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December 20, 2007

U. S. Nuclear Regulatory Commission
Washington, DC 20555-0001
ATTENTION: Document Control Desk

Subject: Duke Power Company LLC d/b/a Duke Energy
Carolinas, LLC (Duke) .
Catawba Nuclear Station, Units 1 and 2
Docket Nos. 50-413 and 50-414
Security Special Report 413/2007-S02, Rev. 0

Pursuant to 10 CFR 73.71 Sections (b)(1) and Appendix G -
(I) 3(b), attached is a Security Special Report 413/2007-
S02 concerning the falsification/omission of arrest records
on the background questionnaire.

This Security Special Report does not contain any
regulatory commitments. This event is considered to be of
no significance with respect to the health and safety of
the public.

Questions regarding this Security Special Report should be
directed to A. P. Jackson at (803) 831-3742.

Very truly yours,

James R. Morris

Attachment

1E74
NRR

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December 20, 2007
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xc: w/attachments

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Regional Administrator, Region II
U.S. Nuclear Regulatory Commission
61 Forsyth Street, S.W., Suite 23T85
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A. T. Sabisch
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Catawba Nuclear Station

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Atlanta, GA 30339-5957

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bxc: w/attachments

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Catawba Document Control File: 801.01 - CN04DM

Catawba RGC Date File

ELL-EC050

NCMPA-1

NCEMC

PMPA

SREC

LICENSEE EVENT REPORT (LER)

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

Estimated burden per response to comply with this mandatory 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 and FOIA/Privacy Service Branch (T-5 F52), U.S. Nuclear Regulatory Commission, Washington, DC 20555-0001, or by internet e-mail to infocollects@nrc.gov, and to the Desk Officer, Office of Information and Regulatory Affairs, NEOB-10202, (3150-0104), Office of Management and Budget, Washington, DC 20503. If a means used to impose an information collection does not display a currently valid OMB control number, the NRC may not conduct or sponsor, and a person is not required to respond to, the information collection.

1. FACILITY NAME Catawba Nuclear Station, Unit 1	2. DOCKET NUMBER 05000 413	3. PAGE 1 OF 4
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4. TITLE
Falsification/Omission of Arrest Records on the Background Questionnaire

5. EVENT DATE			6. LER NUMBER			7. REPORT DATE			8. OTHER FACILITIES INVOLVED	
MO	DAY	YEAR	YEAR	SEQUENTIAL NUMBER	REV NO	MO	DAY	YEAR	FACILITY NAME	DOCKET NUMBER
10	25	2007	2007	S02	00	12	20	2007	Catawba Unit 2	05000 414
									FACILITY NAME	DOCKET NUMBER

9. OPERATING MODE 1	11. THIS REPORT IS SUBMITTED PURSUANT TO THE REQUIREMENTS OF 10 CFR §: (Check all that apply)									
10. POWER LEVEL 100%	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)						
	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)							
	20.2203(a)(2)(iii)	50.46(a)(3)(ii)	50.73(a)(2)(v)(C)	X OTHER Specify in Abstract below or in NRC Form 366A						
	20.2203(a)(2)(iv)	50.73(a)(2)(i)(A)	50.73(a)(2)(v)(D)							
	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)								

12. LICENSEE CONTACT FOR THIS LER

NAME Anthony P. Jackson - Regulatory Compliance	TELEPHONE NUMBER (Include Area Code) 803-831-3742
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13. COMPLETE ONE LINE FOR EACH COMPONENT FAILURE DESCRIBED IN THIS REPORT

CAUSE	SYSTEM	COMPONENT	MANUFACTURER	REPORTABLE TO EPIX	CAUSE	SYSTEM	COMPONENT	MANUFACTURER	REPORTABLE TO EPIX

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

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

A vendor contract employee was granted unescorted access based upon provided background screening information. Following the granting of unescorted access and being allowed Protected Area access at Catawba, it was discovered that the vendor did not completely disclose pertinent information on the screening questionnaire. Access Services personnel discovered the omission during a routine 5 year re-investigation processes and notified Catawba. Based upon information from the security computer, although the individual had access to vital areas of the site, he did not enter any vital areas while assigned to Catawba. This event does not involve any human error or programmatic failure on the part of security personnel at Catawba or Access Services personnel at the Duke Energy General Offices.

