

UNITED STATES
NUCLEAR REGULATORY COMMISSION
WASHINGTON, D. C. 20555

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Dr. Jerry R. Kline
Atomic Safety and Licensing
Board Panel
U.S. Nuclear Regulatory
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Washington, DC 20555

Charles Bechhoefer, Chairman
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OFFICE OF SECRETARY
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Dr. Richard F. Cole
Atomic Safety and Licensing
Board Panel
U.S. Nuclear Regulatory
Commission
Washington, DC 220555

In the Matter of
NUCLEAR SUPPORT SERVICES, INC.;
ROBERT C. DAILEY
EA 93-236, IA 94-003

Dear Administrative Judges:

At a prehearing conference held on July 12, 1994, the Licensing Board directed the NRC Staff to provide copies of the redacted version of the OI report on which the enforcement orders in the captioned matter are based by Friday, July 15, 1994. Tr. 11-12. The Staff has provided those copies, as directed.

The Staff also agreed to provide three copies for the Licensing Board's use. Tr. 13. Those copies are enclosed with this letter.

Sincerely,

Ann P. Hodgdon
Ann P. Hodgdon
Counsel for NRC Staff

Enclosure: As stated
cc w/ encl.: Office of the Secretary
Attn.: Docketing and Service Branch
cc w/o encl.: Service List

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Title: NUCLEAR SUPPORT SERVICES, INC.:

ALLEGED DELIBERATE FALSIFICATION OF DOCUMENTS TO CONCEAL
DEROGATORY INFORMATION AND ALLEGED DELIBERATE ATTEMPT BY THE
FORMER MANAGER OF SECURITY TO MISLEAD AN OI INVESTIGATOR

Licensee:

Nuclear Support Services, Inc.
P. O. Box 3120
Hershey, Pennsylvania 17033

Docket No.:

Case Number: 3-91-017

Report Date: July 20, 1993

Control Office: OI:RIII

Status: CLOSED

Reported by:



Richard T. Anderson, Investigator
Office of Investigations
Field Office, Region III

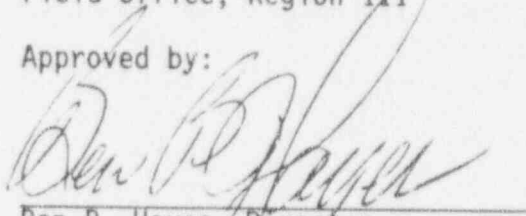
Participating Personnel:
Gary Pirtle, Plant Protection
Analyst, Region III

Reviewed by:



Eugene T. Pawlik, Director
Office of Investigations
Field Office, Region III

Approved by:



Ben B. Hayes, Director
Office of Investigations

WARNING

The attached document/report has not been reviewed pursuant
to Title 10 CFR Subsection 2.790(a) exemptions nor has any
exempt material been deleted. Do not disseminate or discuss
its contents outside NRC. Treat as "OFFICIAL USE ONLY."

Copy _____ of _____

SYNOPSIS

On November 14, 1991, the Regional Administrator, U.S. Nuclear Regulatory Commission, Region III (RIII), requested that an investigation be initiated concerning an allegation that Nuclear Support Services, Incorporated (NSSI), deliberately falsified documents sent to Northern States Power Company (NSP) and Wisconsin Electric Power Company (WEPC) corporate security representatives to allow NSSI employees to gain unescorted access to the NSP Prairie Island Nuclear Generating Plant (Prairie Island) and WEPC Point Beach Nuclear Plant. (Point Beach). It was also requested that an investigation be conducted to determine if the alleged record falsification was the result of one person's independent action or the result of NSSI management's policies or practices. Additionally, the investigation was also to determine if management of any of the involved parties was culpable in the transfer of false information.

The investigation revealed that the NSSI security manager deliberately provided falsified documents to NSP and to WEPC to allow NSSI employees to gain unescorted access to the NSP Prairie Island and WEPC Point Beach nuclear plants. The investigation revealed that this action was the result of one person's independent action and not the result of NSSI management's policies or practice. The investigation determined that no management of any of the involved parties was culpable in the transfer of false information. During the investigation, however, an allegation surfaced that the manager of security for NSSI deliberately made material false statements to an Office of Investigations (OI), RIII, investigator. The evidence developed during the OI investigation substantiated that the manager of security deliberately made material false statements to the NRC:OI investigator.

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ACCOUNTABILITY

The following portions of this Report of Investigation (Case No. 3-91-017) will not be included in the material placed in the Public Document Room. They consist of pages 3 through 50.

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APPLICABLE REGULATIONS

Allegation No. 1: Alleged Deliberate Falsification of Documents to Conceal Derogatory Information

10 CFR 26.23: Contractors and vendors (1990 Edition)

(a) All contractor . . . personnel performing activities within the scope of this Part for a licensee must be subject to either the licensee's program . . . or to a program, formally reviewed and approved by the licensee, which meets the requirements of this Part . . . (1) The contractor . . . is responsible to the licensee for adhering to the licensee's fitness-for-duty policy, or maintaining and adhering to an effective fitness-for-duty program; which meets the standards of this Part . . .

10 CFR 26.27: Management actions and sanctions to be imposed (1990 Edition)

(a) Prior to the initial granting of unescorted access to a protected area or the assignment to activities within the scope of this Part to any person, the licensee shall obtain a written statement from the individual as to whether activities within the scope of this Part were ever denied the individual. The licensee shall complete a suitable inquiry on a best-effort basis to determine if that person was, in the past, tested positive for drugs or use of alcohol that resulted in on-duty impairment, subject to a plan for treating substance abuse (except for self-referral for treatment), or removed from activities within the scope of this Part, or denied unescorted access at any other nuclear power plant in accordance with a fitness-for-duty policy. If such a record is established . . . granting of unescorted access must be based upon a management and medical determination of fitness for duty and the establishment of an appropriate follow-up testing program . . .

10 CFR 50.9: Completeness and accuracy of information (1990 Edition)

(a) . . . information required by . . . the Commission's regulations . . . or license conditions to be maintained by the licensee shall be complete and accurate in all material respects.

GA-1317.8: NSSI Security Screening Program for Nuclear Safety Related Assignment (Revision 8)

3.1 Responsibilities:

3.1.2 The NSS, Inc., Security Manager is responsible for the administration of the Security Screening Program, for determining that qualifications of applicants for unescorted access into the

protected and vital areas of client-owned nuclear power plants and for requesting such access from clients. The Security Manager is also responsible for providing an accurate appraisal of investigative findings that result from the Security Screening Program.

3.1.3 The NSS, Inc., Security Review Board (SRB) evaluates all information concerning questionable cases resulting from the Security Screening Program submitted to the SRB by the Security Manager and will determine whether access should be requested from the client.

3.2 PROGRAM:

3.2.4 ACCESS APPROVAL: The Security Manager will review all completed screening work sheets and files and perform an evaluation, using the "Evaluation Criteria" shown in Paragraph 3.4 below, to determine approval of the applicant for access. Such approval will be noted on the applicable work sheet or on a separate memorandum by signature and date of the Security Manager. When the screening program produces questions about an individual's trustworthiness, emotional stability and reliability, unescorted access shall not be requested unless subsequent investigation can resolve them as being either true or not applicable.

3.2.8 APPLICANTS'S FILES: The Security Manager shall create and maintain security screening files on each applicant processed for access. The applicant's file shall be organized in a manner that accommodates ease in review and audit.

3.3 PROGRAM ELEMENTS:

3.3.1.1.2 Unemployment: Activities during interruptions of employment in excess of 30 days must be verified.

3.4 EVALUATION CRITERIA:

The determination of trustworthiness or reliability and the request to a client (or otherwise certify an applicant) for unescorted access authorization shall be based on an evaluation of the information obtained during the background investigation and psychological evaluation while considering the following:

3.4.1 Willful omission or falsification of material information submitted in support of employment or request for unescorted access authorization.

3.4.2 Illegal use or possession of a controlled substance or abuse of alcohol without adequate evidence of rehabilitation.

3.4.8 Any other information that would adversely reflect upon the reliability and trustworthiness of the individual as it relates to the individual being permitted unescorted access.

Wisconsin Electric Power Company, Contract, Health Physics, Point Beach Nuclear Plant, Contract No: 166593, Nuclear Support Services, Inc., dated June 14, 1990:

4.1.13(g) Contractor shall comply with Wisconsin Electric Power Company, Point Beach Nuclear Plant, Contractor Security Requirements, Revision 6, January 3, 1990.

Wisconsin Electric Power Company, Point Beach Nuclear Plant, Contractors Security Requirements, Revision 6, January 3, 1990:

5.0 SCREENING PROGRAM:

5.1.1. Employment History:

(e) Activities during interruptions of employment in excess of 30 days must be verified.

6.0 EVALUATION CRITERIA FOR UNESCORTED ACCESS AUTHORIZATION:

To determine trustworthiness and reliability, the following will be considered:

(a) Willful omission or falsification of material information submitted in support of employment or request for unescorted access authorization to protected vital areas.

(b) Illegal use or possession of a controlled substance or abuse of alcohol without adequate evidence of rehabilitation.

10.4 Communication:

All communication concerning the PBNP Contractor Security Requirements should be addressed to the WE Corporate Office:

Wisconsin Electric Power Company
Office of Security
231 W. Michigan Street
P.O. Box 2046
Milwaukee, WI 53201
Telephone: (414) 221-4024 Telefax: (414) 221-4677

Wisconsin Electric Power Company, Nuclear Power Department Fitness for Duty Program Procedures Manual, FFDPP-5, Revision 0, Contractual Requirements, Dated January 3, 1990:

3.0 PROCEDURE:

3.1.2 That a person denied access or removed from activities within the scope of 10 CFR Part 26 at another nuclear power plant, will not be assigned to work at PBNP without the knowledge and consent of WE. Such person must have completed a rehabilitation program approved by WE;

Northern States Power Company, Purchase Order No. P60828MB, Nuclear Support Services, Inc., dated September 7, 1989:

All personnel must have security screening.

Northern States Power Company, Contractor Access Authorization Procedure for Nuclear Plant Unescorted Access, Form 1-3019 Rev 9 (N1ACD 8.7):

1.0 Background Investigation:

1.1.2 In addition, a suitable inquiry meeting the requirements of 10 CFR Part 26.27 must be conducted to determine whether the worker has ever been:

(c) Removed from or made ineligible for activities within the scope of 10 CFR Part 26. Prior to recommending a worker for Unescorted Access Authorization, the contractor shall obtain a written statement from the worker as to whether activities within the scope of 10 CFR Part 26 were ever denied the worker.

(d) Denied access or employment in accordance with a fitness for duty policy.

If such a record is established, the contractor shall immediately contact NSP's Fitness for Duty Coordinator (FFDC) at (612) 330-7999.

3.0 Evaluation Criteria:

3.2 In making this determination, the following must be considered:

(a) Willful omission or falsification of information submitted in support of employment or request for unescorted access authorization.

(h) Any other information that would adversely reflect upon the reliability and trustworthiness of the worker as it relates to being permitted unescorted access to a nuclear plant.

(i) Suitable Inquiry results establishing a record as identified in Section 1.1.2. Upon establishing such a record, the contractor shall immediately contact NSP Fitness for Duty Coordinator (612-330-7999) for follow on (sic) actions prior to recommending the worker for an unescorted access authorization.

Fitness For Duty Requirements for Northern States Power Company Nuclear Plants, Form 1-3020 Rev 8 (NIACD 8.10):

C. Contractor Requirements:

1. The contractor shall not assign a worker to an NSP nuclear plant or the NSP general office who has been denied unescorted access to, or has had unescorted access removed for cause from, any utility's nuclear power plant without written consent from the NSP Manager Corporate Security.

Allegation No. 2: Alleged Deliberate Attempt by the former Manager of Security to Mislead an OI Investigator:

18 U.S.C. 1001: Statements or entries generally (1992 Edition)

Whoever, in any matter within the jurisdiction of any department or agency of the United States knowingly and willfully falsifies . . . or makes any false, fictitious or fraudulent statements or representation . . . shall be fined not more than \$10,000 or imprisoned not more than five years, or both.

18 U.S.C. 1621: Perjury generally (1992 Edition)

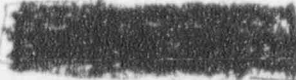
Whoever-

(1) having taken an oath before a competent tribunal, officer, or person, in any case in which a law of the United States authorizes an oath to be administered, that he will testify, declare, depose, or certify truly, or that any written testimony, declaration, deposition, or certificate by him subscribed, is true, wilfully and contrary to such oath states or subscribes any material matter which he does not believe to be true is guilty of perjury and shall, except as otherwise expressly provided by law, be fined not more than \$2000 or imprisoned not more than five years, or both.

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LIST OF INTERVIEWEES

EXHIBIT

| | |
|--|----|
| ACKER, Brenda, former NSSI Security Manager | 36 |
| BOWMAN, Candace, NSP Nuclear Training Administrator | 95 |
| CLEVELAND, Randy, NSP Fitness-for-Duty Coordinator | 96 |
| CURIALE, Christina, NSSI Security Manager | 40 |
| DAILEY, Robert C., NSSI Manager | 38 |
| EELLS, Thomas R., WEPC Fitness-for-Duty Coordinator | 97 |
| GILL, Eleanor, NSSI Security Investigator | 94 |
| HEFFNER, Sharon NSSI Security Investigator | 93 |
| KLOKER, Walter D., former NSSI Security Manager | 39 |
|  former NSSI Employee | 17 |

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DETAILS OF INVESTIGATION

Purpose of Investigation

This investigation was initiated to determine whether Nuclear Support Services, Inc. (NSSI), deliberately falsified documents sent to Northern States Power Company (NSP) and Wisconsin Electric Power Company (WEPC) corporate security representatives to allow NSSI employees to gain unescorted access to the Prairie Island Nuclear Generating Plant (Prairie Island) and Point Beach Nuclear Plant (Point Beach) with full knowledge that all required access authorization screening requirements were not being completed in several cases. Also, it was requested to determine if management of any of the involved parties was culpable in the transfer of false information. During the investigation an additional allegation surfaced regarding an alleged material false statement made to an Office of Investigations (OI), Region III (RIII), investigator.

Background

On November 14, 1991, the Regional Administrator, U.S. Nuclear Regulatory Commission (NRC), RIII, requested an investigation (Exhibit 1). On April 12, 1991, the fitness-for-duty officer for NSP learned from a contractor (Bartlett Nuclear, Inc. (BNI)) that a certain health physicist, who worked at Prairie Island from August 1990 to September 1990 while an employee with another contractor (NSSI), had previous drug positive pre-access tests at other utilities. NSP, who alleged that they were unaware of the information, contacted the NSSI Manager of Security. NSSI notified NSP that they (NSSI) were aware of the information, and that this information was submitted to someone at Prairie Island prior to the unescorted access request. NSP also learned that NSSI allegedly had evidence of the employee being rehabilitated.

NSSI notified NSP that the employee, upon leaving Prairie Island, went to WEPC Point Beach. NSSI alleged that Point Beach was also aware of the same information. In subsequent investigations conducted by both NSP and WEPC (Exhibits 2-5), no documentation nor evidence was developed to substantiate NSSI's claim that both licensees were notified of the employee's positive drug tests prior to granting unescorted access.

On July 15, 1991, NSP reported the event to the NRC via the Emergency Notification System, and on August 14, 1991, they filed a Licensee Event Report with the NRC (Exhibit 2). On August 14, 1991, WEPC filed a Licensee Event Report with the NRC (Exhibit 4).

Coordination with the NRC Staff

On December 12, 1991, Investigator Anderson met with Gary PIRTLE, Plant Protection Analyst, RIII, and reviewed the following documents:

NSSI's Security Screening Program, Revision 8, dated December 19, 1989 (Exhibit 6); WEPC Contract No. 166593, dated June 14, 1990 (Exhibit 7); WEPC Contractual Requirements, Revision 0, dated January 3, 1990 (Exhibit 8); WEPC Contractor Security Requirements, Revision 6, dated January 3, 1990 (Exhibit 9); NSP Purchase Order No. P60828MB, dated September 7, 1989 (Exhibit 10); NSP Contractor Access Authorization Procedure, Revision 9, undated (Exhibit 11); NSP Fitness For Duty Requirements, Revision 8, undated (Exhibit 12).

On May 29, 1992, an Enforcement Board comprised of RIII Staff was convened and a conference call was made to NRC Headquarters. The decision was made to proceed with the investigation with an emphasis placed on all violations that occurred subsequent to January 1, 1990.

On January 13-14, 1993, PIRTLE and Anderson flew to NSSI corporate headquarters and reviewed audits that were conducted by various utilities of the NSSI security screening program. The results of this review are incorporated in the evidence section of this report.

Allegation No. 1: Alleged Deliberate Falsification of Documents to Conceal Derogatory Information

Summary

The following individuals were interviewed by OI:RIII on the dates indicated regarding the allegation that the security manager of NSSI deliberately falsified documents to conceal derogatory information of NSSI health physicists who were working at NSP's Prairie Island and WEPC's Point Beach. The pertinent testimony provided by these individuals is documented in the evidence section of this report.

| <u>Name</u> | <u>Position</u> | <u>Date of Interview(s)</u> |
|-----------------|-----------------------------------|-----------------------------|
| Thomas R. EELLS | WEPC Fitness-for-Duty Coordinator | September 11, 1992 |
| Randy CLEVELAND | NSP Fitness-for-Duty Coordinator | September 16, 1992 |
| Candace BOWMAN | NSP Nuclear Training | September 16, 1992 |
| Sharon HEFFNER | NSSI Security Investigator | November 19, 1992 |
| Brenda ACKER | Former NSSI Security Manager | November 19, 1992 |
| Eleanor GILL | NSSI Employee | January 13, 1993 |

| | | |
|-------------------|---------------------------------|------------------|
| Robert C. DAILEY | NSSI Manager | January 13, 1993 |
| Christina CURIALE | NSSI Security Manager | January 13, 1993 |
| [REDACTED] | Former NSSI Employee | February 9, 1993 |
| Walter D. KLOKER | former NSSI Security Manager | April 16, 1992 |

Evidence

1. [REDACTED] made an application for employment with NSSI in March 1989 (Exhibit 13).
2. [REDACTED] wrote "No" on his application to the question, "Is there anything in your background that would preclude you from obtaining a security clearance?" (Exhibit 13, p. 2).
3. [REDACTED] listed on his application that he was unemployed from September 1987 to January 5, 1988, and from December 21, 1988, to present (March 1989) (Exhibit 13, p. 4).
4. NSSI background investigation, conducted by HEFFNER, verified his exact unemployment dates as December 21, 1988, to present (March 1989) and September (no day) 1987 to January 5, 1988. These exact dates were verified during five interviews conducted by HEFFNER in March 1989 (Exhibit 14, pp. 2, 4, 6, 8, 10).
5. [REDACTED] supplied to NSSI, at the time of his application, his certificate for his associate degree from Texas State Technical Institute, dated November 22, 1987 (Exhibit 15).
6. HEFFNER verified, during her background investigation of [REDACTED], that [REDACTED] attended Texas State Technical Institute from May 1986 to November 1987 (Exhibit 16).
7. [REDACTED] stated that he notified the NSSI recruiter at the time he applied in March 1989 that he had three failures for drug tests at utility companies in 1987. [REDACTED] stated that he did not mention the failure at R. E. Ginna Nuclear Power Plant (Ginna) in 1989 because he was told that the results were inconclusive (Exhibit 17).
8. On March 23, 1989, NSSI requested a nuclear security clearance for [REDACTED] at NSP Prairie Island. The standard form stated, "A review of our records and other information available, disclosed no evidence of emotional instability, aberrant behavior, untrustworthiness, or unreliability." There was no comment regarding previous past positive tests at any utility company (Exhibit 18).

9. ██████ was employed at the Prairie Island site from March 20, 1989, to April 14, 1989 (Exhibit 19, pp. 1-2).
10. Subsequent investigation in 1991 revealed that ██████ had tested positive at Salem Nuclear Generating Station (Salem) on October 27, 1987 (Exhibit 20, p. 2; Exhibits 21-22), Millstone Nuclear Power Station (Millstone) in November 1987 (Exhibits 21-22; Exhibit 23, p. 2), Perry Nuclear Power Plant (Perry) in December 1987 (Exhibits 21-22; Exhibit 24, pp. 2-3), and Ginna on February 10, 1989 (Exhibit 20, p. 2; Exhibits 21-22).
11. On August 18, 1989, ██████ reapplied for employment with NSSI (Exhibit 25, p. 1).
12. On September 6, 1989, unescorted access was requested for ██████ at Arkansas Nuclear One by NSSI. No mention was made of previous past positive tests (Exhibit 26).
13. ██████ was employed at Arkansas Nuclear One from September 18, 1989, to December 19, 1989 (Exhibit 19, pp. 3-4).
14. On March 9, 1990, ██████ reapplied for employment with NSSI. At that time ██████ acknowledged that he had tested positive regarding fitness-for-duty (FFD) policy 2 1/2 years before. This information was taken by Kim (SMITH) (Exhibit 25, p. 2).
15. ██████ submitted to NSSI a drug assessment, dated March 12, 1990, from the Phoenix Center (Exhibit 27). A background investigation was initiated by NSSI but was discontinued when ██████ withdrew. There was no information developed in the background investigation regarding the previous positive drug tests (Exhibit 28).
16. On August 17, 1990, ██████ reapplied for employment with NSSI. At that time ██████ again acknowledged that he had tested positive regarding FFD policy 2 1/2 years before. This information was taken by Kim (SMITH) (Exhibit 25, p. 3).
17. The updated background investigation conducted by NSSI on ██████ did not list any information regarding the previous positive drug tests (Exhibit 29).
18. On August 29, 1990, NSSI, under DAILEY's signature, requested unescorted access for ██████ at NSP's Prairie Island. There was no mention on the request that there were previous positive tests regarding ██████ (Exhibit 30).
19. In September 1990, ██████'s file was updated, and ██████ listed, "Rehabilitation" when asked if he ever received psychological or psychiatric treatment. ██████ also listed "No" when asked if he had

ever illegally possessed or used marijuana or other controlled substances. Internal NSSI documents did not reveal any follow-up information on the previous listed positive drug test (Exhibit 31, p. 3).

20. On October 2, 1990, NSSI, under ACKER's signature, requested unescorted access for ██████ at WEPC's Point Beach. There was no statement on the request indicating that there were previous positive tests regarding ██████ (Exhibit 32).
21. ██████ informed WEPC's Point Beach that he had previously been denied authorization for unescorted access (Exhibit 33).
22. ██████ was at Point Beach from October 2, 1990 to November 16, 1990 (Exhibit 19, pp. 7-8).
23. ██████'s file was again updated on January 2, 1991. This time the answer "Not" was listed for the question regarding previous positive tests for the FFD question. This information was taken by DAILEY (Exhibit 25, p. 4).
24. On January 7, 1991, NSSI, under DAILEY's signature, requested unescorted access for ██████ at WEPC's Point Beach. There was no statement on the request indicating that there were previous positive tests regarding ██████ (Exhibit 34).
25. ██████ again informed WEPC's Point Beach that he had previously been denied authorization for unescorted access (Exhibit 35).
26. ██████ was at Point Beach from January 7, 1991, to May 17, 1991, and from June 17, 1991, to July 5 1991 (Exhibit 19, pp. 8-11).

INVESTIGATOR'S NOTE: ACKER was manager of security at NSSI in 1988 and 1989 (Exhibit 36, p. 5); DAILEY was manager of security at NSSI from November 23, 1989, to April 1991 (Exhibit 37; Exhibit 38, pp. 4-5); KLOKER was manager of security at NSSI from April 1991 to February 1992 (Exhibit 39, pp. 9, 37); and CURIALE was manager of security at NSSI from May 1992 to the present (Exhibit 40, pp. 6-7).

27. On April 12, 1991, CORBETT from BNI telephonically contacted SCHROEDER from NSP regarding ██████'s past positive drug test at Millstone, Salem, and Perry during 1987 (Exhibit 2, p. 3; Exhibit 41, p. 8).
28. On April 16, 1991, CLEVELAND and SCHROEDER, from NSP, telephonically contacted DAILEY regarding ██████. DAILEY told NSP that NSSI was aware of the past positive drug tests of ██████, but that he, DAILEY, had notified someone in security at Prairie Island of the derogatory information and had been given the go ahead to request access for

██████████ According to documents furnished OI:RIII, there had been no previous contact with either SCHROEDER or CLEVELAND, NSP's FFD Coordinator, regarding TAYLOR (Exhibit 2, pp. 3-4; Exhibit 3, p. 2; Exhibit 41, p. 7).

