

SOUTH TEXAS PROJECT ELECTRIC GENERATING STATION SPEAKOUT PROGRAM INSTRUCTION SPI-10 POTENTIAL WRONGDOING INVESTIGATIONS	NUMBER	REV. NO.
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1.0 PURPOSE

This instruction delineates how SPEAKOUT will handle investigations of potential wrongdoing and improper conduct, and reporting potential wrongdoing matters to the United States Nuclear Regulatory Commission (NRC).

2.0 SCOPE

This instruction applies to any issues, over which SPEAKOUT has cognizance, deemed a potential wrongdoing or improper conduct.

This instruction does not apply to issues related to the Continued Behavior Observation Program or the Fitness For Duty Program.

3.0 DEFINITIONS

3.1 Wrongdoing - The violation of an NRC requirement or a company procedure or policy designed to implement NRC requirements or assure nuclear safety, under circumstances involving:

- a. Knowledge that the requirement, policy or procedure applied; and
- b. either deliberate intent to violate the requirement, policy or procedure or careless disregard for whether the requirement, policy or procedure was violated.

3.1.1 Careless disregard - When a person conducts an act, or intentionally fails to conduct an act which is required, knowing or having reason to know that the conduct is in violation of requirements, and that the conduct is more severe than mere negligence.

NOTE: Wrongdoing does not include simple cases of inadvertent error, mistake, or forgetfulness.

3.2 Improper Conduct - The violation of a procedure or policy which is not designed to implement NRC requirements or assure nuclear safety.

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4.0 REFERENCES

- 4.1 SPEAKOUT Program Instruction manual, SPI 08, SPEAKOUT Review Committee
- 4.2 SPEAKOUT Program Instruction manual, SPI 09, Recommendations/Suggestions

5.0 RESPONSIBILITIES

- 5.1 The Manager, SPEAKOUT Program, is responsible for the implementation and maintenance of this instruction.
- 5.2 The Manager, SPEAKOUT Program, is responsible for making the final decision concerning what matters contain a potential wrongdoing, who will perform the investigation, reviewing the investigation report and making recommendations to the SRC.
- 5.3. The Manager, SPEAKOUT Program, or designee, has the responsibility for reporting all potentially significant wrongdoing matters under investigation to the NRC Senior Resident Inspector, documenting same and coordinating such information with Licensing.
- 5.4 SPEAKOUT is responsible for maintaining the completed file of related correspondence and documentation of wrongdoing matters investigated by SPEAKOUT or other entities.
- 5.5 The SPEAKOUT Interviewer/Investigator is responsible for identifying any potential wrongdoing during the receipt or investigation of any concern and notifying the Manager, SPEAKOUT Program.
- 5.6 The SPEAKOUT Review Committee (SRC) is responsible for reviewing wrongdoing investigation reports and recommendations made by SPEAKOUT.
- 5.7 The SRC is responsible for determining whether wrongdoing has occurred.

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6.0 REQUIREMENTS

6.1 WRONGDOING

- 6.1.1 When the SPEAKOUT Interviewer/Investigator receives a concern containing potential wrongdoing, the Manager, SPEAKOUT Program is notified.
- 6.1.2 The Manager, SPEAKOUT Program will review each SPEAKOUT Concern Record and Investigation Report for possible wrongdoing.
- 6.1.3 When the Manager, SPEAKOUT Program, determines that potential wrongdoing is evident, a decision will be made to 1) notify the NRC 2) immediately cause an investigation to be performed; 3) perform 2) above and allow SPEAKOUT to investigate the nuclear safety or nuclear quality issues; 4) gather additional information to support the potential wrongdoing prior to performing (1) or 2) above.
- 6.1.4 When a wrongdoing is revealed, SPEAKOUT will continue to retain responsibility for the investigation of the concern but may delegate responsibility to investigate the potential wrongdoing portion of the concern. This does not however, prohibit the SPEAKOUT Investigator from gathering information or facts that will aid the responsible entity in its investigation of the wrongdoing.

6.2 IMPROPER CONDUCT

- 6.2.1 Improper conduct will be investigated by SPEAKOUT at the discretion of Management.
- 6.2.2 Documentation of improper conduct investigations will be as dictated by the situation.

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6.2.3 SPEAKOUT will retain, as a minimum, a copy of documentation generated as a result of an improper conduct investigation conducted by SPEAKOUT.

7.0 DOCUMENTATION

7.1 All documentation concerning any SPEAKOUT Investigation Report, including wrongdoing investigations, will be maintained in the respective SPEAKOUT Concern File Folder.

7.1.1 All Class 1 and wrongdoing concern documentation will be controlled, to include controlled storage of computer, microfilm, and hard file copy information.

7.1.2 The retention period for documentation concerning potential wrongdoing, if determined to be wrongdoing, is life of plant.

8.0 Attachments

None