LICENSEE EVENT REPORT (LER)

FACILITY NAME (1)	DOCKET (2) NUMBER (2)	LER NUMBER (6)			PAGE (3)
		YEAR	SEQUENTIAL NUMBER	REVISION NUMBER	
Catawba Nuclear Station, Unit 1	05000413	2007	- S02 -	00	2 OF 4

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

BACKGROUND

Catawba Nuclear Station (CNS), Units 1 and 2 are Westinghouse Pressurized Water Reactors [EIIIS: RCT]. At the time this event was identified, Unit 1 and Unit 2 were both operating in Mode 1, Power Operation. This event is reportable per 10CFR 73.71(b)(1) and Appendix G - (I)3(b).

EVENT DESCRIPTION

A vendor contract employee (Subject) was reinstated (31 to 365 Days) by Duke for the CNS Unit 2 Outage on 09/13/07. The Subject's previous "last access date" was shown in Personnel Access Data System (PADS) as 4/19/07 at Nuclear Plant "A". This was the first time the Subject had come to a Duke site for Unescorted Access Authorization (UAA), so Duke was holding no other records on the individual. Consequently, the historical screening elements were obtained from PADS records, because he had multiple access periods at other utilities. Subject did not self-disclose any arrests to the vendor contractor company, so no potentially disqualifying information (PDI) was identified that required adjudication by Duke. Subject's 5 year reinvestigation was due on 2/10/08. Since 2008 is the 5 year anniversary year for the reinvestigation criteria, thousands of Duke reinvestigations will be required in 2008. Therefore, Duke had initiated an early reinvestigation schedule to alleviate some of the high volume of reinvestigations to be scheduled in 2008. As a result, the Subject's reinvestigation was initiated 10/04/07, during the CNS Outage In-Processing period due to his on-site availability. When the Subject's reinvestigation results were obtained by Duke on 10/24/07, it was recognized that Subject had an outstanding warrant and an arrest record that had not been reviewed. Upon discovery, it was recognized that the Subject had left CNS and had reported to the Nuclear Plant "B" Plant. On 10/25/07 the utility for nuclear Plant "B" was contacted, whereupon they initiated a review, resulting in the same day arrest of the Subject. On 10/25/07 Duke entered the "Additional Information" flag in PADS for the Subject.

CAUSAL FACTORS

This event was caused due to human error in that the vendor employee failed to disclose pertinent information on the background screening questionnaire processed by the vendor contractor company's screening program.

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

The vendor employee also failed to self-disclose the same information on the re-investigation questionnaire provided by Duke Access Services screening personnel.

As a result of review and evaluation of this event, this appears to be an event caused by an individual's deliberate non-compliance with recognized and understood requirements. There were no programmatic errors or concerns identified during this evaluation and the event was discovered during a required re-investigation which reflects that the process in place at Duke Energy is in compliance with requirements in the Duke Energy Nuclear Security Plan and NEI 03-01, "Nuclear Power Plant Access Authorization Program".

CORRECTIVE ACTIONS

Immediate:

The following corrective actions only reference activities that are required as a result of the identification of the event occurrence and do not reflect on any program or human error related corrective actions.

1. After being notified regarding the specifics of the omitted information and the results of the evaluation of this information by Duke Energy Access Services personnel had the individual properly disclosed it (indicated they would have denied access), Catawba security made a 1 hour notification to the NRC. This notification was based on guidance in Nuclear Security Manual Directive SD 4-0, "Reporting and Trending of Safeguards and Security Events".
2. Duke Energy Access Services personnel also notified Nuclear Plant "B" where the vendor currently held unescorted access authorization and advised them of the potentially disqualifying information. Access at Nuclear Plant "B" was subsequently terminated.

Subsequent: None.

Planned: None.

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SAFETY ANALYSIS

There was no safety significance associated with this event as the investigation of this event did not indicate any malevolent intent on the part of the individuals involved to harm plant equipment. The contract employee did not enter into any vital areas. 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

Operating Experience Database (OEDB) Search:

A search of the Duke Energy OEDB and the Problem Investigation Process (PIP) databases for all three sites produced no similar events. Dates of search were from October 1, 2005 until December 19, 2007.

Based upon this determination, the event described in this report is a not a recurring event across the Duke system. This event did not involve an equipment failure and is not considered reportable to the Equipment Performance and Information Exchange (EPIX) program.