29. Documents provided OI:RIII, indicate that on April 16, 1991, DAILEY was instructed to submit evidence of rehabilitation of ██████████ along with other supporting documents (Exhibit 3, p. 2; Exhibit 41, p. 6).
30. On May 8, 1991, CLEVELAND noted that he had contacted security personnel at Prairie Island regarding ██████████. The note file of CLEVELAND reflects that none of the individuals contacted recalled receiving information from NSSI regarding ██████████ (Exhibit 42).
31. On July 2, 1991, according to documents obtained by OI:RIII, CLEVELAND again telephonically contacted DAILEY requesting information on ██████████ (Exhibit 3, p. 2; Exhibit 41, p. 5).
32. In a July 5, 1991, letter to CLEVELAND, DAILEY stated that he recalled notifying "Candice" (BOWMAN) of ██████████'s history. DAILEY also wrote, "I would agree that I was at fault for not complying with NSP Program in that I failed to notify the NSP Fitness For Duty Coordinator in writing prior to placing Mr. ██████████ at [Prairie Island]" (Exhibit 43).
33. Documents obtained by OI:RIII indicate that on July 8, 1991, NSP received from NSSI the 1990 letter of drug assessment for ██████████ from the Phoenix Center (Exhibit 3, pp. 2-3; Exhibit 27; Exhibit 41, p. 4; Exhibit 44).
34. On July 12, 1991, according to correspondence furnished OI:RIII, KLOKER notified EELLS regarding ██████████'s possible FFD violations (Exhibit 4, p. 3; Exhibit 5, p. 3; Exhibit 45).
35. A memorandum dated July 15, 1991, reflects that KLOKER interviewed ██████████ and learned of the additional positive drug test at Ginna in 1989 besides the three positive tests in 1987. According to the memorandum, when asked why he listed "unemployed" for those specific periods of time, ██████████ stated that he was told by NSSI personnel, at the time he was applying for a position, to only list jobs that he (██████████) held for longer than 30 days (Exhibit 46, p. 1).
36. In a letter dated July 15, 1991, NSSI notified WEPC that ██████████ had four previous positive drug tests. WEPC advised NSSI that with two or more drug failures, ██████████ would not have been granted access (Exhibit 4, p. 3; Exhibit 5, pp. 2-3; Exhibit 47).
37. In an investigative memorandum dated on July 15, 1991, NSP was notified by NSSI regarding the additional positive test of ██████████ at Ginna in 1989 (Exhibit 3, p. 3; Exhibit 41, p. 2).

38. In a memorandum dated on July 16, 1991, KLOKER notified NSSI President QUICK of the investigation regarding ██████ (Exhibit 48). In the memorandum, KLOKER stated that DAILEY allegedly notified NSP and WEPC prior to requesting access for ██████, but he (KLOKER) wrote, "Again, there is no documentation in the file to support the notification" (Exhibit 48, p. 2).
39. In a memorandum dated July 17, 1991, DAILEY wrote to QUICK regarding the sequence of events surrounding the ██████ incident. DAILEY wrote that he notified CLEVELAND that he (DAILEY) faxed all pertinent information regarding ██████ to BOWMAN; that BOWMAN responded, "that all paperwork seemed in order and there should be no problem with access if the rest of the background was ok" (Exhibit 49, pp. 1-2).
40. In the memorandum, DAILEY wrote that the request to BOWMAN would have been, "NSS has a returnee to Prairie Island from the April, 1989 Spring outage. We are aware that Mr. ██████ had three previous positive FFD violations during late 1987. Will this pose any problems for an August 1990 access?" (Exhibit 49, p. 4).
41. In the memorandum, DAILEY wrote, "All of the same background investigation information was faxed to Mr. Tom Eels (sic), WECO, Point Beach Security prior to requesting access for Mr. ██████ at Point Beach. Mr. Eels (sic) indicated that because the positive tests were almost three years old and Mr. ██████ has successfully passing (sic) several drug screen tests since that time, that WECO, Point Beach would not deny access based only on the positive drug screens that occurred during 1987" (Exhibit 49, p. 2).
42. On July 22, 1991, KLOKER responded by memorandum to DAILEY's report. KLOKER concluded that numerous statements by DAILEY regarding notifying both NSP and WEPC were not substantiated with any documentation in the NSSI files. KLOKER also wrote, regarding the faxed material to BOWMAN and EELLS, that ". . . The Phoenix Center only conducted an assessment on ██████. This has nothing to do with rehabilitation. An acceptable rehabilitation program lasts 30 days at a minimum" (Exhibit 50, p. 1).
43. A letter from DAVIS to KOLLER, dated July 22, 1991, indicated that Onsite Investigations, Inc. (OSI), presented the results of their audit of approximately 300 NSSI files to KLOKER, who had requested the audit for NSSI senior management. Among OSI's findings were: some employment period verifications could not be located; some suitable inquiries could not be located; some periods of unemployment verification could not be located; and the files needed to be organized into some standard structure (Exhibit 39, pp. 26-29; Exhibit 51, pp. 1-2).

INVESTIGATOR'S NOTE: On March 17, 1992, Investigator Anderson flew to NSSI Headquarters, Campbelltown, Pennsylvania, to review files of NSSI employees. Three specific files were requested for

review by Anderson. After considerable time trying to review these files, Anderson requested that all documents be copied and mailed to NRC:RIII headquarters, because the files were in such disarray that no chronological or locational sequence pattern could be ascertained.

44. The letter indicated that the audit identified two NSSI employees who had potential major FFD violations, [REDACTED] and [REDACTED] (Exhibit 51, p. 3).
45. The problem concerning [REDACTED] and [REDACTED] was addressed in memoranda by KLOKER and DAILEY. However, during NSSI's investigation, KLOKER wrote, "I questioned Bob about the files to ascertain what course of action he took prior to issuing a 'good guy' letter. Bob looked a (sic) the files. He then pulled the incriminating papers from the file and put them aside. He said 'if you take these out of the file and make them go away you have no problem.' He went on to add that the MMPI questionnaires are considered medical records and do not belong in the file. This, however, is not correct" (Exhibit 52, p. 1).
46. On July 24, 1991, KLOKER wrote a memorandum addressing DAILEY's contention that all derogatory information on two additional NSSI employees, [REDACTED] and [REDACTED], was telecopied to WEPC. KLOKER wrote that EELLS could find no documentation in WEPC files. Further, KLOKER wrote that EELLS and DAILEY had spoken on several occasions about individuals with FFD problems, but there never was documentation telecopied to WEPC (Exhibit 53).
47. In a letter dated July 24, 1991, KLOKER wrote to EELLS regarding [REDACTED] and [REDACTED] who received unescorted access to WEPC's Point Beach. KLOKER wrote that DAILEY informed him (KLOKER) that the FFD violations regarding the two employees were telecopied to EELLS before the requests were made (Exhibit 54).
48. On August 8, 1991, ERSKINE, the senior vice president for NSSI, wrote a letter to EELLS stating, "The incident was caused by NSS' (sic) former security manager not properly documenting or following up on the receipt of derogatory information and/or material concerning prior Fitness for Duty violations with the appropriate individuals at each station" (Exhibit 55, p. 1).
49. On August 9, 1991, in a letter to EELLS regarding another NSSI employee [REDACTED], who had failed a previous drug test prior to being granted unescorted access to WEPC, KLOKER wrote, "The file has no documentation to show any investigation or follow up of the Fitness for Duty violation information. After a review of the file, Brenda has no recollection of notifying Wisconsin Electric about the derogatory information or any follow up investigation" (Exhibit 56).

50. According to a letter from EELLS to ERSKINE, dated August 13, 1991, EELLS conducted an audit on August 6-7, 1991, of NSSI employee's files that had been granted unescorted access to Point Beach (Exhibit 57). On August 13, 1991, EELLS conveyed to ERSKINE the results of the audit (Exhibit 58). Among the findings: NSSI failed to complete the suitable inquiry on four of the 74 files examined; NSSI failed, in three cases, to give appropriate notice to WEPC of past positive drug/alcohol test results (Exhibit 58, pp. 1-2).
51. In a letter dated September 5, 1991, KLOKER responded to EELLS' audit report by supplying additional information to a number of specific inquiries developed by EELLS (Exhibit 59).
52. A letter from MULLENS to PETITCLAIR dated September 19, 1991, indicated that on August 27-28, 1991, Quality Systems, Inc. (QSI), conducted an audit for NSP of 28 NSSI employee's files that had been granted unescorted access to Prairie Island (Exhibit 60). Among the findings: nine files did not contain self-disclosure forms; 11 files contained inadequate employment verifications; seven files did not have verification of unemployment which exceeded 30 days (Exhibit 60, p. 18).
53. On November 14, 1991, KLOKER responded by letter to QSI's audit report by supplying additional information to a number of specific inquiries developed by QSI (Exhibit 61).

INVESTIGATOR'S NOTE: Evidence Items 54-62 have to do with [REDACTED] (mentioned in Item 47) who was employed by NSSI at WEPC's Point Beach.

54. A NSSI Security Questionnaire, dated September 22, 1989, indicated that [REDACTED] applied for employment with NSSI (Exhibit 62).
55. In three Education Reference Check forms attached to the September 1989 background investigation of [REDACTED], verification was made by RHOADS of Lake Michigan Golf Hills, Western Michigan University, and the Academy of IRM. All three forms were signed by RHOADS on September 27, 1989, but the review by DAILEY was not signed until March 20, 1991 (the date of [REDACTED]'s second application with NSSI) (Exhibit 63, pp. 1-2, 4).
56. According to an Employee Status Form, [REDACTED] was assigned to Palisades Nuclear Station (Palisades) on September 25, 1989 (Exhibit 64). However, a controlled substance report indicated that [REDACTED] tested positive for cannabinoids (Exhibit 65), and as indicated on an Employee Status Form was terminated from employment with NSSI on September 27, 1989 (Exhibit 66).

INVESTIGATOR'S NOTE: On June 22, 1990, [REDACTED] was employed by Applied Radiological Control (ARC), who requested unescorted access at Indiana Michigan Power Company's D.C. Cook Nuclear Power

Plant (D.C. Cook). The letter sent by ARC stated ". . . no indications of substance abuse" (Exhibit 67). On June 22, 1990, a Personnel Security Form indicated that ██████ self-disclosed to D.C. Cook on Fitness for Duty document his previous access authorization revocation at Palisades (Exhibit 68). However, ██████ was badged and worked at D.C. Cook from June 22, 1990, to December 10, 1990 (Exhibit 69).

57. A Security Screening Updated Form dated March 7, 1991, indicated that ██████ reapplied with NSSI for employment (Exhibit 70, p. 1).
58. On March 12, 1991, according to the Security Screening Updated Form, ██████ self-disclosed to NSSI his pre-access positive test at Palisades (Exhibit 70, p. 2).
59. The Security Screening Updated Form indicated that during the background investigation, SMITH verified that ██████ had tested positive while employed with NSSI in 1989 (Exhibit 70, p. 3).

INVESTIGATOR'S NOTE: Found in the NSSI file for ██████ were two letters from LifeBack, a substance abuse center in Michigan City, Indiana, dated February 22, 1990, and March 4, 1991. Both letters were for assessment of possible chemical dependency for ██████. Both letters were addressed to BNI, Plymouth, Massachusetts (Exhibits 71-72).

60. In a letter dated March 20, 1991, DAILEY requested unescorted access for ██████ at WEPC's Point Beach. The request stated, "This person has not been denied access at any other nuclear power plant under a fitness for duty program . . ." (Exhibit 73).
61. On a PBNP Authorization Form for Unescorted Access, dated March 14, 1991, ██████ self-disclosed to WEPC that he had previously been denied authorization for unescorted access (Exhibit 74, p. 2).
62. A NSSI Employee Status Forms, dated March 8 and May 6, 1991, indicated that ██████ worked at Point Beach from March 11 to May 5, 1991 (Exhibit 75, pp. 1-2).

INVESTIGATOR'S NOTE: Evidence Items 63-77 have to do with ██████ (mentioned in Item 47) who was employed by NSSI at WEPC's Point Beach.

63. According to a NSSI Security Questionnaire, ██████ applied for employment with NSSI January 1, 1984 (Exhibit 76).
64. Information contained in a NSSI Security Questionnaire Update Form indicated that on November 18, 1988, ██████ reapplied for employment with NSSI (Exhibit 77).

65. A NSSI Employee Status Form, dated On November 28, 1988, reflects ██████ was assigned by NSSI to Oyster Creek Nuclear Power Plant (Oyster Creek) (Exhibit 78); however, according to another NSSI Employee Status Form, he was discharged from employment with NSSI on December 5, 1988, because he failed a drug screen at Oyster Creek (Exhibit 79).
66. An NSSI Security Questionnaire, dated March 11, 1991, indicated that ██████ reappplied to NSSI for employment, self-disclosing on his application that he had failed a drug screen at Oyster Creek in October 1988 (Exhibit 80, pp. 2, 5-6).
67. ██████ listed his previous employment on a handwritten form (Exhibit 81). On this form he listed employment at ATCON, Inc., from August 28, 1989, to September 5, 1990 (Exhibit 81, p. 1).
68. On an Employment Verification Sheet dated March 18, 1991, HEFFNER listed a phone interview with WARE of ATCON (ATCON) verifying employment for ██████ at ATCON from August 28, 1989, to September 5, 1990. DAILEY reviewed the information on March 20, 1991 (Exhibit 82, p. 1).

INVESTIGATOR'S NOTE: Investigator Anderson attempted to contact ATCON; however, ATCON is out of business.

69. On an Employment Verification Sheet dated March 18, 1991, GILL listed a phone interview with SUE of BNI verifying employment for ██████ at Clinton Power Station (Clinton) from February 5, 1990, to March 30, 1990 (██████ was also verified at ATCON during this period of time); Perry from April 23, 1990, to April 29, 1990 (██████ was verified at ATCON during this period of time); and Oconee Nuclear Station (Oconee) from October 22, 1990, to November 30, 1990. Allegedly, ██████ was laid off at each site but was eligible for re-hire. ██████ reviewed this information on March 20, 1991 (Exhibit 82, pp. 2-3).
70. Information contained on an Employment Form dated March 9, 1992, which was received by the NRC from BNI showed that ██████ was employed at Clinton from February 5, 1990, to March 30, 1990, with the reason for leaving - reduction in force; Oconee from April 23, 1990, to April 29, 1990 (GILL verified ██████ at Perry during this period of time), with the reason for leaving - terminated; and Perry from October 22, 1990, to November 30, 1990 (██████ verified ██████ at Oconee during this period of time) with the reason for leaving - reduction in force (Exhibit 83, p. 2).
71. The BNI informational sheet on ██████ indicated that ██████ was fired at Oconee for sleeping on the job (Exhibit 83, p. 1). Information received from Peter K. VAN DOREN, NRC Senior Resident Inspector at Oconee verified that ██████ was fired before being badged for sleeping on the job (Exhibit 84, pp. 1, 3).

72. An Exit Processing Form received by the NRC from Clinton revealed that ██████ was terminated from employment on March 30, 1990, for cause (Exhibit 85).
73. ██████, on his application to Clinton, listed that he was on vacation from November 25, 1988, to January 1989 (the period of time that he failed the drug test at Oyster Creek) (Exhibit 86, p. 4). ██████ also checked "No" when asked if he ever was denied access at a nuclear power plant or had ever tested positive for drugs (Exhibit 86, p. 8).
74. Handwritten notes of an interview between Clinton personnel and ██████, reflect that ██████ denied being terminated from Oyster Creek for a positive drug test. ██████ maintained that he quit due to family problems (Exhibit 87, pp. 1-2).
75. In a letter from DAILEY to MEYER, dated March 20, 1991, DAILEY requested unescorted access for ██████ at WEPC's Point Beach stating, "The screening disclosed no adverse character traits . . . This person has not been denied access at any other nuclear power plant under a fitness for duty program . . ." (Exhibit 88).
76. In a PBNP-Authorization for Unescorted Access, dated March 14, 1991, ██████ self-disclosed to WEPC that he had been previously denied authorization for unescorted access to a nuclear power plant (Exhibit 89, p. 2).
77. An Employee Status Form indicates that ██████ was employed by NSSI at WEPC's Point Beach from March 11, 1991, to April 27, 1991 (Exhibit 90, pp. 1-2).

INVESTIGATOR'S NOTE: ██████ was referred for a chemical assessment by BNI on September 10, 1990, due to a potential alcohol problem while he was at River Bend Station. The information was held by BNI. There was no record of this information being passed on to NSSI nor was there a record that NSSI requested ██████ to be assessed or treated for his previous drug problem (Exhibit 91, p. 4).

78. KLOKER acknowledged that he found ACKER, DAILEY, and the other two investigators at NSSI untrained in background investigations (Exhibit 39, pp. 10-13, 15, 34-35).
79. KLOKER stated that NSSI admitted that their security personnel lacked knowledge in background investigations, that is why he was hired (Exhibit 39, pp. 13-14).
80. KLOKER acknowledged that when the investigators resisted his change, he replaced them with NSSI upper management approval (Exhibit 39, pp. 16-17, 19).

81. KLOKER acknowledged he became involved with the [REDACTED] situation when CLEVELAND from NSP could not get a response from DAILEY (Exhibit 39, pp. 22-23).
82. KLOKER acknowledged that he didn't know why DAILEY did not resolve the [REDACTED] matter with NSP between May and July (1991). However, KLOKER said when he pulled the [REDACTED] file, he (KLOKER) noticed 3 x 3 Post-it notes (Exhibit 92, pp. 1-2) "with handwritten notes regarding some fitness for duty violations at other plants and other things" (Exhibit 39, pp. 23-26).

INVESTIGATOR'S NOTE: The 3 X 3 Post-it note that KLOKER referred to contained the following information:

[REDACTED]
1st Ginna - January 1988
2nd Ft. Calhoun - September 1988
NSP Access Request 8/29/90, 2 yr time period
Rehab - By Pheonix Center
Faxed to Candice Bowman 8/20/90 - ok

This information does not correspond with the past positive of [REDACTED] (see Item 10).

83. KLOKER acknowledged that he wrote his July 22 (1991) memorandum, to KOLLER (Exhibit 50) because of upper management's concern regarding DAILEY's memorandum (Exhibit 49). KLOKER stated he was asked to see ". . . what was true and if anything had been misrepresented . . ." (Exhibit 39, p. 27).
84. KLOKER stated that once management knew there was a potential problem, they consented to OSI conducting an audit (Exhibit 51) of the people who had been badged at NSP and WEPC (Exhibit 39, pp. 28-29).
85. Regarding his July 22, 1991, memo to KOLLER (Exhibit 52), KLOKER stated, "He [DAILEY] went through the file and I remember him saying, yes, this doesn't look good, and he had the files and he took the paper work that I call incriminating, things that didn't add up and shouldn't have been there, or should have been addressed, and he . . . pulled it out of the file and put it in on his desk. He said to me, if you destroy these, you have no problem. The first thing I did was, I said, no more. I took the papers that he had put in a pile, put them back in their folders and I left and I went up to Fred ER(sic)skine's office and told Fred what had just happened" (Exhibit 39, pp. 29-30).
86. KLOKER stated that DAILEY felt that NUMARC 8901 was senseless and ". . . just a very loosely written, vague guideline" (Exhibit 39, pp. 36-37).

87. KLOKER acknowledged that even though NSSI upper management did not know what to do with the problem, they did not hinder or restrict him (KLOKER) in his investigation (Exhibit 39, p. 31).
88. ACKER confirmed that she had no formal training or previous experience in conducting background investigations (Exhibit 36, pp. 6-7).
89. ACKER acknowledged that any audits of NSSI background investigations were merely making sure all forms were done, not verifying the accuracy of the information on the forms (Exhibit 36, pp. 7-8).
90. ACKER stated that NSSI investigators could be working on up to 400 applications in any given three to four month period (Exhibit 36, pp. 8-9).
91. ACKER acknowledged that if an investigator developed derogatory information on an applicant (especially a FFD problem), then that particular sheet would have a paper clip placed on it. The manager requesting the access would then review the paper clipped sheet (Exhibit 36, pp. 22, 26).
92. HEFFNER confirmed that she was hired for part time reference calling, that she had no investigative experience, and that she received no training (Exhibit 93, p. 4).
93. HEFFNER stated that she merely read questions from the reference sheet and recorded the answers (Exhibit 93, p. 5).
94. HEFFNER acknowledged that she would read the dates listed by the applicant to the reference for confirmation, just as she was told to do (Exhibit 93, p. 7).
95. Regarding [REDACTED] (see Item 68), HEFFNER acknowledged that the date of employment at ATCON was given by WARE of ATCON, and that she did not fill in the date ahead of time (Exhibit 93, pp. 14-15, 17).
96. HEFFNER confirmed that an applicant package would not be returned to DAILEY by the various NSSI investigators working on it until all employment and unemployment dates were verified. HEFFNER acknowledged that it was not her responsibility at the conclusion of the verification to review the other dates obtained by other investigators to make sure everything was in order. According to HEFFNER, it was DAILEY's responsibility to assure that (Exhibit 93, pp. 18-19).

INVESTIGATOR'S NOTE: On November 5, 1992, Investigator Anderson telephonically contacted GILL and set November 19, 1992, to interview her at Campbelltown, Pennsylvania.

On November 18, 1992, Investigator Anderson learned that GILL suffered a heart attack shortly after the November 5, 1992, communication.

On December 21, 1992, after a number of telephone contacts with GILL's attorney, Stephen GROSE, Investigator Anderson drafted a number of questions to GROSE for GILL. On January 13, 1993, GROSE took an affidavit from GILL with the questions supplied by Anderson. On January 13, 1992, GROSE supplied that affidavit (Exhibit 94) to Anderson at Campbelltown, Pennsylvania.

97. GILL confirmed that her training was on-the-job training (Exhibit 94, p. 2).
98. When asked about FFD qualifications, GILL lacked specific knowledge (Exhibit 94, p. 2).
99. GILL stated that when verifying dates of employment, the dates listed on the form came directly from the employer (Exhibit 94, pp. 2-3).
100. Regarding ██████'s employment with BNI (see Item 69), GILL confirmed that all dates and locations she listed on the employment form came directly from BNI (Exhibit 94, pp. 3-4).
101. DAILEY acknowledged that he had no formal training regarding security matters but did receive on-the-job training from ACKER (Exhibit 38, p. 5).
102. DAILEY stated that his security investigators were trained before his appointment as Security Manager (Exhibit 38, pp. 5-6).
103. DAILEY said that when the suitable inquiry portion of 10 CFR was instituted in 1990, he had a discussion with his investigators about it ". . . at some portion of a day, plus ongoing, as needed" (Exhibit 38, pp. 6-7).
104. DAILEY indicated that his investigators could be working on as many as 500 to 600 applicants at a time, but that they would try to generally finish one utility customer's request before starting on another customer's request (Exhibit 38, pp. 12-13).
105. DAILEY acknowledged that he would review the finished NSSI applicant files for completeness, comparing the obtained information against what was required by each utility. If there was a discrepancy, he would do follow-up calls for clarification. Two others, ACKER and BAIRD, also had the authorization to assist (Exhibit 38, pp. 17-20).
106. When questioned about the discrepancies of ██████'s background information and his (██████) signature as reviewer (see Items 65-74),

DAILEY replied, "These files are considerably different than their configuration during my appointment as the manager of security . . . It is going to be difficult to know exactly what was done because the files are not in the same condition as they were . . . Is there a problem with the gentleman having two employers at one time? . . . It is very easy to hide past history" (Exhibit 38, pp. 20-27).

