level, makes the final decision of resolution?

The Concerns Resolution Site Representative makes the final decision of resolution regarding employee concerns with the concurrences of higher level management as required.

4. Are the resolutions of anonymous concerns disseminated?

No.

5. Are resolutions of valid concerns publicized (newsletter, bulletin board, all hands meeting, other)?

No.

H. EFFECTIVENESS:

1. How does the licensee measure the effectiveness of the program?

The licensee measures the effectiveness of the program through:

- Trending of concerns
- Feedback received from allegors during exit interviews
- Results of internal audits and NRC inspections

2. Are concerns:

a. Trended? (Yes or No/Comments)

b. Used? (Yes or No/Comments)

3. In the last three years how many concerns were raised? 144
Of the concerns raised, how many were closed? 130 What percentage were substantiated? Approximately 35 percent

4. How are followup techniques used to measure effectiveness (random survey, interviews, other)?

Exit interviews and random surveys performed by the Concerns

Resolution Staff, the TVA OIG, and the NRC.

5. How frequently are internal audits of the ECP conducted and by whom?

Internal audits are conducted annually by the TVA Quality Assurance organization and periodically by the TVA OIG. The Concerns Resolution Staff annually reviews the various contractor employee concerns programs.

I. ADMINISTRATION/TRAINING:

1. Is ECP prescribed by a procedure? (Yes or No/Comments)

Nuclear Power Standard 1.2, "Concerns Resolution" and Site Standard Practice 1.02, "Concerns Resolution" describe the program in general. Concerns Resolution Staff Instruction 1 describes how the Employee Concern Program is administered.

2. How are employees, as well as contractors, made aware of this program (training, newsletter, bulletin board, other)?

Employees are made aware of these programs via General Employee Training, postings on bulletin boards in various locations throughout the plant, and through various internal memos and site bulletins.

ADDITIONAL COMMENTS: (Including characteristics which make the program especially effective or ineffective.)

A recent initiative to improve the concerns resolution file closure process at the various TVA sites began in May, 1993. This process involves the periodic meeting of the site representatives (from Browns Ferry, Sequoyah, and Watts Bar) to discuss and perform a joint review of various concerns to ensure proper handling and dissemination.

The person completing this form please provide the following information to the Regional Office Allegations Coordinator and fax it to Richard Rosano at 301-504-3431.

NAME: J.B. BRADY **TITLE:** /Project Inspector/ **PHONE #:** (404)331-0339 **DATE COMPLETED:** 9/7/93

FACSIMILE TRANSMITTAL U. S. NRC - RII ATLANTA, GA

TO: DICK ROSANO

CHECK APPROPRIATE BOX:

INFO
919/3-7549

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301/504-2260

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(See Reverse)

OTHER:

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FAX NO.: 301 504 3431

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FROM: J. BRADY

FAX #404/331-4679

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