107. When asked if he made follow-up phone calls, DAILEY replied, "No, I didn't have time. There wasn't enough time in a day to challenge the information as being not done unless there was a problem" (Exhibit 38, p. 32).
108. When questioned about notifying WEPC regarding ██████'s history, DAILEY stated, "I am sure there would have been verbal discussion with Tom [EELLS] about the incident and also whether or not there was any rehabilitation because if there was no proof of rehabilitation, then the person would not be eligible" (see Item 75 and Investigator's Note after Item 77) (Exhibit 38, pp. 33, 38-39).
109. When asked if the (NSSI) files indicated any notification to EELLS that ██████ had derogatory information in his background (see Items 64-65), DAILEY replied, "I haven't come across anything at this point, but I don't recall anything, no; not at this time" (Exhibit 38, p. 40).
110. DAILEY acknowledged that he tracked information with Post-it notes, but could not find any notes in the ██████'s file; however, he reiterated that the files were different (Exhibit 38, pp. 41, 43-44).
111. DAILEY acknowledged that the "good guy letter" (see Items 20, 60, 75) sent to WEPC had to be verbatim and identical, that it could not be altered, that any problems identified were communicated strictly verbal and ". . . that is just the way it was" (Exhibit 38, pp. 45, 74-75).
112. When questioned regarding notification to WEPC of derogatory information on ██████ (see Item 56), DAILEY acknowledged that he probably notified WEPC of the information, but he had no documentation of the notification nor proof of rehabilitation because, "Again, these files -- these are not the same files as were when I was in charge of security" (Exhibit 38, pp. 50-52).
113. When asked if the file was complete, DAILEY responded, "Again, these are not the same files that I had" (Exhibit 38, p. 53).
114. When DAILEY was asked if he verified the past positives of ██████ (see Items 7, 10, 14 through 17), he replied, "He [██████] disclosed that he had previous. It has already been verified-- or already been noted that he had . . . No, he had already disclosed the fact that he had a prior . . . I don't believe an inquiry would be necessary. He already told me

that he testified positive. What am I verifying? That he tested positive?" (Exhibit 38, pp. 58-67).

115. When asked if he knew who notified WEPC of ██████'s previous positive tests, DAILEY stated, "I don't know" (see Item 41) (Exhibit 38, pp. 72-73).
116. When asked who he notified at NSP regarding ██████'s past positives, DAILEY responded that he notified BOWMAN verbally and then sent by fax the proof of rehabilitation from the Phoenix Center (see Item 42) (Exhibit 38, pp. 77-79).
117. When questioned why he did not contact CLEVELAND, the FFD Coordinator at NSP, DAILEY stated, "I discussed it with Randy [CLEVELAND] . . . I had talked to Randy Cleveland, I know, after the fact but I don't recall before the fact. Most of my dealings were with Candy Bowman who was our point of contact for NSP" (Exhibit 38, pp. 78-79).
118. DAILEY further stated, "Yes, Ms. Bowman was notified at Prairie Island and why Prairie Island did not keep notes, I can't answer on their behalf . . . Bowman was over security or was my point of contact for security for Prairie Island Station . . ." (Exhibit 38, pp. 82-83).
119. When questioned regarding KLOKER's statement about DAILEY removing material from a file (see Item 45, 85), DAILEY stated, "As far as I am concerned, yes; most definitely, it is an inaccurate statement" (Exhibit 38, pp. 84-85).
120. When asked if he had any hard copies to verify notification of ██████ at NSP or ██████ and ██████ at WEPC, DAILEY acknowledged, "Not that I can find in these new files" (Exhibit 38, pp. 88-89).
121. When asked regarding his knowledge of the FFD program, DAILEY stated, "Pardon me for saying, but when the implementation of 10 CFR 26 was done shoddily in my view; there was too much gray as far as that and every utility had their own twist . . . I will come right out and say it -- blackballing was outlawed in what, 1908? You are not allowed to blackball. With the implementation of 10 CFR 26, anybody -- and contractor at some utilities who had a positive fitness-for-duty, whether or not there was rehabilitation and clean history after the fact, were essentially blackballed from the utility -- from the industry" (Exhibit 38, pp. 15-16).
122. BOWMAN acknowledged that she did not have day-to-day contact with NSSI (Exhibit 95, p. 3).
123. BOWMAN, when asked if NSSI had contacted her in the past regarding any individuals, replied, "Not that I remember" (Exhibit 95, p. 4).

124. When asked if she was ever contacted by DAILEY, by whatever means, regarding derogatory information on ██████████, BOWMAN replied, "No, I was not" (Exhibit 95, pp. 5-6).
125. When asked if she ever worked at Prairie Island, BOWMAN replied, "No" (Exhibit 95, p. 6).
126. When asked who NSSI should have contacted at NSP regarding derogatory information on applicants, BOWMAN replied, "They were to contact Dave Schroeder or Randy Cleveland with any derogatory information" (Exhibit 95, p. 4).
127. CLEVELAND stated that he was the contact at NSP whom a contractor should have notified regarding any suitable inquiry records (Exhibit 96, p. 3).
128. CLEVELAND acknowledged that a past positive did not automatically deny access, but "Had they contacted the fitness-for-duty coordinator they would have been instructed to hold their request for access pending our investigation and determination of management and medical assurance of fitness-for-duty" (Exhibit 96, pp. 7, 10-11).
129. CLEVELAND related that in his investigation in April 1991 of the ██████████ incident, DAILEY told him that he, DAILEY, had contacted someone at Prairie Island regarding ██████████'s background (Exhibit 96, pp. 11-12).
130. According to CLEVELAND, his investigation revealed that no one at Prairie Island had been contacted by DAILEY (Exhibit 96, pp. 12-13).
131. CLEVELAND stated that he requested additional information from DAILEY in April, but the case remained inactive until June 1991. CLEVELAND stated that he again contacted DAILEY, who remembered that, "he [DAILEY] had contacted somebody within our organization by the name of Candy Bowman" (Exhibit 96, pp. 13-14).
132. When asked if it was logical for DAILEY to have contacted BOWMAN, CLEVELAND answered, "No" (Exhibit 96, p. 14).
133. CLEVELAND acknowledged that he was unaware of any derogatory information regarding ██████████ prior to the "good guy" letter being sent (Exhibit 96, pp. 14-15).
134. EELLS acknowledged that he had no form of communication with DAILEY regarding derogatory information on ██████████ ██████████, or ██████████ (Exhibit 97, pp. 6-8).
135. CURIALE stated that she has been involved in background investigation since 1986 (Exhibit 40, p. 5).

136. CURIALE acknowledged that shortly after she arrived at NSSI, she conducted training in background investigations for the security people (Exhibit 40, pp. 8, 11-12).
137. CURIALE stated regarding the files, "The files needed to be organized and audited . . . The background investigations and the paperwork and so forth were put in a folder. There was no type of order. It was there but it was in the folder and you had to dig through it and find the information you were looking for" (see Item 43 and the following Investigator's Note)(Exhibit 40, p. 9).
138. CURIALE related that NSSI senior management has been very supportive of the training of NSSI security personnel and reviewing of the NSSI employee files (Exhibit 40, pp. 18-19).

Investigator's Analysis

When ██████ made his initial application to NSSI in March 1989, he did not reveal that he had four past positive tests, even though he claimed that he notified the NSSI recruiter at the time of his application that he had three past positive tests. His explanation for listing unemployment during the time that he tested positive was that he was told not to list any employment less than 30 days in length. Even so, the background investigation, conducted by non-trained NSSI employees, did not reveal any derogatory information on ██████.

██████ reapplied for employment with NSSI in March 1990 and again in August 1990. Both times, ██████ self-disclosed that he had tested positive "2 1/2 years ago." ██████ even submitted a letter of assessment from the Phoenix Center. Yet his personnel file still did not contain any information that revealed that NSSI verified when, where, and why he tested positive.

In August 1990, DAILEY sent a "good guy" letter to NSP requesting unescorted access to Prairie Island. That letter stated there was no derogatory information developed on ██████. When questioned why the letter did not contain the previous past positives, DAILEY explained that the utility companies wanted the "good guy" letters to be verbatim; that there could not be any deviation or altering of the letter. In October 1990 and again in January 1991, DAILEY sent a "good guy" letter to WEPC requesting unescorted access to Point Beach. This letter specifically stated that TAYLOR had not been denied access at any nuclear power plant. Again, no derogatory information was mentioned in the request.

In April 1991, when CLEVELAND at NSP learned of ██████'s potential FFD problems, he contacted DAILEY who advised CLEVELAND that NSSI was aware of the past problems. DAILEY stated that he (DAILEY) had contacted someone at Prairie Island regarding ██████'s previous positive tests. CLEVELAND then requested that DAILEY send the questionable information to him. Not until July 1991 did DAILEY respond to CLEVELAND that BOWMAN at NSP was the one

notified by phone and fax of the previous problems. According to DAILEY, BOWMAN (who was allegedly DAILEY's contact at NSP), after reviewing the information, communicated back to DAILEY that everything was okay. In subsequent testimony, DAILEY stated that he placed the derogatory information regarding ██████ on a 3 X 3 Post-it note which was then placed in ██████'s file. The information on the 3 X 3 Post-it note found in ██████'s file had two locations and dates listed which did not correspond to the actual locations or dates where ██████ failed the drug screen tests.

DAILEY stated, under oath, that he did not know who contacted WEPC regarding ██████'s previous positive tests. However, in a July 1991 letter to QUICK, the NSSI president, DAILEY wrote that all the derogatory information on ██████ was faxed to WEPC and that a reply from EELLS of WEPC was received indicating that there would be no problem with ██████. ██████ did self-disclose to WEPC, on both occasions of employment at WEPC, that he had previously failed a drug test at a nuclear power plant.

It was not until a new security manager at NSSI (KLOKER) questioned ██████ that it was learned that ██████, in fact, had a fourth failure: Ginna in February 1989.

DAILEY did admit to NSP in writing that he was at fault for not complying with NSP's policy by not notifying NSP's FFD Coordinator, which was CLEVELAND. Subsequently, the NSSI senior vice president, ERSKINE, in a letter to EELLS, stated that the problem was caused by DAILEY's lack of properly documenting or following up on receipt of derogatory information. In fact, DAILEY, in sworn testimony, admitted that there was no need to verify derogatory information if the applicant already told him of the past positives. DAILEY stated, "What am I verifying? That he tested positive."

CLEVELAND and BOWMAN, of NSP, and EELLS, of WEPC, testified under oath that they never had any communication with DAILEY regarding ██████'s past positives and that no information regarding previous positives was either mailed or faxed to them.

In a subsequent audit conducted at NSSI by OSI, two additional NSSI employees, ██████ and ██████, were identified with FFD problems. Both individuals failed drug screening tests at nuclear power plants while employed by NSSI. However, when requesting unescorted access to WEPC Point Beach, DAILEY used the standard request letter for both employees. These letters stated that the employees had not been denied access to nuclear power plants, when, in fact, both had been previously denied. The letters did not mention any derogatory information regarding either employee. DAILEY testified that he notified EELLS of the derogatory information on both employees prior to requesting unescorted access but admitted that there was no form of documentation in either individuals' files to substantiate his claim. EELLS denied, under oath, having any discussion with DAILEY regarding derogatory information on either ██████ or ██████.

in the investigation of ██████ by the NRC:OI, it was determined that the background investigation conducted by NSSI had placed ██████ at two different employers at two entirely different locations at the same time over the course of approximately 13 months. DAILEY, who was the reviewer of the background investigation, stated, "Is there a problem with the gentleman having two employers at one time? . . . It is easy to hide past history." The OI investigation also revealed that ██████ had been terminated from employment at Clinton for falsifying his background information and from Oconee for sleeping on the job. NSSI failed to discover this information.

KLOKER wrote to KOLLER, and then testified under oath that DAILEY, when questioned by KLOKER regarding derogatory information in active employee files, stated that if the information was pulled out and set aside, there would be no problem. DAILEY denied this incident.

DAILEY, when asked under oath regarding his knowledge of 10 CFR 26, stated that the regulation was sneakily done, and that it led to blackballing, which he stated was illegal.

DAILEY, when asked if the files were complete, stated, "Again, these are not the same files that I had."

KLOKER and CURIALE stated that senior management did not discourage or interfere with their actions to hire and train new security personnel, or in their attempt to update NSSI employees' files.

Conclusions

Based on the evidence developed during the investigation, it is concluded that DAILEY deliberately provided false information in documents that he sent to NSP and WEPC requesting unescorted access to Prairie Island for ██████ and to Point Beach for ██████, ██████, and ██████. It is concluded that the record falsification was done by DAILEY alone, and not as a result of NSSI senior management's approval or knowledge.

Also, based on the evidence developed during the investigation, it is concluded that neither NSP nor WEPC management, nor any security personnel were involved in the transfer of the false information.

Allegation No. 2: Alleged Deliberate Attempt by the NSSI Former Manager of Security to Mislead an OI Investigator

Summary

The following individuals were interviewed by OI:RIII on the dates indicated. Statements made by the former NSSI Manager of Security during the investigation are alleged to be deliberate attempts to mislead the investigator. The pertinent testimony provided by these individuals is documented in the evidence section of this report.

| <u>Name</u> | <u>Position</u> | <u>Date of Interview</u> |
|------------------|-----------------------------------|--------------------------|
| Thomas R. EELLS | WEPC Fitness-for-Duty Coordinator | September 11, 1992 |
| Randy CLEVELAND | NSP Fitness-for-Duty Coordinator | September 16, 1992 |
| Candace BOWMAN | NSP Nuclear Training | September 16, 1992 |
| Robert C. DAILEY | NSSI Manager | January 13, 1993 |
| [REDACTED] | Former NSSI Employee | February 9, 1993 |

Evidence

1. A letter from ACKER to NSP and the statement of DAILEY reflect that DAILEY was NSSI Manager of Security from November 23, 1989, to April 1991 (Exhibit 37, Exhibit 38, pp. 4-5).
2. A NSSI Security Questionnaire indicated that [REDACTED] made an application for employment with NSSI in March 1989 (Exhibit 13).
3. On this NSSI Security Questionnaire, [REDACTED] wrote "No" as his answer to the question, "Is there anything in your background that would preclude you from obtaining a security clearance?" (Exhibit 13, p. 2).
4. [REDACTED] listed on this same questionnaire on that he was unemployed from September 1987 to January 5, 1988, and from December 21, 1988, to present (March 1989) (Exhibit 13, p. 4).
5. The Telephone Personnel Character Check records indicate that a NSSI background investigation, conducted by HEFFNER, verified [REDACTED]'s exact unemployment dates as December 21, 1988, to present (March 1989) and September (no day) 1987 to January 5, 1988. According to the documents these exact dates were verified during five interviews conducted by HEFFNER in March 1989 (Exhibit 14, pp. 2, 4, 6, 8, 10).
6. [REDACTED] supplied to NSSI, at the time of his application, his Certificate of Associate of Applied Science from Texas State Technical Institute, dated November 22, 1987 (Exhibit 15).
7. According to a Educational Reference Check Form HEFFNER verified, during her background investigation of [REDACTED], that [REDACTED] attended Texas State Technical Institute from May 1986 to November 1987 (Exhibit 16).
8. [REDACTED] stated that he notified the NSSI recruiter at the time he applied in March 1989 that he had three failures for drug tests at utility companies in 1987. [REDACTED] stated that he did not mention the failure at

Ginna in 1989 because he was told that the results were inconclusive (Exhibit 17).

9. Documents obtained by OI indicate that a subsequent investigation in 1991 revealed that ██████ had tested positive at Salem on October 27, 1987 (Exhibit 20, p. 2; Exhibits 21-22), Millstone in November 1987 (Exhibits 21-22; Exhibit 23, p. 2), Perry in December 1987 (Exhibits 21-22; Exhibit 24, pp. 2-3), and Ginna on February 10, 1989 (Exhibit 20, p. 2; Exhibits 21-22).
10. An Update Form, dated March 9, 1990, indicates that ██████ reapplied for employment with NSSI. According to the document ██████ stated that he had tested positive regarding fitness-for-duty (FFD) policy 2 1/2 years before. The document indicates that this information was taken by Kim (SMITH) (Exhibit 25, p. 2).
11. A letter from FULLER reflects that ██████ submitted to NSSI a drug assessment, dated March 12, 1990, from the Phoenix Center (Exhibit 27). An internal security routing slip on ██████ indicates that a background investigation was initiated by NSSI but was discontinued when ██████ withdrew. There was no information developed in the background investigation regarding the previous positive drug tests (Exhibit 28).
12. An Update Form, dated August 17, 1990, indicates that ██████ reapplied for employment with NSSI. According to the document ██████ again stated that he had tested positive regarding FFD policy 2 1/2 years before. The form reflects that this information was taken by Kim (SMITH) (Exhibit 25, p. 3).
13. The Updated Background Investigation, conducted by NSSI on ██████, did not list any information regarding the previous positive drug tests (Exhibit 29).
14. A Request for Nuclear Security Clearance for ██████, dated August 29, 1990, NSSI, under DAILEY's signature, requested unescorted access for ██████ at NSP's Prairie Island. There was no mention on the request that there were previous positive tests regarding ██████ (Exhibit 30).
15. An Internal Security Routing Slip on ██████, dated September 17, 1990, indicates that ██████'s file was updated, and ██████ listed "Rehabilitation" when asked if he ever received psychological or psychiatric treatment. On the form ██████ also listed "No" when asked if he had ever illegally possessed or used marijuana or other controlled substances. Internal NSSI documents did not reveal any follow-up information on the previous listed positive drug test (Exhibit 31, p. 3).
16. A letter dated October 2, 1990, under ACKER's signature, requested unescorted access for ██████ at WEPC's Point Beach. There was no

- statement on the request indicating that there were previous positive tests regarding ██████████ (Exhibit 32).
17. On a PBNP Authorization for Unescorted Access, ██████████ self-disclosed to WEPC's Point Beach that he had previously been denied authorization for unescorted access (Exhibit 33).
 18. NSSI Employee Status Form reflects that ██████████ was at Point Beach from October 2, 1990, to November 16, 1990 (Exhibit 19, pp. 7-8).
 19. According to an Update Form, dated February 2, 1991, ██████████'s file was again updated. This time the answer "Not" was listed for the question regarding previous positive tests for the FFD question. This information was taken by DAILEY (Exhibit 25, p. 4).
 20. In a letter dated January 7, 1991, NSSI, under DAILEY's signature, requested unescorted access for ██████████ at WEPC's Point Beach. There was no statement on the request indicating that there were previous positive tests regarding ██████████ (Exhibit 34).
 21. On a PBNP Authorization for Unescorted Access, ██████████ self-disclosed to WEPC's Point Beach that he had previously been denied authorization for unescorted access (Exhibit 35).
 22. An NSSI Employee Status Form indicates ██████████ was at Point Beach from January 7, 1991, to May 17, 1991, and from June 17, 1991, to July 5, 1991 (Exhibit 19, pp. 8-11).
 23. Various documents received by OI:RIII indicate that on April 12, 1991, CORBETT, from BNI, telephonically contacted SCHROEDER, from NSP, regarding ██████████'s past positive at Millstone, Salem, and Perry during 1987 (Exhibit 2, p. 3; Exhibit 3, p. 1; Exhibit 41, p. 8).
 24. These same documents reflect that April 16, 1991, CLEVELAND and SCHROEDER, from NSP, telephonically contacted DAILEY regarding ██████████. DAILEY told NSP that NSSI was aware of the past positive tests of ██████████, but that he, DAILEY, had notified someone in security at Prairie Island of the derogatory information and had been given the go ahead to request access for ██████████. There had been no previous contact with either SCHROEDER or CLEVELAND, NSP's FFD Coordinators, regarding ██████████ (Exhibit 2, pp. 3-4; Exhibit 3, p. 2; Exhibit 41, p. 7).
 25. In a letter from DAILEY to CLEVELAND, dated July 5, 1991, DAILEY stated that he recalled notifying "Candice" (BOWMAN) of ██████████'s history. DAILEY also wrote, "I would agree that I was at fault for not complying with NSP Program in that I failed to notify the NSP FFD Coordinator in writing prior to placing Mr. ██████████" (Exhibit 43).

26. A memorandum dated July 17, 1991, reflects that DAILEY wrote to QUICK regarding the sequence of events surrounding the [REDACTED] incident. DAILEY wrote that he notified CLEVELAND that he (DAILEY) faxed all pertinent information regarding [REDACTED] to BOWMAN; that BOWMAN responded, "that all paperwork seemed in order and there should be no problem with access if the rest of the background was ok" (Exhibit 49, pp. 1-2).
27. In this same memorandum, DAILEY wrote, "All of the same background investigation information was faxed to Mr. Tom Eels (sic), WECO, Point Beach Security prior to requesting access for Mr. [REDACTED] at Point Beach. Mr. Eels (sic) indicated that because the positive tests were almost three years old and Mr. [REDACTED] has successfully passing (sic) several drug screen tests since that time, that WECO, Point Beach would not deny access based on the positive drug screens that occurred during 1987" (Exhibit 49, p. 2).

INVESTIGATOR'S NOTE: Evidence Items 28-35 are concerning NSSI employee [REDACTED].

28. An NSSI Security Questionnaire, dated September 22, 1989, indicates that [REDACTED] applied for employment with NSSI (Exhibit 62).
29. According to an Employee Status Form, [REDACTED] was assigned to Palisades on September 25, 1989 (Exhibit 64). However, [REDACTED] tested positive for cannabinoids (Exhibit 65) and was terminated from employment with NSSI on September 27, 1989 (Exhibit 66).
30. A Security Screening Update Form dated March 7, 1991, reflect that [REDACTED] reapplied with NSSI for employment (Exhibit 70, p. 1).
31. On this same form, [REDACTED] self-disclosed to NSSI on March 12, 1991, his pre-access positive test at Palisades (Exhibit 70, p. 2).
32. During the background investigation, SMITH verified that [REDACTED] had tested positive while employed with NSSI in 1989 (Exhibit 70, p. 3).
33. In a letter from DAILEY to MEYER, dated March 20, 1991, DAILEY requested unescorted access for [REDACTED] at WEPC's Point Beach. The request stated, "This person has not been denied access at any other nuclear power plant under a fitness for duty program . . ." (Exhibit 73).
34. In a PBNP Authorization for Unescorted Access, dated March 14, 1991, [REDACTED] self-disclosed to WEPC that he had previously been denied authorization for unescorted access (Exhibit 74, p. 2).
35. An NSSI Employee Status Form indicates that [REDACTED] worked at Point Beach from March 14 to May 5, 1991 (Exhibit 75, pp. 1-2).

INVESTIGATOR'S NOTE: Evidence Items 36-42 are concerning NSSI employee DANIEL.

36. A NSSI Security Questionnaire, dated January 1, 1984, reflect that [REDACTED] applied for employment with NSSI (Exhibit 76).
37. An Update Form dated November 18, 1988, indicates that [REDACTED] reapplied for employment with NSSI (Exhibit 77).
38. An NSSI Employee Status Form indicates that on November 28, 1988, [REDACTED] was assigned by NSSI to Oyster Creek (Exhibit 78). However, according to an NSSI Employee Status Form, dated December 5, 1988, [REDACTED] was discharged from employment with NSSI because he failed a drug screen at Oyster Creek (Exhibit 79).
39. An NSSI Security Questionnaire, dated March 11, 1991, reflects that [REDACTED] reapplied to NSSI for employment, self-disclosing on his application that he had failed a drug screen at Oyster Creek in October 1988 (Exhibit 80, pp. 2, 5-6).
40. In a letter dated March 20, 1991, DAILEY requested unescorted access for [REDACTED] at WEPC's Point Beach stating, "The screening disclosed no adverse character traits . . . this person has not been denied access at any other nuclear power plant under a fitness for duty program . . ." (Exhibit 88).
41. On March 14, 1991, [REDACTED] self-disclosed to WEPC on a PBNP Authorization for Unescorted Access that he had been previously denied authorization for unescorted access to a nuclear power plant (Exhibit 89, p. 2).
42. An Employee Status Form indicates that [REDACTED] was employed by NSSI at WEPC's Point Beach from March 11, 1991, to April 27, 1991 (Exhibit 90, pp. 1-2).
43. In a memorandum dated July 24, 1991, KLOKER addressed DAILEY's contention that all derogatory information on the two NSSI employees, [REDACTED] and [REDACTED], was telecopied to WEPC. KLOKER wrote that EELLS could find no documentation in WEPC files. Further, KLOKER wrote that EELLS and DAILEY had spoken on several occasions about individuals with FFD problems, but there never was documentation telecopied to WEPC (Exhibit 53).
44. In a letter dated July 24, 1991, KLOKER wrote to EELLS regarding [REDACTED] and [REDACTED] who received unescorted access to WEPC's Point Beach. KLOKER wrote that DAILEY informed him (KLOKER) that the FFD violations regarding the two employees were telecopied to EELLS before the requests were made (Exhibit 54).

45. When questioned about notifying WEPC regarding ██████'s history, DAILEY stated, "I am sure there would have been verbal discussion with Tom [EELLS] about the incident and also whether or not there was any rehabilitation because if there was no proof of rehabilitation, then the person would not be eligible" (see Allegation 1, Item 75 and Investigator's Note after Item 77) (Exhibit 38, pp. 33, 38-39).
46. When asked if the (NSSI) files indicated any notification to EELLS that ██████ had derogatory information in his background (see Allegation 1, Items 64-65), DAILEY replied, "I haven't come across anything at this point, but I don't recall anything, no; not at this time" (Exhibit 38, p. 40).
47. DAILEY acknowledged that he tracked information with Post-it notes, but could not find any notes in the ██████'s file; however, he reiterated that the files were different (Exhibit 38, pp. 41, 43-44).
48. DAILEY stated that the "good guy letter" (see Allegation 1, Items 20, 60, 75) sent to WEPC had to be verbatim and identical, that it could not be altered, that any problems identified were communicated strictly verbal and ". . . that is just the way it was" (Exhibit 38, pp. 45, 74-75).
49. When questioned regarding notification to WEPC of derogatory information on ██████ (see Allegation 1, Item 56), DAILEY acknowledged that he probably notified WEPC of the information, but he had no documentation of the notification nor proof of rehabilitation because, "Again, these files -- these are not the same files as were when I was in charge of security" (Exhibit 38, pp. 50-52).
50. When asked if the file was complete, DAILEY responded, "Again, these are not the same files that I had" (Exhibit 38, p. 53).
51. When DAILEY was asked if he verified the past positives of ██████ (see Allegation 1, Items 7, 10, 14-17), he replied, "he [██████] disclosed that he had previous. It has already been verified-- or already been noted that he had . . . No, he had already disclosed the fact that he had a prior . . . I don't believe an inquiry would be necessary. He already told me that he testified positive. What am I verifying? That he tested positive?" (Exhibit 38, pp. 58-67).
52. When asked if he knew who notified WEPC of ██████'s previous positive tests, DAILEY stated, "I don't know" (See Allegation 1, Item 27) (Exhibit 38, pp. 72-73).
53. When asked who he notified at NSP regarding ██████'s past positives, DAILEY responded that he notified BOWMAN verbally and then sent by fax the proof of rehabilitation from the Phoenix Center (see Allegation 1, Item 42) (Exhibit 38, pp. 77-79).

54. When questioned why he did not contact CLEVELAND, the FFD Coordinator at NSP, DAILEY stated, "I discussed it with Randy [CLEVELAND] . . . I had talked to Randy Cleveland, I know, after the fact but I don't recall before the fact. Most of my dealings were with Candy Bowman who was our point of contact for NSP" (Exhibit 38, pp. 78-79).
55. DAILEY further stated, "Yes, Ms. Bowman was notified at Prairie Island and why Prairie Island did not keep notes, I can't answer on their behalf . . . Bowman was over security or was my point of contact for security for Prairie Island Station . . ." (Exhibit 38, pp. 82-83).
56. When asked if he had any hard copies to verify notification of ████████ at NSP or ████████ and ████████ at WEPC, DAILEY acknowledged, "Not that I can find in these new files" (Exhibit 38, pp. 88-89).
57. BOWMAN acknowledged that she did not have day-to-day contact with NSSI (Exhibit 95, p. 3).
58. BOWMAN, when asked if NSSI had contacted her in the past regarding any individuals, replied, "Not that I remember" (Exhibit 95, p. 4).
59. When asked if she was ever contacted by DAILEY, by whatever means, regarding derogatory information on ████████, BOWMAN replied, "No, I was not" (Exhibit 95, pp. 5-6).
60. When asked if she ever worked at Prairie Island, BOWMAN replied, "No" (Exhibit 95, p. 6).
61. When asked who NSSI should have contacted at NSP regarding derogatory information on applicants, BOWMAN replied, "They were to contact Dave Schroeder or Randy Cleveland with any derogatory information" (Exhibit 95, p. 4).
62. CLEVELAND stated that he was the contact at NSP that a contractor should have notified regarding any suitable inquiry records (Exhibit 96, p. 3).
63. CLEVELAND acknowledged that in his investigation in April 1991 of the ████████ incident, DAILEY told him that he, DAILEY, had contacted someone at Prairie Island regarding ████████'s background (Exhibit 96, pp. 11-12).
64. CLEVELAND's investigation revealed that no one at Prairie Island had been contacted by DAILEY (Exhibit 96, pp. 12-13).
65. According to CLEVELAND, he requested additional information from DAILEY in April, but the case remained inactive until June 1991. CLEVELAND stated that he again contacted DAILEY, who remembered that "he [DAILEY] had contacted somebody within our organization by the name of Candy Bowman" (Exhibit 96, pp. 13-14).

66. When asked if it was logical for DAILEY to have contacted BOWMAN, CLEVELAND answered, "No" (Exhibit 96, p. 14).
67. CLEVELAND acknowledged that he was unaware of any derogatory information regarding ██████ prior to the "good guy" letter being sent (Exhibit 96, pp. 14-15).
68. EELLS acknowledged that he had no form of communication with DAILEY regarding derogatory information on ██████, ██████, or ██████ (Exhibit 97, pp. 6-8).

Investigator's Analysis

██████, ██████, and ██████ all failed drug tests and were denied access to nuclear power plants. All three self-disclosed this information to NSSI at the time they applied for employment. ██████ did not specify where he failed or when he failed. ██████ and ██████ failed the test while employees of NSSI. DAILEY, in both written and sworn testimony, claimed to have been aware of this information. However, in his written request for unescorted access to NSP for ██████, and to WEPC for ██████, ██████, and ██████, DAILEY did not disclose any derogatory information. DAILEY claimed to have disclosed this information to NSP and WEPC prior to requesting the access.

DAILEY, in a phone conversation with SCHROEDER and CLEVELAND, stated that he told someone at Prairie Island about the past positive on ██████. Later, he stated that he told BOWMAN this information. Then he added that he told BOWMAN, fax the information to her, then received a favorable response from her. Yet, there was no information in ██████'s file as to when he failed or where he failed.

DAILEY, in sworn testimony, stated that he did not recall discussing the derogatory information regarding ██████ with CLEVELAND, who was NSP's FFD Coordinator. He stated that most of his dealing were with BOWMAN, who was his point of contact with NSP. Yet, in April 1991, DAILEY could not remember who he talked to at Prairie Island. BOWMAN never worked at Prairie Island.

DAILEY wrote in July 1991 that he faxed all the information regarding ██████ to EELLS at WEPC. However, in sworn testimony, he did not know who sent the information regarding ██████ to EELLS.

DAILEY wrote that he faxed all derogatory information on ██████ and ██████ to EELLS. However, in sworn testimony, DAILEY acknowledged that he probably discussed the two employees with WEPC but could not find any documentation to substantiate his claim.

In sworn testimony, BOWMAN, CLEVELAND, and EELLS stated that they did not have any discussion or any other form of communication with DAILEY regarding derogatory information on the three NSSI employees. BOWMAN further added that

she did not have any regular contact with NSSI or DAILEY. CLEVELAND stated that there was no logical reason why DAILEY should have contacted BOWMAN.

Conclusions

Based upon the evidence developed during the investigation, it is concluded that DAILEY, the former manager of security, deliberately provided false and misleading information during his sworn testimony to the OI:RIII.

LIST OF EXHIBITS

| <u>Exhibit No.</u> | <u>Description</u> |
|--------------------|--|
| 1 | Region III Request for Investigation, dated November 14, 1991. |
| 2 | Letter from Thomas PARKER to the NRC, dated August 14, 1991. |
| 3 | NSSI, ██████ Reportable Event Chronology, dated September 4, 1991. |
| 4 | Letter from G. J. MAXFIELD to the NRC, dated August 14, 1991. |
| 5 | Investigative Memorandum - Inadequate Security Screening Procedure by EELLS, undated. |
| 6 | NSSI Security Screening Program, Revision No. 8, dated December 19, 1989. |
| 7 | WEPC Contract, No. 166593, dated June 14, 1990. |
| 8 | WEPC Nuclear Power Department Fitness for Duty Program Procedures Manual, Revision 0, dated January 3, 1990. |
| 9 | WEPC Point Beach Contractor Security Requirements, Revision 6, dated January 3, 1990. |
| 10 | NSP Purchase Order No. P60828MB, dated September 7, 1989. |
| 11 | NSP Contractor Access Authorization Procedure, Revision 9, undated. |
| 12 | NSP Fitness for Duty Requirements, Revision 8, undated. |
| 13 | NSSI Security Questionnaire of ██████ undated. |
| 14 | Telephone Personal Character Reference Check for ██████, undated. |
| 15 | Certificate of Associate of Applied Science for ██████, dated November 22, 1987. |
| 16 | Educational Reference Check for ██████, dated March 21, 1989. |

| <u>Exhibit No.</u> | <u>Description</u> |
|--------------------|--|
| 17 | Telephonic Report of Interview with ██████ on February 9, 1993. |
| 18 | Request for Nuclear Security Clearance for ██████, dated March 23, 1989. |
| 19 | NSSI Employee Status Form for ██████, dated March 15, 1989. |
| 20 | Letter from KLOKER to Salem, dated July 15, 1991. |
| 21 | Potential Access Problem for ██████, Reporting Date of February 10, 1992. |
| 22 | Handwritten letter by ██████, dated September 27, 1991. |
| 23 | Letter from KLOKER to WEEKLEY, dated July 15, 1991; reply letter from Leon P. Brown, dated July 29, 1991. |
| 24 | Letter from KLOKER to Perry, dated July 15, 1991; Memo to Personnel File of ██████ from Kloker, dated July 16, 1991; Employment Verification Sheet of ██████ from BNI. |
| 25 | Update Form for ██████, dated August 18, 1989, March 9, 1990, August 17, 1990, and February 1, 1991. |
| 26 | Request for Unescorted Access to Arkansas Nuclear One for ██████, dated September 6, 1989. |
| 27 | Letter from Barbara FULLER of Phoenix Center To Whom It May Concern, dated March 12, 1990. |
| 28 | Internal Security Routing Slip for ██████, dated March 21, 1990. |
| 29 | Employment Eligibility Verification for ██████, dated August 27, 1990. |
| 30 | Request for Nuclear Security Clearance for ██████, dated August 29, 1990. |
| 31 | Internal Security Routing Slip for ██████, dated September 17, 1990. |

| <u>Exhibit No.</u> | <u>Description</u> |
|--------------------|---|
| 32 | Letter from ACKER to MEYER, dated October 2, 1990. |
| 33 | PBNP Authorization for Unescorted Access for [REDACTED], dated October 3, 1990. |
| 34 | Letter from DAILEY to MEYER, Revision #6, dated January 3, 1990. |
| 35 | PBNP Authorization for Unescorted Access for [REDACTED], dated January 7, 1991. |
| 36 | Sworn Statement of ACKER, dated November 19, 1992. |
| 37 | Letter from ACKER to NSP (BOWMAN), dated November 23, 1989. |
| 38 | Sworn Statement of DAILEY, dated January 13, 1993. |
| 39 | Sworn Statement of KLOKER, dated April 16, 1992. |
| 40 | Sworn Statement of CURIALE, dated January 13, 1993. |
| 41 | Log of Contacts. |
| 42 | Note to File by CLEVELAND, dated May 8, 1991. |
| 43 | Letter from DAILEY to CLEVELAND, dated July 5, 1991. |
| 44 | Memorandum from KLOKER to Personnel File of [REDACTED], dated July 8, 1991. |
| 45 | Letter from KLOKER to EELS, dated July 12, 1991. |
| 46 | Memorandum from KLOKER to Personnel File of [REDACTED], dated July 15, 1991, re: Interview with [REDACTED] |
| 47 | Memorandum from KLOKER to Personnel File of [REDACTED], dated July 15, 1991, re: Notification of Point Beach. |
| 48 | Memorandum from KLOKER to QUICK, dated July 16, 1991. |
| 49 | Memorandum from DAILEY to QUICK, dated July 17, 1991. |
| 50 | Memorandum from KLOKER to KOLLER, dated July 22, 1991. re: Dailey's responses to QUICK re NSP. |

| <u>Exhibit No.</u> | <u>Description</u> |
|--------------------|---|
| 51 | Letter from DAVIS to KOLLER, dated July 22, 1991. |
| 52 | Memo from KLOKER to KOLLER, dated July 22, 1991; Memo from DAILEY to ██████████, dated July 23, 1991; Memo from DAILEY to File, ██████████, dated July 23, 1991; Memo from DAILEY to File, ██████████, dated July 23, 1991; BNI Fitness for Duty Statement signed by ██████████ and Eugene V. CHARNEY, dated May 28, 1991; Agreement to Abide to the BNI Fitness for Duty Policy, signed by ██████████ and CHARNEY, dated May 28, 1991; Contract Personnel Exit Checklist for ██████████, dated May 15, 1992. |
| 53 | Memorandum from KLOKER to File, dated July 24, 1991. |
| 54 | Letter from KLOKER to EELLS, dated July 24, 1991. |
| 55 | Letter from ERSKINE to EELLS, dated August 8, 1991. |
| 56 | Letter from KLOKER to EELLS, dated August 9, 1991. |
| 57 | Audit Report - Point Beach Nuclear Plant, by EELLS, dated August 13, 1991. |
| 58 | Letter from EELLS to ERSKINE, dated August 13, 1991. |
| 59 | Letter from KLOKER to EELLS, dated September 5, 1991. |
| 60 | Letter from MULLENS to PETITCLAIR, dated September 19, 1991. |
| 61 | Letter from KLOKER to SHEAFFER, dated November 14, 1991. |
| 62 | NSSI Security Questionnaire for ██████████, dated September 22, 1989. |
| 63 | Education Reference Check for ██████████, dated September 27, 1989. |
| 64 | Employee Status Form for ██████████, dated September 26, 1989. |
| 65 | Controlled Substance Report - Contractor - for ██████████, dated September 28, 1989. |

| <u>Exhibit No.</u> | <u>Description</u> |
|--------------------|--|
| 66 | Employee Status Form for ██████████, dated September 28, 1989. |
| 67 | Letter from Terry PHILEBAR to W. M. HODGE, dated June 22, 1990. |
| 68 | D. C. Cook Nuclear Plant Fitness For Duty Program from ██████████, dated June 22, 1990. |
| 69 | Personnel Security form for ██████████, dated July 30, 1990. |
| 70 | Security Screening Updated Form for ██████████, dated March 7, 1991. |
| 71 | Letter from ACKER to CORBETT, dated February 22, 1990. |
| 72 | Letter from LEEPER to CORBETT, dated March 4, 1991. |
| 73 | Letter from DAILEY to MEYER, dated March 20, 1991. |
| 74 | PBNP Authorization for Unescorted Access, dated March 14, 1991. |
| 75 | NSSI Employee Status Form for ██████████, dated March 8, 1991; NSSI Employee Status form for ██████████ dated May 6, 1991. |
| 76 | NSSI Security Questionnaire for ██████████, dated January 1, 1984. |
| 77 | Update Form for ██████████, dated November 18, 1988. |
| 78 | NSSI Employee Status Form for ██████████, dated November 21, 1988. |
| 79 | NSSI Employee Status Form for ██████████, dated December 5, 1988. |
| 80 | NSSI Security Questionnaire for ██████████, dated March 11, 1991. |
| 81 | Handwritten Employment History of ██████████, undated. |
| 82 | Employment Verification Sheet, ██████████, dated March 18-19, 1991. |

| <u>Exhibit No.</u> | <u>Description</u> |
|--------------------|---|
| 83 | Employment form for ██████, dated March 9, 1992. |
| 84 | Letter from VAN DOREN to Anderson, dated September 28, 1992. |
| 85 | Illinois Power Company - Exit Processing Form for ██████; dated March 30, 1990. |
| 86 | Illinois Power Company - Background Information Questionnaire for ██████, dated January 12, 1990. |
| 87 | Handwritten notes of discussion with ██████, dated March 29, 1990. |
| 88 | Letter from DAILEY to MEYER, dated March 20, 1991. |
| 89 | PBNP - Authorization for Unescorted Access for ██████, dated March 14, 1991. |
| 90 | Employee Status Form for ██████, dated March 8, 1991. |
| 91 | BNI Certification of Access Suitability, dated March 21, 1990; letter from R. P. CARTER to Arthur E. DESROSIERS, dated August 23, 1990; Gulf States Utilities Company Pre-access and Statement Form from ██████, dated September 8, 1990; CDU letter dated September 10, 1990, with attached ██████ evaluation. |
| 92 | Paper containing copies of 3" X 3" Post-it notes from NSSI ██████ file. |
| 93 | Sworn Statement of HEFFNER, dated November 19, 1992. |
| 94 | Affidavit of GILL, dated January 13, 1993. |
| 95 | Sworn Statement of BOWMAN, dated September 16, 1992. |
| 96 | Sworn Statement of CLEVELAND, dated September 16, 1992. |
| 97 | Sworn Statement of EELLS, dated September 11, 1992. |



UNITED STATES
NUCLEAR REGULATORY COMMISSION
REGION III
799 ROOSEVELT ROAD
GLEN ELLYN, ILLINOIS 60137

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Request No. RIII-91-010
Allegation No. RIII-91-A-0084

TO: Eugene T. Pawlik, Director, Office of Investigations
Field Office, Region III

FROM: A. Bert Davis, Regional Administrator, Region III

REQUEST FOR INVESTIGATION

Wisconsin Electric Power Company
Northern States Power
Licensee/Vendor/Applicant

50-266; 50-301
50-282; 50-306
Docket No.

Point Beach
Prairie Island
Facility or Site Location

A. Bert Davis
Regional Administrator

November 14, 1991
Date

A. Request

What is the matter that is being requested for investigation (be as specific as possible regarding the underlying incident)

The issues to be investigated are: (1) whether Nuclear Support Services, Inc. (NSSI) of Hershey, Pennsylvania, willfully and knowingly failed to complete access authorization screening and fitness-for-duty (FFD) requirements identified in security plans, 10 CFR Part 26, and contractual agreements prior to requesting unescorted access for their personnel, and (2) if NSSI willfully and knowingly provided false information to licensees in reference to some access authorization and FFD requirements being complete when access authorization was requested for some NSSI personnel.

1. BACKGROUND INFORMATION

Nuclear Support Service, Inc. (NSSI) of Hershey, Pennsylvania, provides health physics personnel and support to various nuclear plants throughout the country. The scope of this specific investigation request is

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3-91-0017

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limited to NSSI's activities in reference to the Northern States Power Company's Prairie Island Plant and the Wisconsin Electric Power Company's Point Beach plant.

Northern States Power (NSP) and Wisconsin Electric Power Company (WEPC) have contracted with NSSI to provide health physics (HP) personnel and support at their licensed nuclear plants. Such support is normally used during plant outages or other limited periods. For NSSI personnel to have unescorted access to the plant, certain access authorization screening and FFD requirements have to be completed.

Section 1.3 of the Prairie Island Security Plan describes the criteria that must be completed for unescorted access authorization at the Prairie Island Plant. Section 2.4 of the Point Beach Security Plan describes the criteria that must be completed for unescorted access authorization at the Point Beach Plant.

To meet the above described security plan commitments, each licensee has incorporated a provision in the NSSI contract (purchase orders) that requires NSSI personnel to be screened for unescorted access in accordance with an identified licensee procedure. The WEPC contract with NSSI (Purchase Order No. 166593, dated June 1990, and valid for three years) in section 4.1.13g requires NSSI to comply with WEPC procedure "Wisconsin Electric Power Company Point Beach Nuclear Plant Contractor Security Requirements, Revision 6, January 3, 1990" (Attachments 2 and 3). NSP contract with NSSI (Purchase Order P60828MB, dated September 7, 1989) requires NSSI to comply with Form 1-3019 "Northern States Power Company Contractor Access Authorization Procedure for Nuclear Plant Unescorted Access" and NSP FFD requirements (Form 1-3020). (Attachments 4 and 5). Both of the procedures (NSP and WEPC) allow contractors to complete certain access authorization and certain FFD requirements for unescorted access if their programs are "approved" by the licensee. Both NSP and WEPC had approved the NSSI access authorization screening program as described in NSSI procedure GA-1317 "Security Screening Program for Nuclear Safety Related Assignment." (Attachment 6).

Additionally, NSSI was required to comply with certain provisions of 10 CFR 26.27(a) in reference to individual self-disclosures of past drug and alcohol abuse, and completion of a suitable inquiry. Both licensees (NSP and WEPC) allowed NSSI to obtain a written statement from their personnel to disclose whether activities within the scope of 10 CFR Part 26 were ever denied (if the individual was ever denied access to a nuclear plant).

WEPC also completed an additional self-disclosure form for all personnel. The "suitable inquiry" consists of determining if an individual had, within the past five years, tested positive for drugs or use of alcohol that resulted in on-duty impairment, was subject to a plan for treating substance abuse (except for self-referral for treatment), was removed from activities within the scope of 10 CFR part 26, or was denied unescorted access at any other nuclear plant in accordance with a FFD policy.

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Although both licensees (NSP and WEPC) had provisions for temporary access authorization included in their security plans, NSSI was normally required to screen personnel to the level required for final access authorization. The screening requirements are addressed in detail in the licensees' and NSSI procedures. The screening requirements, in summary, included:

- a. Employment History verification for the past five years.
- b. Verification of unemployment in excess of 30 days.
- c. Education history verification for the previous five years and verification of the highest claimed post high school attendance leading to a degree regardless of time.
- d. Criminal history check.
- e. Verification of military service claimed within the past five years.
- f. Verification of self-employment within the past five years.
- g. Evaluation of character and reputation by contact with two provided references and two developed references.
- h. Verification of identity.
- i. Completion of a credit check.
- j. Psychological evaluation by completion of a written psychological test and clinical evaluation if warranted.
- k. Completion of a FFD self-disclosure form.
- l. Completion of a FFD suitable inquiry.

The licensees were advised of the completion of the above screening requirements by NSSI by use of a form letter sent to them (Attachments 7 and 8). Upon receipt of the form letter, the licensee would grant unescorted access to the NSSI employee. NSSI maintained custody of the individual screening files and the licensees conducted periodic audits.

2. NSSI AUDIT DEFICIENCIES (Security Screening and FFD)

NSSI failed to complete all of the screening requirements identified above for some of their personnel. An audit conducted by WEPC between August 6-7, 1991, (Dated August 13, 1991) noted several significant deficiencies (Attachment 9). The audit disclosed that NSSI:

- a. Failed to complete the suitable inquiry or employment verification on four persons.

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- b. Lacked formal letters from the clinical psychologist certifying the results of the interview which followed the MMPI test evaluation for three persons.
- c. Failed, in three cases, to give appropriate notice to WEPC of past positive drug/alcohol test results for NSSI personnel.
- d. Failed to properly evaluate the results of the background investigations on three persons, recommending as trustworthy and reliable persons who, in the auditor's judgment, did not exhibit those characteristics.

The WEPC audit report concluded that six NSSI employees, in the WEPC auditor's opinion, failed the background investigation. As a result of the audit results, NSSI was returned to probationary status with respect to self-screening of their employees.

An additional audit of NSSI was conducted by NSP between August 27-30, 1991. The "preliminary" audit report (Attachment 10) noted that specific problems associated with the screening activities conducted by NSSI were noted in nearly every file examined. Several significant deficiencies were noted in the "preliminary" audit report, to include:

- a. No evidence of FFD self-disclosure forms could be found for nine persons.
- b. Inadequate employment verifications were conducted for 11 persons and suitable inquiry questions were not asked during contact with past employers.
- c. Specific periods of unemployment exceeding 30 days were not verified for six persons.
- d. For five persons, specific screening verification activities were completed after unescorted access was requested.
- e. Post high school attendance was not verified for three personnel.

The "preliminary" audit report concluded that the five findings represented a significant departure from the security screening requirements, and that the NSSI screening program should be considered unacceptable.

3. EXAMPLE OF SPECIFIC FFD DEFICIENCY

In a related, but narrower issue, NSP submitted a security-related Licensee Event Report (LER), dated August 14, 1991, which described an event in which an NSSI employee was improperly granted unescorted access to the Prairie Island plant because of four past drug related access denials at other nuclear plants. The LER concluded that NSSI failed to properly complete NSP access authorization and FFD

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contractor program requirements. The LER also noted that the NSSI Security Manager was aware of requirements to notify the licensee of past drug related access denials but failed to do so for the individual with four incidents of access denials since 1987. NSSI was aware of the past access denials but advised NSP by letter, dated August 29, 1991, that the employee (██████████) satisfactorily completed all access authorization requirements for unescorted access (Attachment 12).

WEPC also submitted a security related LER, dated August 14, 1991, which addressed the same type of incident described above involving the same individual's access to the Point Beach plant (LER SO1-00-Attachment 13). The LER concluded that NSSI had not informed WEPC that some NSSI employees granted access to Point Beach had been denied access at other nuclear plants. In the incident involving Mr. R. Taylor, NSSI, on two occasions, sent a letter to WEPC specifically stating that the person had not been denied access at any other nuclear power plant under a fitness-for-duty program conforming to 10 CFR Part 26 (Attachments 14 and 15). In fact, however, NSSI was aware that the employee had access denied at other nuclear plants. The requests for access authorization were signed by two different NSSI employees (one was signed by the Human Resources Manager, the other was signed by the Security Manager).

4. OTHER RELATED ISSUES

The previous Security Manager for NSSI states that he notified the licensees of the past positive drug tests results for ██████████. This assertion is made in a July 17, 1991, memorandum from Mr. R. Dailey (NSSI) to Mr. J. Quick, President of NSSI. (Attachment 16). During NRC inspection interviews, security personnel at NSP and WEPC who allegedly were advised of the situation, deny being advised of such information by the NSSI Security Manager and supposedly neither NSSI, NSP, nor WEPC have documentation pertaining to the alleged notifications. However, in a letter from Mr. D. Kloker (current NSSI Security Manager) to Mr. F. Koller (NSSI), Mr. Kloker states that there is no documentation in the files of ██████████ to support Mr. Dailey's assertion that he advised NSP and WEPC security personnel of the past positive drug results. Mr. Kloker's letter also notes that there is no documentation in files to support other information in Mr. Dailey's July 17, 1991, letter (Attachment 17). In another letter, dated July 24, 1991, from Kloker (NSSI) to Mr. T. Eells (WEPC), Mr. Kloker states that Mr. Dailey told him that he (Dailey) telecopied certain FFD information about two other individuals to Point Beach. Mr. Eells (WEPC) contends that such information was not telecopied and no documentation to support Mr. Dailey's statement was in the appropriate files (Attachment 18). Of interest is another memorandum dated July 22, 1991, and noted as confidential, prepared by Mr. Kloker (NSSI Security Manager) to Mr. F. Koller (NSSI) which states that Mr. Dailey told Kloker that if certain incriminating papers were pulled from a file and made to go away, "you have no problem" (Attachment 19). This statement was allegedly made by Dailey when Kloker asked him about some deficiencies in two security screening files.

An investigation memorandum by a WEPC corporate security representative and a NSP security representative's chronology of events for the incident involving [REDACTED] (prior positive drug tests) are attached for background information in a condensed and concise form (Attachments 20 and 21).

NRC Region III was advised by letter dated on October 10, 1991, that portions of 25-30 personnel files were shredded to destroy "dated information." The specific type of documents or amount of documents shredded is not known at this time. However, WEPC does note that none of the documents should have been shredded (see page 2 of Attachment 22).

B. Purpose of Investigation

1. What is the basis for the belief that the violation of a regulatory requirement are more likely to have been intentional or to have resulted from careless disregard or reckless indifference than from error or oversight?

The basis to believe that the violations are more likely to have been intentional rather than from error or oversight include:

- a. The licensees (NSP and WEPC) and contractor's (NSSI) procedures for access authorization screening requirements are detailed and comprehensive. Even with such detailed guidance, the licensees (NSP and WEPC) recent audits found significant deficiencies in several areas of the screening process. Additionally, the NSSI security screening program has been in existence for two or more years, so significant program deficiencies would not be expected to be caused by "initial" implementation problems or an inexperienced Security Manager monitoring the program. (Copy of audit reports are enclosed).
- b. The previous NSSI Security Manager (P. Dailey) provided letters to WEPC which stated that three persons had not been denied access at other nuclear plants, when, in fact, the personnel had been denied access and indicated so on their job application. (Attachments 14, 15, 23, and 24) One of the individuals [REDACTED] granted access at Prairie Island and Point Beach had been denied access on four occasions at other nuclear plants since 1987. The Security Manager (Dailey) does not deny knowledge of the incidents involving [REDACTED], but alleges that he advised licensee Corporate security personnel (NSP and WEPC) and also provided documents to them pertaining to the access denials.

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- c. NSP and WEPC Corporate security personnel who were allegedly advised of the access denials described above for [REDACTED] deny being advised of such information or being provided documents by the former NSSI Security Manager (Dailey).
- d. The current NSSI Security Manager (Kloker) notes in a letter dated July 17, 1991, to the President of NSSI that there is no documentation in the appropriate files to support the former NSSI Security Manager's (Dailey) written assertion that he (Dailey) advised licensee corporate security personnel of adverse information involving access authorization screening results. Additionally, Kloker advised his supervisor (Koller) by confidential letter, dated July 22, 1991, of an alleged statement by Dailey about removing adverse information from two files as a method of resolving a problem.
- e. The NSP preliminary audit report identified instances whereby required screening actions were completed "after" unescorted access authorization to the Prairie Island plant was requested.
- f. A letter dated August 8, 1991, from NSSI's Senior Vice President and Chief Operating Officer to Mr. T. R. Eells (WEPC) stated that the former Security Manager did not properly document or followup on the receipt of derogatory information and/or material concerning prior FFD violations with appropriate licensee personnel (Attachment 25).

Collectively, the above reasons form the bases to consider that the violations are more likely to have been intentional rather than from error or oversight.

2. What are the potential regulatory requirements that may have been violated?

See Attachment 1.

3. If no violation is suspected, what is the specific regulatory concern?

Not applicable.

4. Why is an investigation needed for regulatory action and what is the regulatory impact of this matter, if true?

An investigation is needed to determine if Nuclear Support Services, Inc. willfully and knowingly falsified documents sent to NSP and WEPC Corporate security representatives to allow NSSI employees to gain unescorted access to the Prairie Island and Point Beach Nuclear plants with full knowledge that all required access authorization screening requirements were not being completed in several cases. An investigation is also needed to determine if the potential record falsification was the result of one person's independent action or

Eugene T. Pawlik

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November 14, 1991

the result of NSSI's management's policies or practices. Additionally, the investigation should determine if management of any of the involved parties was culpable in the transfer of false information.

C. Requestor's Priority

1. Is the priority of the investigation high, normal, or low?

Normal.

2. What example from Appendix 0517, Part III, does this incident most closely fit, if any?

B.4.b.(2).

3. What is the estimated date when the results of the investigation are needed?

April 30, 1992.

4. What is the basis for the date and the impact of not meeting this date? (For example, is there an immediate safety issue that must be addressed or are the results necessary to resolve any ongoing regulatory issue and if so, what actions are dependent on the outcome of the investigation?)

The date selected was based on allowing approximately six months to conduct the investigation and prepare the report.

D. Actions by Staff

1. What actions have been taken by the staff (e.g., inspections, Notice of Violation, Enforcement Conferences, Confirmatory Action Letter, etc.)?

Reactive Fitness-for-Duty inspections were conducted at the NSP Corporate Security Office on September 6, 1991, and at the WEPC Corporate Security Office on September 23, 1991.

2. Actions to be taken if investigation is closed without a report (based on currently available information).

There are several violations that would most likely be issued; however, an OI finding of willfulness would raise the level of significance.

5. Contact

1. Staff members:

J. R. Creed, Section Chief, Safeguards, Division of Radiation Safety and Safeguards (DRSS) (FTS 388-5643)

Eugene T. Pawlik

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November 14, 1991

G. L. Pirtle, Plant Protection Analyst, DRSS (FTS 388-5640)

2. Allegor identification with address and telephone number if not confidential. (Indicate if any confidential sources are involved and who may be contacted for the identifying details.)

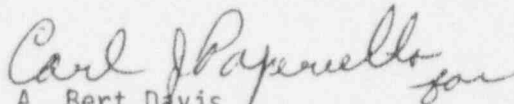
Not applicable.

F. Other Relevant Information

Contractor involved is Nuclear Support Services, Inc.
P.O. Box 3120
Hershey, PA 17033
Telephone (717) 838-8125

Further inspection effort and inspection reports may be prepared which would address potential violations and weaknesses noted in areas not related to this request for investigation. Additional inspection effort and reports will be coordinated with the Region III OI office prior to initiation.

NSP discontinued accepting NSSI's security screening results. WEPC continues to accept NSSI's security screening results but has increased monitoring of the contractor's screening activities.


A. Bert Davis
Regional Administrator

See Attachments and Distribution Next Page

Eugene T. Pawlik

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Attachments:

1. Applicable Regulatory Requirements
2. Extracts from WEPC Contract with NSSI-Purchase Order No. 166593
3. WEPC Contractor Screening procedure
4. Extracts from NSP Purchase Order No. 60828MB
5. NSP Contractor Screening Procedure and FFD Requirements (Forms 1-3019 and 1-3020)
6. NSSI Procedure GA-1317, Security Screening for Nuclear Safety Related Assignment
7. Sample of Form Letter NSSI Sent to WEPC Documenting Requests for Unescorted Access
8. Sample of Form Letter NSSI Sent to NSP Documenting Request for Unescorted Access
9. Copy of NSSI Audit Conducted by WEPC, dtd 8/13/91
10. Copy of "Preliminary" Audit Report of NSSI by NSP (Audit Performed 8/27-30/91)
11. Copy of Prairie Island LER No. 91-009-00, dtd 8/14/91
12. Request for Unescorted Access for [REDACTED] to NSP Nuclear Plants
13. Copy of Point Beach LER No. 91-S01-00, dtd 8/14/91
14. Request for Unescorted Access for [REDACTED] to Point Beach, dtd 10/2/90
15. Request For Unescorted Access for [REDACTED] to Point Beach, Undated (Start date 1/7/91)
16. Memo From R. Dailey (NSSI) to J. Quick (NSSI), dtd 7/17/91
17. Memo From D. Kloker (NSSI) to F. Koller (NSSI), dtd 7/22/91
18. Letter From D. Kloker (NSSI) to T. Eells (WEPC), dtd 7/24/91
19. Memo from D. Kloker (NSSI) to F. Koller (NSSI), dtd 7/22/91
20. Investigative Memorandum on Inadequate Security Screening Procedure Prepared by T. Eells (WEPC)

(Attachments and Distribution Continued
Next Page)

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21. NSP Prepared Chronology of [REDACTED]'s Reportable Event, dtd 9/4/91
22. Ltr from T. Eslls (WEPC) to G. Pirtle, dtd 10/10/91
23. Access Authorization Request and Security Questionnaire for [REDACTED]
24. Access Authorization Request and Security Questionnaire for [REDACTED]
25. Letter from F. Erskine (NSSI) to T. Eells, dtd 8/8/91

cc w/o attachments:

J. M. Taylor, EDO
H. L. Thompson, DEEDS
J. H. Sniezek, DEDR
J. C. Partlow, NRR
J. Lieberman, OE
L. Chandler, OGC
B. B. Hayes, OI



EXEMPT FROM DISCLOSURE

Northern States Power Company

414 Nicollet Mall
Minneapolis, Minnesota 55401-1927
Telephone (612) 330-5500

August 14, 1991

Report Required by
10 CFR Part 73, Appendix G

U.S. Nuclear Regulatory Commission
Attn: Document Control Desk
Washington, DC 20555

PRAIRIE ISLAND NUCLEAR GENERATING PLANT
Docket No. 50-282 License No. DPR-42
50-306 DPR-60

Discovery That a Contract Employee
Was Improperly Granted a Security Clearance

The Licensee Event Report for this occurrence is attached.

This event was reported via the Emergency Notification System on July 15, 1991 and this report satisfies the reporting requirements of 10 CFR Part 73, Appendix G.

Please contact us if you require additional information related to this event.

Thomas M Parker
Manager
Nuclear Support Services

c: Regional Administrator - III NRC
Sr Resident Inspector, NRC
NRR Project Manager, NRC
MPCA
Attn: Dr J W Ferman

Attachment

EXHIBIT 2
PAGE 1 OF 7 PAGE(S)

3-91-017

ENCLOSURE II

AUG 16 1991

EXEMPT FROM DISCLOSURE

U.S. NUCLEAR REGULATORY COMMISSION
EXEMPT FROM DISCLOSURE

APPROVED ONE NO. 3150-0104
EXPIRES: 4/30/97

LICENSEE EVENT REPORT (LER)

ESTIMATED BURDEN PER RESPONSE TO COMPLY WITH THIS INFORMATION COLLECTION REQUEST: 300 HRS. FORWARD COMMENTS REGARDING BURDEN ESTIMATES TO THE RECORDS AND REPORTS MANAGEMENT BRANCH (F-330), U.S. NUCLEAR REGULATORY COMMISSION, WASHINGTON, DC 20555, AND TO THE PAPERWORK REDUCTION PROJECT (3150-0104), OFFICE OF MANAGEMENT AND BUDGET, WASHINGTON, DC 20503.

AC: NAME (1) Prairie Island Nuclear Generating Plant Unit 1 DOCKET NUMBER (2) 0 1 5 1 0 0 0 1 2 8 2 PAGE (3) 1 OF 0 1 6

TITLE (4) Discovery That a Contract Employee Was Improperly Granted a Security Clearance

| EVENT DATE (5) | | | | LER NUMBER (6) | | | | REPORT DATE (7) | | | | OTHER FACILITIES INVOLVED (8) | | | |
|----------------|-----|------|------|-------------------|-----------------|-------|-----|-----------------|-------|-----|------|--|--|--|--|
| MONTH | DAY | YEAR | YEAR | SEQUENTIAL NUMBER | REVISION NUMBER | MONTH | DAY | YEAR | MONTH | DAY | YEAR | FACILITY NAMES | | | |
| 07 | 15 | 91 | 91 | 009 | 00 | 08 | 14 | 91 | | | | Prairie Island Unit 2 | | | |
| | | | | | | | | | | | | DOCKET NUMBER(S) 0 1 5 1 0 0 0 1 3 0 1 6 | | | |
| | | | | | | | | | | | | 0 1 5 1 0 0 0 1 1 1 | | | |

OPERATING MODE (9) N THIS REPORT IS SUBMITTED PURSUANT TO THE REQUIREMENTS OF 10 CFR 5: (Check one or more of the following) (11)

| POWER LEVEL (10) | 20.402(b) | 20.406(d) | 60.736(d)(4) | X | 72.716(i) |
|------------------|-------------------|--------------|--------------------|---|--|
| 1 0 0 | 20.406(e)(1)(i) | 60.736(d)(1) | 60.736(d)(4) | | 72.716(j) |
| | 20.406(e)(1)(ii) | 60.736(d)(2) | 60.736(d)(4) | | OTHER (Specify in Abstract below and in Text, NRC Form 366A) |
| | 20.406(e)(1)(iii) | 60.736(d)(3) | 60.736(d)(4)(v)(A) | | |
| | 20.406(e)(1)(iv) | 60.736(d)(4) | 60.736(d)(4)(v)(B) | | |
| | 20.406(e)(1)(v) | 60.736(d)(5) | 60.736(d)(4) | | |

LICENSEE CONTACT FOR THIS LER (12) NAME: Randall Cleveland TELEPHONE NUMBER: AREA CODE 6 1 2 3 5 0 - 7 9 9 9

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

| CAUSE | SYSTEM | COMPONENT | MANUFAC. TURER | REPORTABLE TO NPROS | CAUSE | SYSTEM | COMPONENT | MANUFAC. TURER | REPORTABLE TO NPROS |
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SUPPLEMENTAL REPORT EXPECTED (14) YES (If yes, complete EXPECTED SUBMISSION DATE) X NO

EXPECTED SUBMISSION DATE (15) MONTH DAY YEAR

ABSTRACT (Limit to 1400 spaces, i.e., approximately 1000 single-space typewritten lines) (16)

NSP Personnel notified Prairie Island Plant Security on July 15, 1991, that an error had been made in granting an access authorization to a contract employee. The contract employee was granted access to the Prairie Island Plant from August 30, 1990 to September 28, 1990.

The employee was originally granted access authorization by NSP per a request for access authorization from a contractor with an NSP approved access authorization program. NSP Personnel Security has revoked the contract employee's nuclear access authorization and revoked the contractor's NSP approved access authorization program status.

NSP procedures have been revised to prevent recurrence of this event.

EXHIBIT 2
PAGE 2 OF 7 PAGE(S)

LICENSEE EVENT REF (LER)
TEXT CONTINUATION

EXPIRES: 4/30/92
ESTIMATED BY PER RESPONSE TO COMPLY WITH THIS INFORMATION SECTION REQUEST: 500 HRS. FORWARD COMMENTS REGARDING BURDEN ESTIMATE TO THE RECORDS AND REPORTS MANAGEMENT BRANCH (P-330), U.S. NUCLEAR REGULATORY COMMISSION, WASHINGTON, DC 20555, AND TO THE PAPERWORK REDUCTION PROJECT (3150-0104), OFFICE OF MANAGEMENT AND BUDGET, WASHINGTON, DC 20503.

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| TV | DOCUMENT NUMBER (2) | LER NUMBER (8) | | | PAGE (2) | | |
| | | YEAR | SEQUENTIAL NUMBER | REVISION NUMBER | | | |
| | | 05000282 | 91-009 | 00 | 02 | OF | 06 |

Prairie Island Unit 1

EXEMPT FROM DISCLOSURE

EVENT DESCRIPTION

Corporate Security notified Prairie Island Plant Security on July 15, 1991 at approximately 1615 that an error had been made in granting a clearance to a contract employee.

On August 29, 1990, NSP received a Request for Unescorted Access Authorization from Nuclear Support Services Incorporated (NSSI) for one of its workers. At the time, NSSI had an NSP approved contractor access authorization program. NSSI properly submitted a request for unescorted access authorization to NSP indicating all elements for a temporary/full clearance had been completed, including 10CFR26 Suitable Inquiry elements. On August 29, 1990, Corporate Screening Services granted the worker a temporary access authorization after reviewing the NSSI request for completeness and correctness.

On August 30, 1990, upon notification that a temporary access authorization had been granted, Plant Security activated the worker's badge. The worker's badge was deactivated on September 28, 1990, following completion of outage related duties.

On April 12, 1991, NSP's Screening Consultant received a phone call from another contractor that was interested in employing the worker during the 1991 Prairie Island outage. This contractor also had an NSP approved contractor screening program. The contractor in conducting a background investigation on the worker had developed a suitable inquiry record. The contractor suitable inquiry record indicated that the worker had been denied access at 3 nuclear facilities in 1987 due to positive drug tests.

In response to the contractor contact, NSP's Personnel Security immediately changed the worker's access authorization status to incomplete to preclude access to the plant pending follow-up to determine the worker's Fitness for Duty.

On April 16, 1991, NSP Personnel Security contacted NSSI management personnel and discovered that NSSI had known the worker had been denied at previous nuclear facilities due to positive drug tests at the time they submitted to NSP the worker's Request for Unescorted Access Authorization. NSSI claimed that they had notified someone within Prairie Island Security of the worker's Fitness for Duty history and had received approval regarding worker's Fitness for Duty. NSP has no record of such a contact.

EXHIBIT 2

PAGE 3 OF 7 PAGES

EXEMPT FROM DISCLOSURE

LICENSEE EVENT REPORT (LER)
TEXT CONTINUATION

ESTIMATED BURDEN PER RESPONSE TO COMPLY WITH THIS INFORMATION COLLECTION REQUEST: 500 HRS. FORWARD COMMENTS REGARDING BURDEN ESTIMATE TO THE RECORDS AND REPORTS MANAGEMENT BRANCH (F-520), U.S. NUCLEAR REGULATORY COMMISSION, WASHINGTON, DC 20555, AND TO THE PAPERWORK REDUCTION PROJECT (3150-0104), OFFICE OF MANAGEMENT AND BUDGET, WASHINGTON, DC 20503.

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| NAME (1) | DOCKET NUMBER (2) | LER NUMBER (5) | | | PAGE (3) | |
| | | YEAR | SEQUENTIAL NUMBER | REGION NUMBER | | |
| Prairie Island Unit 1 | 05000282 | 91 | 009 | 00 | 03 | OF 06 |

TEXT OF THIS REPORT IS REQUIRED, AND ADDITIONAL NRC FORM 364A (1) (17)

EXEMPT FROM DISCLOSURE

NSSI confirmed that neither the NSP Fitness for Duty Coordinator or the NSP Screening Consultant had been notified of worker's suitable inquiry record prior to NSSI submitting a Request for Unescorted Access Authorization.

NSP's Contractor Access Authorization Procedure, Form 1-3019, requires contractors to contact NSP's Fitness for Duty Coordinator immediately upon establishing a suitable inquiry record. Furthermore, NSP's contractor Fitness for Duty Procedure, Form 1-3020, requires contractors to not assign any worker to an NSP nuclear plant site who has been denied unescorted access to a nuclear power plant without written consent from the NSP Manager Corporate Security. NSSI's actions after identifying the worker's suitable inquiry record failed to meet either of these requirements.

Prior to accepting any further NSSI Requests for Unescorted Access Authorization, NSP initiated an investigation into the NSSI deficiency to determine the disposition of NSSI's Approved Access Authorization Program status. Information was obtained on July 15, 1991, which indicated the worker made significant omissions of information on NSSI security questionnaires. Omitted information included a complete listing of employers within the last 5 years and a 1989 positive pre-access test at another licensee. Based upon this information, NSP Personnel Security denied the worker nuclear unescorted access authorization in accordance with NSP's Access Authorization Program. NSP Personnel Security immediately notified Prairie Island Plant Security of the worker's clearance denial and revoked NSSI's approved program status.

CAUSE OF THE EVENT

Personnel Error - Contractor, with an NSP Approved Screening Program failed to properly execute NSP Access Authorization and Fitness for Duty contractor program requirements.

NSP contractor access authorization program requirements expressly require a contractor to notify NSP upon establishing a suitable inquiry record and, if the record indicates previous denial of access at a nuclear facility, to hold the request for access authorization until the NSP Manager Corporate Security has provided written consent.

A review of NSSI's screening procedure indicates that NSSI had not proceduralized the NSP requirement to contact the appropriate licensee representative (NSP's Fitness for Duty Coordinator) upon identifying a suitable inquiry record. NSSI's Security Manager was, however, aware of the NSP requirement. Similarly, NSSI's screening procedure did not prohibit NSSI

EXHIBIT 2

PAGE 4 OF 7 PAGE(S)

LICENSEE EVENT REPORT (LER)
TEXT CONTINUATION

EXPIRES: 4/30/92

ESTIMATED AN HOUR RESPONSE TO COMPLY WITH THIS INFORMATION COLLECTION REQUEST: 50.0 HRS. FORWARD COMMENTS REGARDING BURDEN ESTIMATE TO THE RECORDS AND REPORTS MANAGEMENT BRANCH (F530), U.S. NUCLEAR REGULATORY COMMISSION, WASHINGTON, DC 20555, AND TO THE PAPERWORK REDUCTION PROJECT (3150-0104), OFFICE OF MANAGEMENT AND BUDGET, WASHINGTON, DC 20503.

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| 11 | DOCKET NUMBER (2) | | | | LER NUMBER (6) | | | PAGE (3) | | |
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Prairie Island Unit 1

If more space is required, use additional NRC Form 266A-1 (17)

EXEMPT FROM DISCLOSURE

from submitting to NSP workers that had been denied unescorted access at a nuclear facility. NSP's Contractor Fitness for Duty Program prohibits contractors from submitting denied workers until the NSP Manager Corporate Security has provided written consent. NSSI's Security Manager was, however, aware of the NSP requirement to communicate to NSP that a suitable inquiry record had been established.

ANALYSIS OF EVENT

NSSI's failure to both contact the NSP Fitness for Duty Coordinator and withhold the request for access authorization pending NSP Manager Corporate Security consent has been identified as the cause of the error in NSP granting the employee an access authorization.

Upon discovery that a contract employee has a suitable inquiry record, NSP procedures require management and medical assurance of Fitness for Duty be obtained prior to granting an access authorization. The only back-up system in place to ensure this assurance is provided is a contractor's own Fitness for Duty program. NSSI, at the time they submitted the employee to NSP, had evidence on file which they claimed showed the employee as non-chemically dependent.

NSP performed pre-access testing and placed the employee under its behavior observation program and, therefore, we do not believe any significant safety consequences or implications resulted from this employee's temporary access to its facilities. This event was evaluated as not being a threat to plant security.

This event is considered reportable in accordance with 10CFR73.71(b)(1) which references Appendix G of part 73.

Appendix G(1)(b) states in part:

- I. Events to be reported within one hour of discovery, followed by a written report within 30 days:
 - (b) An actual entry of an unauthorized person into a protected area, material access area, controlled access area, vital area or transport.

EXHIBIT 2
PAGE 5 OF 7 PAGE(S)

EXEMPT FROM DISCLOSURE

LICENSEE EVENT REPORT (LER)
TEXT CONTINUATION

EXPIRES: 4/30/92

ESTIMATED BURDEN PER RESPONSE TO COMPLY WITH THIS INFORMATION COLLECTION REQUEST: 500 HRS. FORWARD COMMENTS REGARDING BURDEN ESTIMATE TO THE RECORDS AND REPORTS MANAGEMENT BRANCH (F-530), U.S. NUCLEAR REGULATORY COMMISSION, WASHINGTON, DC 20555, AND TO THE PAPERWORK REDUCTION PROJECT (3150-0104), OFFICE OF MANAGEMENT AND BUDGET, WASHINGTON, DC 20503.

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If more space is required, use additional NRC Form 2054 (1/77)

EXEMPT FROM DISCLOSURE

CORRECTIVE ACTIONS

- In response to the contractor contact, NSP's Personnel Security immediately changed the worker's access authorization status to incomplete to preclude access to the plant pending follow-up to determine the worker's Fitness for Duty.
- Information was obtained on July 15, 1991, which indicated the worker made significant omissions of information on NSSI security questionnaires. Based upon this information, NSP Personnel Security denied the worker nuclear unescorted access authorization in accordance with NSP's Access Authorization Program.
- NSSI's Approved Screening Program status was revoked by NSP Personnel Security as a result of this event.

Additional corrective actions following the NSSI deficiency include:

- Effective July 19, 1991, NSP is securing a Fitness for Duty self-disclosure statement from all contractors seeking unescorted access under an NSP Approved Contractor Program. These forms will be reviewed by NSP prior to granting unescorted access to ensure persons have no self-reported Fitness for Duty problems.
- Requiring all NSP Approved Contractors to submit completed Suitable Inquiries for NSP review along with requests for unescorted access authorization.
- For persons that had been granted access under an NSP Approved Contractor Program, NSP is auditing the contractor files of all persons that had unescorted access as of July 15, 1991, to ensure Suitable Inquiry requirements have been met.
- Revising the Personnel Security checklist used to review and approve contractor screening procedures to include verification that contractor procedures meet the above referenced NSP suitable inquiry requirements.
- Requiring a second review by the Fitness for Duty Coordinator of all contractor screening programs submitted to NSP for review and approval.

EXHIBIT 2
PAGE 6 OF 7 PAGE(S)

EXEMPT FROM DISCLOSURE

LICENSEE EVENT REPORT (LER)
TEXT CONTINUATION

ESTIMATED BURDEN PER RESPONSE TO COMPLY WITH THIS INFORMATION COLLECTION REQUEST: 50.0 HRS. FORWARD COMMENTS REGARDING BURDEN ESTIMATE TO THE RECORDS AND REPORTS MANAGEMENT BRANCH (F-830), U.S. NUCLEAR REGULATORY COMMISSION, WASHINGTON, DC 20555, AND TO THE PAPERWORK REDUCTION PROJECT (2150-0104), OFFICE OF MANAGEMENT AND BUDGET, WASHINGTON, DC 20503.

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| | | | | | YEAR | SEQUENTIAL NUMBER | REVISION NUMBER | | | | | | | | | | | | |

EXEMPT FROM DISCLOSURE

FAILED COMPONENT IDENTIFICATION

N/A

PREVIOUS SIMILAR EVENTS

A similar NSP approved contractor screening program deficiency was identified in October of 1990. Corrective action in response to the October 1990 event included sending a detailed letter to all NSP approved contractors identifying the contractor deficiency and reiterating NSP suitable inquiry program requirements.

EXHIBIT 2
PAGE 7 OF 7 PAGE(S)

September 4, 1991

Nuclear Support Services, Inc. (NSS)
██████ Reportable Event Chronology

| <u>Date</u> | <u>Description of Event</u> |
|-------------------------------|---|
| 3-20-89 | ██████ passed NSP pre-access drug test. |
| 3-23-89 | NSS submitted to NSP Corporate Security a request for access authorization, Form 1-3019-1, for ██████ indicating the requirements of NSP's contractor access authorization procedure 1-3019 had been met. |
| 3-23-89 | NSP Corporate Security granted ██████ an access authorization. |
| 3-23-89 | NSP's Prairie Island nuclear plant granted ██████ unescorted access. |
| 4-15-89 | ██████'s unescorted access to Prairie Island is removed as ██████'s outage work is completed. |
| 12-19-89 6/8/90 8-27-90 | NSS SCREENING PROCEDURE (GA-1317.8) REV. 8 BECOMES EFFECTIVE. APPENDIX TO NSS PROCEDURE GA-1317.8 FOR SUITABLE INQUIRY REC. BY NSP. ██████ passed NSP pre-access drug and alcohol test. |
| 8-29-90 | NSS submitted to NSP Corporate Security a request for access authorization, Form 1-3019-1, for ██████ indicating the requirements of NSP's contractor access authorization procedure 1-3019 had been met. |
| 8-29-90 | NSP Corporate Security granted ██████ an access authorization. |
| 8-30-90 | NSP's Prairie Island nuclear plant granted ██████ unescorted access. |
| 9-5-90 | NSS AUDITED, RESULTS UNSATISFACTORY, |
| 9-28-90 | ██████'s unescorted access to Prairie Island is removed as ██████'s outage work is completed. |
| 4-5-91 | NSS AGAIN APPROVES NSS PROGRAM |
| 4-12-91 | NSP Corporate Security received information from another health physics contractor, Bartlett, indicating ██████ had previous positive pre-access tests at other utilities. |

1-11-91
12-1

NSS PROCEDURE GA-1317.9 REVISED (REV.9)

EXHIBIT 3

PAGE 1 OF 3 PAGE(S)

3-91-017

ENCLOSURE 21

| <u>Date</u> | <u>Description of Event</u> |
|-------------|--|
| 4-12-91 | Bartlett was interested in hiring ██████ for outage work at Prairie Island and wanted to know if NSP had prior knowledge of positives. |
| → 4-12-91 | NSP's Corporate Security made ██████'s access authorization incomplete pending the conclusion of NSP investigation to determine ██████'s fitness for duty and made NSS approved program status pending until ██████ investigation was completed. |
| * 4-16-91 | <p>NSS's Security Manager confirmed to NSP's Corporate Security that NSS was aware ██████'s prior positives. NSS's Security Manager further stated that NSS had submitted this information and received approval to submit ██████ request from access authorization from someone at Prairie Island. ██████ confirmed there had been no contact with NSP's Fitness for Duty Coordinator as required by NSP's Contractor Access Authorization procedure, 1-3019.</p> <p>NSS's Security Manager also stated that NSS had evidence of ██████ being rehabilitated and that upon leaving our facility Taylor had gained access at Wisconsin's Point Beach, and that Point Beach was aware of ██████'s previous positives. NSP requested that NSS send NSP evidence of ██████'s rehabilitation and a chronology of NSS events in recommending ██████ to NSP for access authorization.</p> |
| 6-91 | In late June NSP's Corporate Security learned that in July of 1991 NSS will be requesting access authorization for some of its employees to NSP nuclear facilities. |
| 7-2-91 | NSP's Corporate Security contacted NSS's Security Manager to again request information NSS has on file concerning ██████'s fitness for duty. |
| 7-8-91 | NSP's Corporate Security received a copy of |

██████ Reportable Event Chronology, continued.

p 3/3

| <u>Date</u> | <u>Description of Event</u> |
|-------------|---|
| 7-8-91 | what NSS claimed was evidence of ██████'s rehabilitation. The information received was actually an assessment done in March of 1990 indicating ██████ had no current chemical dependency problems. Additionally, NSS claimed that NSP's Corporate Security received from NSS information regarding ██████'s prior positives before NSS requested access in 1990. |
| 7-9-91 | NSS submitted Suitable Inquiries to utilities at which ██████ reported testing positive, and to other contractor in the health physics field to confirm and discover any other positive pre-access tests. |
| 7-15-91 | NSP received information from NSS indicating ██████ tested positive at more facilities than he originally reported. This information also conflicted with what ██████ had reported to the center that did his chemical dependency assessment in March of 1990. |
| 7-15-91 | NSP denied ██████'s access authorization and reported the event to the NRC. |
| 8-27-30-91 | (Quality Systems, Inc) NSP CONTRACTOR, AUDITS NSS SCREENING PROGRAM. SIGNIFICANT DEFICIENCIES NOTED. PROGRAM APPROVAL REMOVED. |
| 9-30-91 | NSS RESPONSE TO NSP AUDIT IS DUE. |

EXHIBIT 3
PAGE 3 OF 3 PAGE(S)

EXEMPT FROM DISCLOSURE



Point Beach Nuclear Plant
6610 Nuclear Rd., Two Rivers, WI 54241

(414) 755-2321

10 CFR 73.71(b)

August 14, 1991

U.S. NUCLEAR REGULATORY COMMISSION
Document Control Desk
Washington, D.C. 20555

Gentlemen:

DOCKET NOS. 50-266 AND 50-301
SAFEGUARDS EVENT REPORT NO. 91-S01-00
INADEQUATE PREEMPLOYMENT SCREENING PROCESS
POINT BEACH NUCLEAR PLANT, UNITS 1 AND 2

Attached is Safeguards Event Report 91-S01-00 for Point Beach Nuclear Plant, Units 1 and 2 detailing the discovery, investigation, and corrective actions taken associated with an inadequate preemployment screening process that resulted in the inappropriate authorization of unescorted access to an individual that had previously been denied unescorted access at other nuclear power plants.

LER 91-S01-00 is being reported pursuant to 10 CFR 73.71(b) and Section I(c) of Appendix G to Part 73.

If you have any questions, please do not hesitate to contact us.

Very truly yours,

A handwritten signature in cursive script, appearing to read 'Maxfield'.

G.J. Maxfield
Manager

Enclosure

jmg

cc: NRC Regional Administrator, Region III

ENCLOSURE 13

AUG 19 1991

3-91-017

EXEMPT FROM DISCLOSURE
A subsidiary of Wisconsin Energy Corporation

EXHIBIT 4
PAGE 1 OF 8 PAGE(S)

~~EXHIBIT~~
U.S. NUCLEAR REGULATORY COMMISSION

LICENSEE EVENT REPORT (LER)

ESTIMATED BURDEN PER RESPONSE TO COMPLY WITH THIS INFORMATION COLLECTION REQUEST: 50.0 HRS. FORWARD COMMENTS REGARDING BURDEN ESTIMATE TO THE RECORDS AND REPORTS MANAGEMENT BRANCH (P-630), U.S. NUCLEAR REGULATORY COMMISSION, WASHINGTON, DC 20555, AND TO THE PAPERWORK REDUCTION PROJECT (3150-0104), OFFICE OF MANAGEMENT AND BUDGET, WASHINGTON, DC 20503.

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| FACILITY NAME (1) POINT BEACH NUCLEAR PLANT | DOCKET NUMBER (2) 0 5 0 0 0 2 6 6 | PAGE (3) 1 OF 7 |
|---|---|---------------------------|

TITLE (4)
INADEQUATE PREEMPLOYMENT SCREENING PROCESS

| EVENT DATE (5) | | | LER NUMBER (6) | | | REPORT DATE (7) | | | OTHER FACILITIES INVOLVED (8) | | |
|----------------|-----|------|----------------|-------------------|-----------------|-----------------|-----|------|-------------------------------------|--|--|
| MONTH | DAY | YEAR | YEAR | SEQUENTIAL NUMBER | REVISION NUMBER | MONTH | DAY | YEAR | FACILITY NAMES | | |
| 0 | 7 | 1 | 9 | 1 | 0 | 0 | | | PBNP, Unit 2 | | |
| 0 | 7 | 1 | 9 | 1 | 0 | 0 | | | DOCKET NUMBER(S) 0 5 0 0 0 3 0 1 | | |

THIS REPORT IS SUBMITTED PURSUANT TO THE REQUIREMENTS OF 10 CFR § (Check one or more of the following) (11)

| | | | | | |
|----------------------------------|-------------------|------------------|---------------------|-------------------------------------|--|
| OPERATING MODE (9) N | 20.402(b) | 20.406(e) | 80.73(a)(2)(iv) | <input checked="" type="checkbox"/> | 73.71(b) |
| POWER LEVEL (10) 1 0 0 | 20.406(a)(1)(i) | 80.36(e)(1) | 80.73(a)(2)(v) | <input type="checkbox"/> | 73.71(d) |
| | 20.406(a)(1)(ii) | 80.36(e)(2) | 80.73(a)(2)(vi) | <input type="checkbox"/> | OTHER (Specify in Abstract below and in Text, NRC Form 366A) |
| | 20.406(a)(1)(iii) | 80.73(a)(2)(i) | 80.73(a)(2)(vii)(A) | <input type="checkbox"/> | |
| | 20.406(a)(1)(iv) | 80.73(a)(2)(ii) | 80.73(a)(2)(vii)(B) | <input type="checkbox"/> | |
| | 20.406(a)(1)(v) | 80.73(a)(2)(iii) | 80.73(a)(2)(ix) | <input type="checkbox"/> | |

LICENSEE CONTACT FOR THIS LER (12)

| NAME | TELEPHONE NUMBER |
|---|------------------------------|
| R. D. SEIZERT, MANAGER - REGULATORY & SUPPORT SERVICES | 4 1 4 7 5 5 - 2 3 2 1 |

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

| CAUSE | SYSTEM | COMPONENT | MANUFACTURER | REPORTABLE TO NPROS | CAUSE | SYSTEM | COMPONENT | MANUFACTURER | REPORTABLE TO NPROS |
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SUPPLEMENTAL REPORT EXPECTED (14)

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| <input type="checkbox"/> YES (If yes, complete EXPECTED SUBMISSION DATE) | <input checked="" type="checkbox"/> NO | EXPECTED SUBMISSION DATE (15) | MONTH | DAY | YEAR |
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ABSTRACT (Limit to 1400 spaces, i.e., approximately fifteen single space typewritten lines) (16)

ABSTRACT:

On July 15, 1991, a contractor informed Wisconsin Electric that one of their employees who had been previously granted unescorted access to Point Beach Nuclear Plant had been denied access to other nuclear plants four times in 1987. The worker was denied access to the other nuclear plants due to failing the pre-access drug screening tests. Unescorted access to Point Beach Nuclear Plant would not have been granted if the prior access denials were ascertained during the access authorization screening process.

EXHIBIT 4
PAGE 2 OF 8 PAGE(S)

David M. ...

LICENSEE EVENT REPORT (LER)
TEXT CONTINUATION

ESTIMATED BURDEN PER RESPONSE TO COMPLY WITH THIS INFORMATION COLLECTION REQUEST: 50.0 HRS. FORWARD COMMENTS REGARDING BURDEN ESTIMATE TO THE RECORDS AND REPORTS MANAGEMENT BRANCH (P-830), U.S. NUCLEAR REGULATORY COMMISSION, WASHINGTON, DC 20555, AND TO THE OFFICE OF MANAGEMENT AND BUDGET, WASHINGTON, DC 20503.

EXEMPT FROM DISCLOSURE

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| | | YEAR | SEQUENTIAL NUMBER | REVISION NUMBER | | |

TEXT (If more space is required, use additional NRC Form 366A's) (17)

EVENT DESCRIPTION:

On July 12, 1991, a contractor requested that Wisconsin Electric rescind the unescorted access authorization for a contractor employee while the contractor checked into a matter concerning the employee's record. No additional details were given regarding the employee.

On July 15, 1991, the contractor again contacted Wisconsin Electric stating that the employee in question may have been denied access to other nuclear facilities as many as four times beginning in 1987. This was subsequently confirmed by the contractor's investigation. In all cases, the worker had been denied access due to failing pre-access drug screening. Wisconsin Electric determined that, had the access denial information been previously known, the contractor employee would not have been granted unescorted access to Point Beach Nuclear Plant. The contractor employee's authorization for unescorted access was revoked and a 1-hour report was made in accordance with 10 CFR 73.71(b) and Generic Letter 91-03, Reporting of Safeguards Events.

EVENT INVESTIGATION

As licensee for Point Beach Nuclear Plant, Wisconsin Electric relies on the contractor to complete a suitable inquiry of their employees. Wisconsin Electric conducts an unescorted access authorization drug/alcohol test and inquires whether the applicant has ever been denied authorization for unescorted access to the protected area of a nuclear power plant or the assignment to activities within the scope of 10 CFR Part 26. Unescorted access is authorized if the screening process does not produce information that is sufficient to disqualify an applicant.

EXHIBIT 4
PAGE 3 OF 8 PAGES

[Handwritten Signature]
ENCLOSURE

LICENSEE EVENT REPORT (LER)
TEXT CONTINUATION

EXEMPT FROM DISCLOSURE

ESTIMATED BURDEN PER RESPONSE TO COMPLY WITH THIS INFORMATION COLLECTION REQUEST: 500 HRS. FORWARD COMMENTS REGARDING BURDEN ESTIMATE TO THE RECORDS AND REPORTS MANAGEMENT BRANCH (F-630), U.S. NUCLEAR REGULATORY COMMISSION, WASHINGTON, DC 20555, AND TO THE PAPERWORK REDUCTION PROJECT (3150-0104), OFFICE OF MANAGEMENT AND BUDGET, WASHINGTON, DC 20503.

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| | | YEAR 9 1 | SEQUENTIAL NUMBER - S 0 1 | REVISION NUMBER - 0 0 | 1 3 | OF |

TEXT (if more space is required, use additional NRC Form 305A's) (17)

Discussions with the contractor on July 15, 1991, revealed that the employee was hired by the contractor in September 1990. The individual disclosed on the contractor's employment application that he had previously been denied access at a nuclear facility based on a prior positive drug screen. Additionally, the individual confirmed three access denials in 1987 and offered evidence of rehabilitation when the contractor's security manager conducted a follow-up investigation.

On October 2, 1990, a letter was sent to Wisconsin Electric certifying the individual as suitable for unescorted access. The letter did not notify Wisconsin Electric of the past access denials as required by 10 CFR 26.23(a)(2). However, the individual disclosed that he had been denied authorization for unescorted access to the protected area of a nuclear power plant or the assignment to activities within the scope of 10 CFR 26 on the Wisconsin Electric release and authorization statement during the pre-access drug/alcohol screening. This disclosure was overlooked by Wisconsin Electric. The individual passed a drug screen conducted October 3, 1990, and was granted unescorted access based on the contractor's letter and the negative drug screen.

The individual returned to Point Beach Nuclear Plant and was granted unescorted access again on January 11, 1991, based on a similar certifying letter from the contractor and a negative drug screen conducted January 7, 1991. Again, the individual disclosed that unescorted access had been previously denied, but this was again overlooked by Wisconsin Electric. The individual passed random drug tests conducted on April 12, 1991 and June 19, 1991.

EXHIBIT 4
PAGE 4 OF 8 PAGE(S)

LICENSEE EVENT REPORT (LER) TEXT CONTINUATION

EXEMPT FROM DISCLOSURE

ESTIMATED BURDEN PER RESPONSE TO COMPLY WITH THIS INFORMATION COLLECTION REQUEST, 50.0 HRS. FORWARD COMMENTS REGARDING BURDEN ESTIMATE TO THE RECORDS AND REPORTS MANAGEMENT BRANCH (P-630), U.S. NUCLEAR REGULATORY COMMISSION, WASHINGTON, DC 20555, AND TO THE SUPERWORK REDUCTION PROJECT (3150-0104), OFFICE OF MANAGEMENT AND BUDGET, WASHINGTON, DC 20503.

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| NAME (1) POINT BEACH NUCLEAR PLANT | DOCKET NUMBER (2) 0500026691 | LER NUMBER (6) | | | PAGE (3) | |
| | | YEAR 91 | SEQUENTIAL NUMBER -S01 | REVISION NUMBER -00 | 4 | OF 7 |

TEXT (if more space is required, use additional NRC Form 366A's) (17)

As a result of an inquiry made of the contractor by another utility, the contractor reviewed the employee's records and determined that the individual had failed four pre-access drug screens, three in 1987 and one in 1989. Since the individual was authorized to have unescorted access to the Point Beach Nuclear Plant, Wisconsin Electric was informed of this new information. Unescorted access to Point Beach Nuclear Plant would not have been granted if the prior access denials were ascertained during the access screening process. The contractor employee's unescorted access was revoked on July 15, 1991.

Wisconsin Electric has audited the contractor's background investigations three times. The July 19, 1989, audit found that the contractor accomplishes thorough and detailed investigations, but failed to properly evaluate some of them. Three of the 24 personnel files audited contained sufficient derogatory information that the individuals should not have been recommended for unescorted access. This weakness in the contractor's program allowed authorization of unescorted access to the Point Beach Nuclear Plant to personnel who would have been denied such access if Wisconsin Electric had been aware of the derogatory information. The audit concluded that a follow-up audit would be performed in 6 months to determine if the contractor's access authorization program had improved.

The contractor's background investigations were again audited by Wisconsin Electric on February 26, 1990. This audit found no deficiencies in any files and concluded that the contractor obtained complete background information. None of the files audited contained derogatory information that would have disqualified the individual from unescorted access at Point Beach Nuclear Plant. As a result, the contractor's probationary status was rescinded and an annual audit schedule was resumed.

EXHIBIT 4
PAGE 5 OF 8 PAGE(S)

EXEMPT FROM DISCLOSURE

LICENSEE EVENT REPORT (LER)
TEXT CONTINUATION

EXEMPT FROM DISCLOSURE

ESTIMATED BURDEN PER RESPONSE TO COMPLY WITH THIS INFORMATION COLLECTION REQUEST: 50.0 HRS. FORWARD COMMENTS REGARDING BURDEN ESTIMATE TO THE RECORDS AND REPORTS MANAGEMENT BRANCH (PA-30), U.S. NUCLEAR REGULATORY COMMISSION, WASHINGTON, DC 20556, AND TO THE PAPERWORK REDUCTION PROJECT (3150-0104), OFFICE OF MANAGEMENT AND BUDGET, WASHINGTON, DC 20503.

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| FACILITY NAME (1) POINT BEACH NUCLEAR PLANT | DOCKET NUMBER (2) 0 5 0 0 0 2 6 6 9 1 | LER NUMBER (6) | | | PAGE (3) | |
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TEXT (If more space is required, use additional NRC Form 366A's) (17)

In response to discovering that Point Beach Nuclear Plant had not been notified of previous access denials for contractor employees, the contractor hired an independent organization to conduct an audit of the personnel files of all active contractor employees. This audit was conducted between July 15 and August 1, 1991, and found no additional cases where unescorted access was recommended to any nuclear power plant without disclosing prior access denials.

In order to determine the scope of the reportable event, Wisconsin Electric began a file review of all persons, contractor and Wisconsin Electric employees who were granted access since January 3, 1990. The Wisconsin Electric file review suggested that two additional employees of the contractor had past positive drug/alcohol tests which were not disclosed by the contractor.

Additionally, a third audit of the contractor's background investigations was completed on August 7, 1991. Personnel files of individuals assigned to Point Beach Nuclear Plant since the previous audit were reviewed. The audit confirmed the two additional instances of individuals with prior access denials at other nuclear power plants due to positive drug screens. Both individuals were recommended for unescorted access without revealing their past access denials. Each of the individuals disclosed to Wisconsin Electric that unescorted access had been denied in the past. However, these disclosures were also overlooked and no follow-up actions were taken. A third individual had no fitness-for-duty incidents, but had an excessive number of driving while intoxicated (DWI) convictions. Wisconsin Electric would not have authorized unescorted access for this individual if this information had been communicated by the contractor.

EXHIBIT 4
PAGE 6 OF 8 PAGE(S)

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LICENSEE EVENT REPORT (LER)
TEXT CONTINUATION

ESTIMATED BURDEN PER RESPONSE TO COMPLY WITH THIS INFORMATION COLLECTION REQUEST: 50.0 HRS. FORWARD COMMENTS REGARDING BURDEN ESTIMATE TO THE RECORDS AND REPORTS MANAGEMENT BRANCH (P-530), U.S. NUCLEAR REGULATORY COMMISSION, WASHINGTON, DC 20555, AND TO THE PAPERWORK REDUCTION PROJECT (3150-0104), OFFICE OF MANAGEMENT AND BUDGET, WASHINGTON, DC 20503.

EXEMPT FROM DISCLOSURE

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| FACILITY NAME (1) POINT BEACH NUCLEAR PLANT | DOCKET NUMBER (2) 0 5 0 0 0 2 6 6 9 1 - S 0 1 - 0 0 | LER NUMBER (6) | | | PAGE (3) | |
| | | YEAR | SEQUENTIAL NUMBER | REVISION NUMBER | | |

TEXT (if more space is required, use additional NRC Form 366A's) (17)

CAUSES OF EVENT

The weakness in the access screening process that resulted in granting unescorted access to individuals that had previously been denied access at other nuclear power plants without Wisconsin Electric knowledge is attributed to two causes:

1. The Point Beach Nuclear Plant access screening process was deficient. Disclosures of prior unescorted access denials at other nuclear power plants were overlooked during the screening process.
2. Wisconsin Electric was not informed by the contractor that some employees being assigned to Point Beach Nuclear Plant had been denied access at other nuclear power facilities.

CORRECTIVE ACTIONS

The following corrective actions have been taken by Wisconsin Electric and the contractor in order to strengthen the unescorted access authorization process and minimize the potential for recurrence.

1. The format of the Wisconsin Electric release and authorization statement form has been revised to reduce the likelihood for overlooking the disclosure of past unescorted access denials. This form was formerly printed on two sides with the inquiry regarding access denials on the reverse side of the form. The form was revised to place all information on the front of the form. The revised form was effective July 22, 1991.
2. The release and authorization statement form will be placed at the front of an applicant's file during the unescorted access authorization process. This measure will further enhance the visibility of the applicant's response to the inquiry regarding past access denials.

EXHIBIT 4
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LICENSEE EVENT REPORT (LER)
TEXT CONTINUATION

ESTIMATED BURDEN PER RESPONSE TO COMPLY WITH THIS INFORMATION COLLECTION REQUEST: 500 HRS. FORWARD COMMENTS REGARDING BURDEN ESTIMATE TO THE RECORDS AND REPORTS MANAGEMENT BRANCH (P-530), U.S. NUCLEAR REGULATORY COMMISSION, WASHINGTON, DC 20555, AND TO THE PAPERWORK REDUCTION PROJECT (3150-0104), OFFICE OF MANAGEMENT AND BUDGET, WASHINGTON, DC 20503.

EXEMPT FROM DISCLOSURE

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| Y NAME (1) POINT BEACH NUCLEAR PLANT | DOCKET NUMBER (2) 0 5 0 0 0 2 6 6 9 1 | LER NUMBER (6) | | | PAGE (3) | |
| | | YEAR | SEQUENTIAL NUMBER | REVISION NUMBER | | |
| | | 9 1 | - 5 0 1 | - 0 0 | 7 | OF 7 |

TEXT (if more space is required, use additional NRC Form 366A's) (17)

- Wisconsin Electric has audited all release and authorization statement forms generated for unescorted access authorization at the Point Beach Nuclear Plant since January 3, 1990. Unescorted access has been reviewed for all files that indicated prior unescorted access denials at other nuclear power plants. All known cases are resolved.
- The contractor has developed procedures to ensure proper notification of FFD related information.

SIGNIFICANCE OF EVENT

This event was evaluated with respect to security significance. Although programmatic weaknesses have been identified and subsequently corrected, no security threat resulted.

SIMILAR OCCURRENCES

Aside from the examples identified during the evaluation of this event, there have been no similar occurrences related to the fitness-for-duty suitable inquiry requirements and the associated granting of unescorted access to Point Beach Nuclear Plant.

EXHIBIT 4
PAGE 8 OF 8 PAGE(S)

EXEMPT FROM DISCLOSURE

Investigative Memorandum
Inadequate Security Screening Procedure
Thomas R. Bells

This report is a summary of facts and documents which were collected during an intensive investigation conducted by Wisconsin Electric Power Company (WE) to determine how ██████████, on October 9, 1990, and again on January 11, 1990 was able to gain unescorted access status to Point Beach Nuclear Plant (PBNP) without being properly screened in accordance with WE procedure and 10 CFR Part 26.

The incident which triggered the investigation involves an employee of Nuclear Support Services (NSS), ██████████. Other NSS employees involved in the investigation are W. Donald Kloker, Security Manager; Robert C. Dailey, Safety Manager (former Security Manager); Fred H. Erskine, Sr. Vice President and Chief Operating Officer of NSS. Other organizations involved are Northern States Power (NSP) and On-Site Investigations, Incorporated (OSI) of Duluth, Georgia.

October 27, 1987 ██████████ failed a pre-access test at Salem NPP, testing positive for marijuana. He was at Salem as an employee of General Technical Services.*

November, 1987 ██████████ failed a pre-access test at Millstone NPP, testing positive for marijuana. He was at Millstone as an employee of Power Systems Energy Services, Incorporated.

December, 1987 ██████████ failed a pre-access test at Perry NPP, testing positive for marijuana. He was at Perry as an employee of Bartlett Nuclear Incorporated.* (Perry NPP stated this test result was not from a NIDA certified laboratory.)

February 10, 1989 ██████████ failed a pre-access test at Ginna NPP, testing positive for marijuana. He was at Ginna as an employee of General Technical Services.* ██████████ stated that he was tested again at Ginna a few days later and the second test was negative. He alleged that Ginna personnel told him the failure would not go in his record or be disclosed.

April 15, 1989 the NSS employee performance evaluation form covering ██████████'s assignment at Prairie Island NPP is favorable.*

March 12, 1990 the Phoenix Center, an accredited mental health center in Kerrville, Texas, completed an assessment of ██████████'s past drug use. The findings suggested that ██████████ does not have a drug problem.*

March 9, 1990 ██████████ disclosed to NSS on an update form that he had previously tested positive and been denied unescorted

3-91-017

EXHIBIT 5
PAGE 1 OF 6 PAGE(S)

* documentary evidence

page 1

ENCLOSURE 20

EXEMPT FROM DISCLOSURE

access.* There is no documentation in the NSS file to show how this was addressed.

August 17, 1990 [REDACTED] disclosed to NSS on another update form that he had previously tested positive and been denied unescorted access.* There is no documentation in the NSS file to show how this was addressed.

August, 1990 "Post-It" notes are placed in [REDACTED]'s file at NSS indicating discussions with Candace Bowman at NSP with respect to the past positives.*

Dailey states in a memo dated July 17, 1991 to the President of NSS that in August, 1990 (approximate) he spoke by telephone and telecopied to Eells all relevant information on [REDACTED]'s past positives and rehabilitation. There is no documentation in the NSS file or in [REDACTED]'s WE file to show that this occurred.

September 27, 1990 the NSS employee performance evaluation form covering [REDACTED]'s assignment at Prairie Island NPP is favorable.*

October 2, 1990 NSS sent a letter to WE requesting unescorted access for [REDACTED], stating that he had not been denied unescorted access at any other nuclear power plant.*

October 3, 1990 [REDACTED] submitted to, and passed, a test for drugs and alcohol for access to PBNP. He disclosed that he had been denied access to a nuclear power plant under 10 CFR 26.* The disclosure was overlooked by WE security.

October 9, 1990 [REDACTED] was badged for unescorted access to PBNP. His badge was active through November 7, 1990.*

January 3, 1991 NSS sent a letter to WE requesting unescorted access for [REDACTED], stating that he had not been denied unescorted access at any other nuclear power plant.*

January 7, 1991 [REDACTED] submitted to, and passed, a test for drugs and alcohol for access to PBNP. He disclosed that he had been denied access to a nuclear power plant under 10 CFR 26.* The disclosure was overlooked by WE security.

January 11, 1991 [REDACTED] was badged for access to PBNP. His badge was active until July 12, 1991. During this period, [REDACTED] was selected for random testing on April 12 and June 19. Both tests were negative.*

May 14, 1991 the NSS employee performance evaluation form covering [REDACTED]'s assignment at PBNP is favorable. HP at PBNP wanted him to stay on.*

June, 1991 (approximate) [REDACTED], while still employed with NSS, applied for employment with Bartlett Nuclear Incorporated. He disclosed his failed drug screens at Millstone, Salem and Perry,

but not Ginna. Bartlett contacted licensees where [REDACTED] had worked, including NSP, and made some inquiries.

Late June, 1991 Randy Cleveland, NSP FFD Coordinator, contacted Dailey for information and a written response.

July 5, 1991 Dailey asserts that he notified NSP of [REDACTED]'s past positives by conversation with Candace Bowman, but acknowledges that he failed to notify NSP in writing of the past positives.*

July 12, 1991 NSS telecopied a letter to WE requesting the revocation of unescorted access for [REDACTED].* Janice M. Polewczynski notified Cheryl L. Andrews, PBNP, of the request.

July 12, 1991 NSS retained the services of On Site Investigations, Incorporated to review the suitable inquiry files of all active NSS employees, and to review the files of all NSS employees assigned to either PBNP or Prairie Island for the past year.*

July 15, 1991, 10:00am Kloker called Thomas R. Eells to report the information recently developed on [REDACTED].*

July 15, 1991, 12:30pm Eells reported the matter to Joan E. McCullum. She reviewed the matter with Ronald D. Seizert and a conference call was held at about 2:00pm among Seizert, McCullum, Kloker and Eells to discuss the facts. Seizert concluded that the matter was a reportable event and made the appropriate notifications.*

July 22, 1991 Polewczynski and Eells began a review of the files of all persons, contractor or employee, who were granted unescorted access to PBNP since January 3, 1990, implementation date for the FFD rule. The results of that review are detailed below.*

August 6-7, 1991 Eells audited the background investigations conducted by NSS in support of their requests for unescorted access to PBNP. Two additional NSS employees, [REDACTED] and [REDACTED], were found to have failed a pre-access test, at a nuclear power plant. Unlike [REDACTED], they are eligible for unescorted access following satisfaction of the reinstatement procedure.*

Result of File Review

Pursuant to 10 CFR Part 26.27(a), WE requires each applicant for unescorted access to state whether activities within the scope of this part were ever denied. This is accomplished during the drug and alcohol test, when the applicant signs a standard consent and authorization form for the testing. The form existed in substantially its present condition prior to

enactment of the FFD rule, January 3, 1990. The inquiry was simply added to the back of the form. The form is then routed by the Medical Department to WE security along with the result of the testing. Any affirmative response is investigated by the FFD program administrator prior to the granting of unescorted access.

Through the investigation of the [REDACTED] matter, above, it became apparent that the necessary review of the responses to the inquiry was not occurring. The failure was traced to an inadequate transfer of responsibility for handling drug and alcohol test results from T. Eells, FFD program administrator, to J. Polewczynski, Security Clerk. In the transfer, Eells failed to give instruction to Polewczynski in reviewing the form for affirmative responses.

Appropriate instruction has now been given. The form was revised to move the question and response blanks to the front of the page. The question, itself, was revised for greater clarity. In addition, the Medical Department now collates the drug and alcohol test result packages to show the consent and authorization form on the top of stack. These corrections are already in place and compliance has been verified.

To reestablish the reliability of the records maintained under the FFD program, on July 22, 1991 a complete review of all drug screen packages created since implementation of the FFD rule was undertaken. This is the result:

- applicant received no copy of the form, applicant received a defective form (the question was not on the back of the form due to a duplicating error) or the applicant missed or skipped the question = 87
- applicant answered "no" = 882
- applicant answered "yes" = 13
- applicant files reviewed = 982
(187 employees + 795 contractors)

Internal memos and external mailings to those 87 persons for which no answer is in file have been sent. Some of them are contractor employees who are no longer at PBNP and some are former WE employees. Responses are being received but it is unlikely all will be resolved.

The 13 who answered "yes", identified by name and last known employer, are resolved as follows:

- [REDACTED] (Wisconsin Electric) answered "yes" by mistake. This response was overlooked on May 21, 1991. He is a current employee. A corrected form dated July 25, 1991 is on file.*
- [REDACTED] (Nuclear Support Services) answered "yes" by mistake. Her response was investigated on March 29,

1990.*

- [REDACTED] (Pieper Electric) answered "yes" by mistake. This response was overlooked on February 14, 1991. It was investigated on August 9, 1991.*

- [REDACTED] (Nuclear Support Services) answered "yes" by mistake. The matter involved improper use of prescription medication. It was investigated September 26, 1990 when disclosed by NSS prior to assignment of Pruett to PBNP.*

- [REDACTED] (Phillips, Getschow Company) answered "yes" truthfully. He was under follow up testing after badging on April 5, 1990.*

- [REDACTED] (Technical Services for Energy) answered "yes" truthfully. He was under follow up testing after badging on April 11, 1991.*

- [REDACTED] (Ebasco Services) answered "yes" truthfully. He was under follow up testing after badging on April 5, 1991.*

- [REDACTED] (Sprinkmann Sons) answered "yes" truthfully. He was under follow up testing after badging on April 11, 1991.*

- [REDACTED] (Nuclear Support Services) answered "yes" truthfully. He was under follow up testing after badging on March 21, 1991.*

- [REDACTED] (Nuclear Support Services) answered "yes" truthfully. This response was overlooked by WE security on March 18, 1991. It was investigated on August 6, 1991 during the audit of NSS. He tested positive for marijuana at Oyster Creek NPP in 1988. He would be eligible for access at PBNP upon satisfaction of the reinstatement procedure and follow up testing.*

- [REDACTED] (Nuclear Support Services) answered "yes" truthfully. This response was overlooked by WE security on March 18, 1991. It was investigated on August 7, 1991 during the audit of NSS. He tested positive for marijuana at Palisades NPP in 1989. He would be eligible for access at PBNP upon satisfaction of the reinstatement procedure and follow up testing.*

- [REDACTED] (Professional Welding Associates) answered "yes" truthfully. This response was overlooked by WE security on March 26, 1991. It was investigated on July 24, 1991. He tested positive for marijuana at Wolf Creek NPP in 1987. He would be eligible for access at PBNP upon satisfaction of the reinstatement procedure and follow up testing.*

EXEMPT FROM DISCLOSURE

- [REDACTED] (Nuclear Support Services) answered "yes" truthfully. This response was overlooked by WE security on October 3, 1990 and on January 7, 1991. It was investigated as detailed above. He is not eligible for access at PBNP.*

Conclusion

Communications between WE and NSS failed. NSS failed to give notice prior to assignment, as required by 10 CFR Part 26.23(a)(2), of personnel with past positive tests for drugs or alcohol. If notice was in fact given, as alleged, no record of it was made by either NSS or WE.

NSS has committed at the top level of management to take appropriate steps to prevent a repeat of this communication failure. WE has agreed to participate in the creation of a trail of records to the extent necessary to document receipt of information.

WE did not properly review the required documentation during the preliminary screening process.

The forms have been revised to ensure they are completed consistently. The manner in which the records are assembled for insertion in the individual files has been changed to ensure best visibility of the pertinent information. Instruction in review and disposition of the information is complete.

EXEMPT FROM DISCLOSURE

NUCLEAR SUPPORT SERVICES, INC.

Policy Number

GA-1317.8

Title

SECURITY SCREENING PROGRAM
FOR NUCLEAR SAFETY RELATED ASSIGNMENT

Revision No.

8

Applicability/Scope

Field - All Clients

Effective Date

December 19, 1989

Signature

Concurring Department

Date

Originator

Robert C. Dailey

Mgr.-Security/Safety/QC

1/2/90

Concurred by

Brenda E. Heber

Mgr.-Human Resources

1/2/90

Judith (Baich)

Operations Office Manager

12/27/89

Ramp

Chief Operating Officer

1/2/90

Approved by

[Signature]

President

1-5-90

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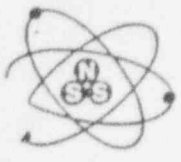
EXHIBIT 6

PAGE 1 OF 11 PAGES

ENCLOSURE 6



~~EXEMPT FROM DISCLOSURE~~



Subject: SECURITY SCREENING PROGRAM FOR NUCLEAR SAFETY RELATED ASSIGNMENT

Policy No: GA-1317.8

Effective Date: December 19, 1989

Employee Application:

Supersedes Policy No: GA-1317.7

PERSONNEL POLICIES

FIELD CORPORATE

Page: 1 of 8

1.0 PURPOSE AND SCOPE

1.1 The primary purpose of the Nuclear Support Services, Inc. (NSS, Inc.) Security Screening Program is to implement the security screening criteria established by each client's contract. This procedure provides the administrative steps and controls that are necessary to assure that, when making a determination of the acceptability of applicants for unescorted access to the client's facilities, applicable screening criteria have been properly implemented and documented.

1.2 In the absence of specific screening criteria from the client or when accepted by the client, this procedure provides the major elements of a screening program that shall be implemented.

2.0 DEFINITIONS

2.1 Nuclear Safety Related: Those activities or responsibilities which serve to prevent or mitigate the consequences of postulated nuclear accidents that could cause undue risk to the health and safety of the public.

2.2 Security Screening: Those measures taken which provide information, or lack of disqualifying information, or a condition on which to base a security appraisal. These measures include but are not limited to record checks, examinations and investigations.

2.3 Continued Employee Observation: An evaluation of employees made by their supervisors to detect unusual behavior that may result in damage to NSS, Inc. or their clients.

2.4 Security Review Board (SRB): Evaluates all information concerning questionable cases as submitted by Security Manager for the purpose of requesting unescorted access. The SRB consists of the Security Manager, an Operations Management representative and one executive of the company, or their designated alternate.

3.0 PROCEDURE

3.1 RESPONSIBILITIES:

3.1.1 The NSS, Inc. Manager of Human Resources Group or his designated representative is responsible for the development, implementation and control of this procedure.

3.1.2 The NSS, Inc. Security Manager is responsible for the administration of the Security Screening Program, for determining the qualifications of applicants for unescorted access into the protected and vital areas of client-owned nuclear power plants and for requesting such access from clients. The Security Manager is also responsible for providing an accurate appraisal of investigative findings that result from the Security Screening Program.

3.1.3 The NSS, Inc. Security Review Board (SRB) evaluates all information concerning questionable cases resulting from the Security Screening Program submitted to the SRB by the Security Manager and will determine whether access should be requested from the client.

EXHIBIT 10

| | | |
|--------------------------------------|--|-------------------------|
| Effective Date: December 19, 1989 | EXEMPT FROM DISCLOSURE NUCLEAR SUPPORT SERVICES, INC. | Policy No: GA-1317.8 |
| Supersedes Policy No: 1317.7 | PERSONNEL POLICIES | Page: 2 of 8 |

3.1.4 The NSS, Inc. Operations Group is responsible for supporting the administration of the Security Screening Program by providing the Security Manager with timely information to include staffing reports listing names, start dates, job sites, positions, reassignments, etc. The NSS, Inc. Operations Group will maintain the primary contact with each applicant and provide the Security Manager with timely and appropriate background information on each applicant including coordinating the satisfactory completion of Job Applications, Security Questionnaires and other pertinent information. The NSS, Inc. Operations Group also supplies Testing Administrators to coordinate psychological examinations in field locations and implements the NSS, Inc. Continual Behavioral Observation Program.

3.1.5 The NSS, Inc. Quality Assurance Group is responsible for performing periodic audits to verify compliance with client contracts and procedures regulating this program.

3.1.6 Cognizant NSS, Inc. supervisory personnel are responsible for observing employees for performance of job-related duties, attendance, and attitude on a continuous basis. In addition, Site Coordinators, Lead Field Technicians, Field Supervisors and/or other individuals, who have been so designated, are responsible for the implementation of the Continual Behavioral Observation Program as defined under NSS, Inc. Procedure GA-1319.

3.1.7 NSS, Inc. employees, prospective employees, and applicants selected for unescorted access are responsible for providing all information required by the NSS, Inc. Security Screening Program.

3.2 PROGRAM:

3.2.1 SCREENING REQUIREMENTS: The Security Manager shall maintain a copy of the client's security requirements and will review those requirements at least annually or whenever contract changes occur. The Security Manager will implement screening of each individual requiring unescorted access to the client's facilities in accordance with the client's security requirements. ~~In lieu of the client's requirements and when accepted by the client, the Program Elements contained in paragraph 3.3 of this procedure may be used to screen individuals for access.~~

3.2.2 SITE SPECIFIC REQUIREMENTS: The Security Manager shall prepare, sign and date an abbreviated "work sheet" which lists the pertinent screening requirements for each site. This work sheet shall be utilized by all NSS, Inc. Security Staff personnel to assure that all requirements for an individual site are implemented on each applicant screened for that site. Changes to the screening requirements on a particular site will require the preparation of a new work sheet by the Security Manager. These work sheets shall be standardized as much as practical to aid in staff familiarity and ease of use.

3.2.3 WAIVERS: The waiving of any element of the Security Screening Program on the basis of prior screenings and/or previous access may be done only if NSS, Inc. and/or the client is in possession of acceptable documents that verify such information.

EXHIBIT 6

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~~EXEMPT FROM DISCLOSURE~~

| | | |
|--------------------------------------|---|-------------------------|
| Effective Date: December 19, 1989 | EXEMPT FROM DISCLOSURE NUCLEAR SUPPORT SERVICES, INC. | Policy No: GA-1317.8 |
| Supersedes Policy No: A-1317.7 | PERSONNEL POLICIES | Page: 3 of 8 |

- 3.2.4 ACCESS APPROVAL: The Security Manager will review all completed screening work sheets and files and perform an evaluation, using the "Evaluation Criteria" shown in paragraph 3.4 below, to determine approval of the applicant for access. Such approval will be noted on the applicable work sheet or on a separate memorandum by signature and date of the Security Manager. When the screening program produces questions about an individual's trustworthiness, emotional stability and reliability, unescorted access shall not be requested unless subsequent investigation can resolve them as being either untrue or not applicable. When the Security Manager is unable or not willing to make a determination concerning an individual applicant based on the results of the completed screening process, such case may be submitted to the SRB by either the Security Manager or the cognizant Operations Manager for appropriate action. Upon satisfactory completion of the screening process, the Security Manager will submit the appropriate request for the applicant to the client for access authorization.
- 3.2.5 TEMPORARY ACCESS AUTHORIZATIONS: When temporary unescorted access authorizations have been granted to applicants by the client on the condition that additional screening must still be accomplished within a specified time, the Security Manager will maintain a suspense file on all such applicants indicating current status and to insure timely completion of screening requirements. Such suspense file shall be reviewed and appropriate actions taken on a weekly basis to assure satisfaction of the conditions of the temporary unescorted access authorization.
- 3.2.6 ACCESS TERMINATION: Upon completion of any assignment that requires access authorization, the Security Manager, or his designee, will notify the client that the applicant has been terminated, transferred, etc. and request termination of the access authorization, as required by contract.
- 3.2.7 SECURITY REVIEW BOARD (SRB): The selection of members and convening of the SRB shall be on a case by case basis depending upon the availability of individuals and the urgency of the case. Action by the SRB shall require a majority vote. At each meeting of the SRB, the senior company representative will preside, and one member will be appointed to act as Secretary and will record, date and sign all SRB actions, recommendations and determinations. Copies of these recordings will be maintained in the applicant's security file along with the results of additional tests, investigations, observations, etc.
- 3.2.7.1 The Security Manager shall prepare correspondence to the SRB outlining the details of the case and a recommendation based upon the background investigation already performed.
- 3.2.7.2 The SRB shall review and, as required, institute additional investigative steps to include tests, interviews, etc., to confirm the information and evaluate the individual's ability to perform assigned duties in a reliable manner. When appropriate, commercial agencies may be used to supplement findings and support conclusions recommended to the SRB.
- 3.2.7.3 The SRB will review and evaluate all pertinent information available and make a determination whether or not to request unescorted access for the applicant. The SRB's determination shall be final.

EXHIBIT 6
PAGE 4 OF 11 PAGES

| | | |
|--------------------------------------|--|-------------------------|
| Effective Date: December 19, 1989 | EXEMPT FROM DISCLOSURE NUCLEAR SUPPORT SERVICES, INC. | Policy No: GA-1317.8 |
| Supersedes Policy No: -1317.7 | PERSONNEL POLICIES | Page: 4 of 8 |

3.2.8 APPLICANT'S FILES: The Security Manager shall create and maintain security screening files on each applicant processed for access. The applicant's file shall be organized in a manner that accommodates ease in review and audit. All screening activities will be properly documented. Memorandums, interview sheets, etc. will be dated and initialled by the individual performing and/or verifying the activity.

3.2.9 APPLICANT'S CONSENT: No element of the screening program affecting an individual applicant may be initiated without the knowledge and written consent of the individual applying for unescorted access authorization. The applicant shall be informed concerning the types of records that may be produced and maintained as a result of the screening process, where such records are normally maintained, the applicant's rights concerning access to the information, and to whom and under what circumstances the information will be released. The Security Questionnaire contains the notices, certifications, authorizations and questions that are appropriate for the Security Screening Program. The applicant may withdraw consent to psychological evaluation or background investigation at any time upon signed written notice to the Security Manager. Screening activities for that applicant will cease as soon as practical. Such withdrawal shall cause the withdrawal of the request for access authorization from the applicable client's location.

3.2.10 RECORDS: Information, records and documents produced by the screening and observation programs may be released only on a need-to-know basis. Records of applicants who were granted unescorted access shall be retained by NSS, Inc. for a three year period following the termination of such access. Each client (or its designated representative) shall have access to those records, documents and procedures applicable to individuals assigned to its facilities by NSS, Inc. for audit purposes. Such access should be by prior notice and during regular work hours.

3.3 PROGRAM ELEMENTS: The following screening program elements may be utilized when so authorized by the client:

3.3.1 INITIAL SCREENING: Initial screening is applicable to individuals who have never been screened, granted unescorted access or whose previous access may not be grandfathered, transferred, or reinstated. When so authorized by the client, initial screening is not required if the applicant's access may be grandfathered because of a clearance previously granted by that client, transferred from another company, reinstated by that client, restricted during cold shutdown or continuously employed for 5 years with NSS. Initial screening, when required, involves a background investigation and a psychological evaluation as follows:

3.3.1.1 Background Investigation: A background investigation shall be performed on each applicant that covers the time period specified, as required by contract, or since the applicant's eighteenth birthday, whichever is shorter and shall include the applicant's employment, education, credit, criminal, and military service history and the applicant's character and reputation, as specified below:

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3.3.1.1.1 Employment History: Except as noted below, employment history must be obtained for the past 5 years through contact with previous employers by obtaining the following information:

Verification of claimed periods of employment of 30 days or more.

Disciplinary history.

Reasons for termination and eligibility for rehire.

Any other information that would adversely reflect upon the reliability and trustworthiness of the individual relative to unescorted access.

Note: Because of a multitude of employments by the applicant, verification of all such employment may not be possible. After an attempt has been made to cover the entire 5 year period, a client may, upon request, grant an unescorted access based upon not less than an inclusive 3 year retrospective employment check.

3.3.1.1.2 Unemployment: Activities during interruptions of employment in excess of 30 days must be verified.

3.3.1.1.3 Education History: Verify any claimed enrollment at an education institution during the previous 5 years. In addition, verify the highest claimed post high school attendance or degree regardless of time.

3.3.1.1.4 Criminal History: As permitted by federal, state and local laws, a records check shall be performed at all claimed jurisdictions of residence during the previous 5 years.

Note: The applicant may be subjected to a criminal history record check through the FBI as requested by the client under NRC regulations.

3.3.1.1.5 Military Service: Verify any claimed or developed period of military service within the last 5 years by receipt of a copy of a Form DD 214.

Note: Within 10 working days of granting unescorted access, a request of the individual's DD-214 shall be requested from the National Personnel Records Center (NPRC).

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|--------------------------------------|--|-------------------------|
| Effective Date: December 19, 1989 | EXEMPT FROM DISCLOSURE NUCLEAR SUPPORT SERVICES, INC. PERSONNEL POLICIES | Policy No: GA-1317.8 |
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3.3.1.1.6 Character and Reputation: The applicant's reputation for emotional stability, reliability and trustworthiness must be examined through contact with 2 references supplied by the applicant and at least 2 additional references developed during the investigation that are not related to the applicant.

Note: It is necessary that the references have had association with the applicant within the preceding 5 year period. Emphasis must be placed on:

- Identified psychological problems.
- Criminal history.
- Illegal use or possession of a controlled substance.
- Abuse of alcohol.
- Susceptibility to coercion.
- Any other conduct relating to an applicant's trustworthiness or reliability

3.3.1.1.7 Verification of Identity: The applicant's identity must be verified through means such as photograph, social security number, date of birth, or comparison of applicant's physical characteristics with employment, education, military and other records, and/or employer and character references who have a personal acquaintance with the applicant. Where permitted by the client, an Employment Eligibility Verification form (I-9) will also be acceptable.

3.3.1.1.8 Credit Check: The applicant's credit history must be verified through checks with credit bureaus and/or credit references.

3.3.1.2 Psychological Evaluation: Reliability and stability must be determined by the results of a reliable written personality test or by any other professionally accepted clinical evaluation procedure. The results of such test or procedure must be evaluated by a qualified and, if applicable, licensed psychologist or psychiatrist. If the results of the written test or other procedure identify any psychological abnormalities which may indicate emotional instability, unreliability, or untrustworthiness, or the results need further clarification, a clinical interview must be conducted by a qualified and, if applicable, licensed psychologist or psychiatrist.

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| Effective Date: December 19, 1989 | EXEMPT FROM DISCLOSURE NUCLEAR SUPPORT SERVICES, INC. | Policy No: GA-1317.8 |
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3.3.1.3 TEMPORARY UNESCORTED ACCESS AUTHORIZATION: A client may grant temporary authorization to an applicant for unescorted access not exceeding a period of one hundred eighty (180) continuous days based on a limited background investigation which includes satisfactory completion of the following conditions:

- 3.3.1.3.1 Applicant has passed a psychological evaluation within the past year.
- 3.3.1.3.2 Conduct a credit check.
- 3.3.1.3.3 Recommendation of 1 developed character reference who has had frequent and direct association with the applicant.
- 3.3.1.3.4 The client has submitted a request to the NRC for a criminal history check by the FBI.

Note: The applicant may be subjected to a criminal history record check through the FBI as requested by the client under NRC regulations.

3.4 EVALUATION CRITERIA: The determination of trustworthiness or reliability and the request to a client (or otherwise certify an applicant) for unescorted access authorization shall be based on an evaluation of the information obtained during the background investigation and psychological evaluation while considering the following:

- 3.4.1 Willful omission or falsification of material information submitted in support of employment or request for unescorted access authorization.
- 3.4.2 Illegal use or possession of a controlled substance or abuse of alcohol without adequate evidence of rehabilitation.
- 3.4.3 A criminal history which establishes untrustworthiness or reliability without adequate evidence of rehabilitation.
- 3.4.4 Continued history of mental illness or emotional instability that may cause a significant defect in the individual's judgment or reliability.
- 3.4.5 Any evidence of coercion, influence, or pressure that may be applied by outside sources to compel an individual to commit any act of sabotage or other act which would adversely reflect upon the individual's trustworthiness or reliability.
- 3.4.6 Evidence that the individual has committed or attempted to commit, or aided or abetted another who committed or attempted to commit, any act of sabotage or other act that would pose a threat or reflect adversely upon that individual's trustworthiness or reliability.
- 3.4.7 A psychological evaluation which indicates that the individual is a risk in terms of trustworthiness or reliability.
- 3.4.8 Any other information that would adversely reflect upon the reliability and trustworthiness of the individual as it relates to the individual being permitted unescorted access.

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|--------------------------------------|--|-------------------------|
| Effective Date: December 19, 1989 | CONFIDENTIAL NUCLEAR SUPPORT SERVICES, INC. | Policy No: GA-1317.8 |
| Supersedes Policy No: 1317.7 | PERSONNEL POLICIES | Page: 8 of 8 |

3.5 UPDATE, TRANSFER AND REINSTATEMENT REQUIREMENTS: A client may grant the transfer or reinstatement of an individual's unescorted access authorization based on the following. Such action requires that the individual's identity be verified.

3.5.1 TRANSFER: An individual's unescorted access authorization granted by one client in accordance with NUMARC Guidelines (Rev. 3A, 10/3/86,) may be transferred to another client by those guidelines provided that the gaining client (1) verifies or receives confirmation that the applicant currently holds a valid unescorted access authorization or had a valid unescorted access authorization which was terminated under favorable conditions within 365 days; and (2) cross checks information such as name, date of birth, social security number, sex, and other applicable physical characteristics for identification.

3.5.2 REINSTATEMENT: A client may reinstate the unescorted access authorization granted an applicant if the applicant returns to the same client within 365 days and if the previous unescorted access authorization was terminated under favorable conditions.

3.5.3 UPDATE: When an individual had previously satisfactorily completed the initial screening requirements and was previously granted unescorted access authorization by a client and that or subsequent unescorted access authorizations are not transferable or reinstatable, both the background investigation and psychological evaluation shall be updated to cover the individual's activities from the date of the previous background investigation or updates, not to a client

4.0 REFERENCES

- 4.1 10 CFR Part 73, Physical Protection for Plant and Materials.
- 4.2 ANSI/ANS Standard 3.3, Security for Nuclear Power Plants (1982).
- 4.3 NUMARC Industry Guidelines for Nuclear Power Plant Access Authorization Programs, Rev. 8A, 10/3/86.
- 4.4 NSS, Inc. Procedure GA-1316, Qualifications for Nuclear Safety Related Assignment.
- 4.5 NSS, Inc. Procedure GA-1319, Continual Behavioral Observation Program
- 4.6 NSS, Inc. Procedure GA-1703, Illegal Drugs, Alcohol, Substances and Unauthorized Items.

EXHIBIT 6
PAGE 9 OF 11 PAGE(S)

[Handwritten signature]



~~EXEMPT FROM DISCLOSURE~~
NUCLEAR SUPPORT SERVICES, INC.

POST OFFICE BOX 3120 HERSHEY, PA 17033 PHONE 717 636 8125

RECEIVED

JUN 08 1990

Corporate Security

June 6, 1990

Mr. David Schroeder
Northern States Power Company
Corporate Screening
414 Nicollet Mall G.O. 2
Minneapolis, MN 55401

Dear Mr. Schroeder,

Nuclear Support Services, Inc. (NSS) is pleased to submit the following addendum to NSS GA-1317.8, Revision 8, Dated 12/19/89 in efforts to comply with Northern States Power Company (NSP) Contractor Access Authorization Procedure. NSS commits to the following steps in addition to those steps outlined in the above mentioned policy:

To conduct a Suitable Inquiry for each NSS employee assigned to any NSP location that will comply with the requirements of Title 10 Code of Federal Regulations Part 26 Fitness For Duty.

The psychological test administered to each NSS employee assigned to any NSP location shall be the MMPI. NSS will seek approval prior to administering any other psychological test.

Supporting documents for the Suitable Inquiry shall be maintained for a period of five (5) years after termination of unescorted access for each employee of NSS assigned to any NSP location.

If you have any questions or if I may be of assistance to you please, do not hesitate to contact me at our headquarters (800)338-7333.

Respectfully,

Robert C. Dailey
Manager - Security

EXHIBIT 6
PAGE 10 OF 11 PAGE(S)



~~EXEMPT FROM DISCLOSURE~~
NUCLEAR SUPPORT SERVICES, INC.

POST OFFICE BOX 3120, HERSHEY, PA 17033 PHONE 717-838-8125

RECEIVED

JUN 22 1990

June 18, 1990

Mr. David Schroeder
Northern States Power Company
Corporate Screening
414 Nicollet Mall G.O. 2
Minneapolis, MN 55401

Corporate Security

Dear Mr. Schroeder,

Nuclear Support Services, Inc. (NSS) is pleased to submit the following addendum to NSS GA-1317.8, Revision 8, Dated 12/19/89 in efforts to comply with Northern States Power Company (NSP) Contractor Access Authorization Procedure. NSS commits to the following steps in addition to those steps outlined in the above mentioned policy:

To conduct a Suitable Inquiry for each NSS employee assigned to any NSP location that will comply with the requirements of Title 10 Code of Federal Regulations Part 26 Fitness For Duty.

The psychological test administered to each NSS employee assigned to any NSP location shall be the MMPI. NSS will seek approval prior to administering any other psychological test.

Supporting documents for the Background Investigation including the Suitable Inquiry shall be maintained for a period of five (5) years after termination of unescorted access for each employee of NSS assigned to any NSP location.

Military Service shall be verified by receipt of records obtained from the National Personnel Records Center (NPRC).

Temporary Access, Updates, Transfers or Reinstatement of unescorted access authorization requires that NSS utilize NSP Form 1-3019, Revision 9.

If you have any questions or if I may be of assistance to you please, do not hesitate to contact me at our headquarters (800)333-7333.

Respectfully,

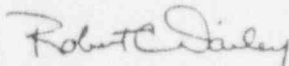
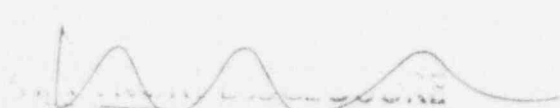

Robert C. Dailey
Manager - Security

EXHIBIT 6

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EMPT FROM DISCLOSURE

(F)

CONTRACT

Wisconsin Electric Power Company

Milwaukee, Wisconsin

WORK: HEALTH PHYSICS
POINT BEACH NUCLEAR PLANT

DATE: JUNE 14, 1990

CONTRACTOR: NUCLEAR SUPPORT SERVICES INC.

CONTRACT NO: 166593

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3-91-017



**Wisconsin
Electric**
POWER COMPANY

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ENCLOSURE 2

~~EXEMPT FROM DISCLOSURE~~

PB-263
Page 8

Fingerprinting of contractor personnel may be required to be conducted up to eight weeks prior to assignment to the company's facility.

- e. The grant, denial, withdrawal, or suspension of any clearance at any time shall be within the sole and exclusive discretion of company. With respect to any such actions, company shall have no liability to contractor, including liability for payment for any employee's wages, salaries, and/or fringe benefits for when he/she cannot work as a result of not having a clearance. Company's decision shall be conclusive and binding on contractor and its employees.
- f. Furthermore, notwithstanding any other indemnities, limitations of liability, or other provisions herein, contractor shall indemnify, defend, and hold harmless, company, its officers, agents and employees, from and against any and all loss and liability for any and all costs, claims and suits by employees or former employees of contractor arising out of (1) the grant, denial, suspension or withdrawal of any clearance, (2) any investigation conducted by company in connection therewith pursuant to this article, and (3) company activities pursuant to this article.
- g. Contractor shall comply with Wisconsin Electric Power Company, Point Beach Nuclear Plant Contractor Security Requirements, Revision 6, dated January 3, 1990. A copy of these requirements are attached as Exhibit C.

4.1.14 In the event contractor's employees have occasion to enter radiation areas at the plant site in connection with the performance of services hereunder, the following shall apply:

- a. Company shall receive, upon arrival of each contractor employee, or each such employee shall arrive at the plant site with, a completed USNRC Form 4 (or equivalent) plus supporting documentation of all legally documented exposure received by the employee including that received during the current calendar quarter. If all legally documented exposure has not been fully processed by a licensee where exposure has not been fully processed by a licensee where exposure was received, dose estimates will be accepted for the preceding thirty (30) days only. Dose estimates beyond thirty (30) days are unacceptable and may result in denial of access to the plant site.

EXHIBIT 7

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~~EXEMPT FROM DISCLOSURE~~



CONTRACTUAL REQUIREMENTS

1.0 PURPOSE

This procedure will ensure that Wisconsin Electric (WE) contractors understand and adhere to the WE Fitness-For-Duty (FFD) Policy, and to the requirements of 10 CFR 26.23.

2.0 SCOPE

Any person or entity which operates under a contractual relationship with WE is subject to these requirements.

3.0 PROCEDURE

3.1 Purchasing Department will obtain written agreements between WE and its contractors that will show:

- 3.1.1 that WE is responsible to the NRC for maintaining an effective FFD program in accordance with 10 CFR Part 26 and therefore the contractor is responsible for adhering to the WE FFD policy;
- 3.1.2 that a person denied access or removed from activities within the scope of 10 CFR Part 26 at another nuclear power plant, will not be assigned to work at PBNP without the knowledge and consent of WE. Such person must have completed a rehabilitation program approved by WE;
- 3.1.3 that duly authorized representatives of the NRC may inspect, copy, or take away copies of any licensee, contractor, or vendor documents, records, and reports related to implementation of the licensee's, contractor's or vendor's FFD program under the scope of the contracted activities.

3.2 The written agreements may be accomplished by delivery to the contractor of a current revision of the WE Contractor Security Requirements with the purchase order or contract and referencing the document in the purchase order or contract.

3-91-017

EXHIBIT 8

PAGE 1 OF 11 PAGE(S)



231 W Michigan, P.O. Box 2046, Milwaukee, WI 53201

(414) 221-2345

September 30, 1991

Peter DeFilippi
Westinghouse
P.O. Box 355 - Bay 268 East
Pittsburgh, PA 15230

Dear Mr. DeFilippi:

The NRC has recently inspected a portion of the Wisconsin Electric (WE) Access Authorization and FFD programs. It was determined that there is inadequate notice to WE's self screening contractors of the requirements of 10 CFR Part 26.23(a)(2). That section requires the contractor to inform WE and obtain WE consent prior to assigning contractor personnel to Point Beach Nuclear Plant who have been denied access elsewhere under a FFD program.

A section from the WE FFD Program Procedures manual which describes that responsibility is provided as an attachment to this letter. Please attach it to your copy of the WE Contractor Security Requirements, Revision 6, and ensure your compliance with this section. If you have any questions, please call me at (414) 221-2698.

Very truly yours,

A handwritten signature in cursive script that reads 'Thomas R. Eells'.

Thomas R. Eells
Security Representative

Enclosure

EXHIBIT 8

PAGE 2 OF 11 PAGE(S)



CONTRACTUAL REQUIREMENTS

1.0 PURPOSE

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3.2 The written agreements may be accomplished by delivery to the contractor of a current revision of the WE Contractor Security Requirements with the purchase order or contract and referencing the document in the purchase order or contract.

EXHIBIT 8

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231 W. Michigan, P.O. Box 2046, Milwaukee, WI 53201

(D)

(414) 221-2345

September 30, 1991

Barbara Trott
Institute for Nuclear Power Operations
1100 Circle 75 Parkway
Suite 1500
Atlanta, GA 30339

Dear Ms. Trott:

The NRC has recently inspected a portion of the Wisconsin Electric (WE) Access Authorization and FFD programs. It was determined that there is inadequate notice to WE's self screening contractors of the requirements of 10 CFR Part 26.23(a)(2). That section requires the contractor to inform WE and obtain WE consent prior to assigning contractor personnel to Point Beach Nuclear Plant who have been denied access elsewhere under a FFD program.

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Very truly yours,

A handwritten signature in cursive script that reads 'Thomas R. Eells'.

Thomas R. Eells
Security Representative

Enclosure

EXHIBIT 8
PAGE 4 OF 11 PAGE(S)



CONTRACTUAL REQUIREMENTS

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EXHIBIT 8

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231 W. Michigan, P.O. Box 2046, Milwaukee, WI 53201

(D)

(414) 221-2345

September 30, 1991

Debbie Lange
Southwest Research Institute
6220 Culebra Road
P.O. Drawer 28510
San Antonio, TX 78284

Dear Ms. Lange:

The NRC has recently inspected a portion of the Wisconsin Electric (WE) Access Authorization and FFD programs. It was determined that there is inadequate notice to WE's self screening contractors of the requirements of 10 CFR Part 26.23(a)(2). That section requires the contractor to inform WE and obtain WE consent prior to assigning contractor personnel to Point Beach Nuclear Plant who have been denied access elsewhere under a FFD program.

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Very truly yours,

A handwritten signature in cursive script that reads 'Thomas R. Eells'.

Thomas R. Eells
Security Representative

Enclosure

EXHIBIT 8

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CONTRACTUAL REQUIREMENTS

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PAGE 7 OF 11 PAGE(S)



231 W Michigan, P.O. Box 2046, Milwaukee, WI 53201

(D)

(414) 221-2345

September 30, 1991

W. Donald Kloker
Nuclear Support Services
P.O. Box 3120
Hershey, PA 17033

Dear Mr. Kloker:

The NRC has recently inspected a portion of the Wisconsin Electric (WE) Access Authorization and FFD programs. It was determined that there is inadequate notice to WE's self screening contractors of the requirements of 10 CFR Part 26.23(a)(2). That section requires the contractor to inform WE and obtain WE consent prior to assigning contractor personnel to Point Beach Nuclear Plant who have been denied access elsewhere under a FFD program.

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Very truly yours,

A handwritten signature in cursive script that reads 'Thomas R. Eells'.

Thomas R. Eells
Security Representative

Enclosure

EXHIBIT 8
PAGE 8 OF 11 PAGE(S)



CONTRACTUAL REQUIREMENTS

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EXHIBIT 8
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231 W. Michigan, P.O. Box 2046, Milwaukee, WI 53201



(414) 221-2345

September 30, 1991

Cathy Alexander
Brand Nuclear
110 Plains Road
P.O. Box 600
Essex, CT 06120

Dear Ms. Alexander:

The NRC has recently inspected a portion of the Wisconsin Electric (WE) Access Authorization and FFD programs. It was determined that there is inadequate notice to WE's self screening contractors of the requirements of 10 CFR Part 26.23(a)(2). That section requires the contractor to inform WE and obtain WE consent prior to assigning contractor personnel to Point Beach Nuclear Plant who have been denied access elsewhere under a FFD program.

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Very truly yours,

A handwritten signature in cursive script that reads 'Thomas R. Eells'.

Thomas R. Eells
Security Representative

Enclosure

EXHIBIT 8
PAGE 10 OF 11 PAGE(S)



CONTRACTUAL REQUIREMENTS

1.0 PURPOSE

This procedure will ensure that Wisconsin Electric (WE) contractors understand and adhere to the WE Fitness-For-Duty (FFD) Policy, and to the requirements of 10 CFR 26.23.

2.0 SCOPE

Any person or entity which operates under a contractual relationship with WE is subject to these requirements.

3.0 PROCEDURE

3.1 Purchasing Department will obtain written agreements between WE and its contractors that will show:

- 3.1.1 that WE is responsible to the NRC for maintaining an effective FFD program in accordance with 10 CFR Part 26 and therefore the contractor is responsible for adhering to the WE FFD policy;
- 3.1.2 that a person denied access or removed from activities within the scope of 10 CFR Part 26 at another nuclear power plant, will not be assigned to work at PBNP without the knowledge and consent of WE. Such person must have completed a rehabilitation program approved by WE;
- 3.1.3 that duly authorized representatives of the NRC may inspect, copy, or take away copies of any licensee, contractor, or vendor documents, records, and reports related to implementation of the licensee's, contractor's or vendor's FFD program under the scope of the contracted activities.

3.2 The written agreements may be accomplished by delivery to the contractor of a current revision of the WE Contractor Security Requirements with the purchase order or contract and referencing the document in the purchase order or contract.

EXHIBIT 8
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WISCONSIN ELECTRIC POWER COMPANY
POINT BEACH NUCLEAR PLANT
CONTRACTOR SECURITY REQUIREMENTS
REVISION 6
JANUARY 3, 1990

APPROVED:



D. M. Lawler
Vice President

EXHIBIT 9

PAGE 1 OF 13 PAGE(S)

3-91-017

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ENCLOSURE No. 3

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Wisconsin Electric Power Company
Point Beach Nuclear Plant
Contractor Security Requirements
Revision 6, January 3, 1990

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January 3, 1990

1.0 PURPOSE AND SCOPE

The purpose of this procedure is to reasonably assure that personnel granted unescorted access to Point Beach Nuclear Plant (PBNP) are trustworthy and reliable and do not pose a threat to commit radiological sabotage or other acts that endanger the security and safety of PBNP and the public health and safety.

The major elements of this procedure are background investigation, psychological evaluation, behavioral observation and the PBNP Fitness-For-Duty policy.

2.0 FEDERAL REQUIREMENTS

Federal regulations require that the licensee control all points of personnel and vehicle access into PBNP protected and vital areas, that authorization be checked at such points, that identification and search of all persons be made, that an identification system be used for all persons who are authorized unescorted access to protected and vital areas and that persons not authorized unescorted access to protected and vital areas be escorted by a watchman or other person designated by the licensee.

The requirements specify that a person, not employed by the licensee but who requires frequent and extended access to the protected and vital areas of PBNP, may be authorized access to such areas without escort provided that the person has been properly screened and furnished with an identification card which authorizes unescorted access. This provision establishes a requirement to screen personnel prior to the authorization of unescorted access to protected and vital areas.

Compliance with this procedure is required of all contractors performing work at PBNP, effective on January 3, 1990.

3.0 RESPONSIBILITIES

3.1 Wisconsin Electric Power Company

The Wisconsin Electric Power Company (WE) is the final grantor and controller of unescorted access to PBNP. Appeals to WE by contractor employees, concerning any action taken by WE under this procedure, may be made to the Corporate Security Officer.

EXHIBIT 9

PAGE 3 OF 13 PAGE(S)

January 3, 1990

3.2 Contractor of Wisconsin Electric Power Company

A. Prior to being granted authorization for unescorted access, each contractor employee shall receive instruction in at least the following subjects:

- (1) Plant description
- (2) Plant security
- (3) Emergency plan
- (4) Quality assurance
- (5) Industrial safety
- (6) Fire protection
- (7) Radiological protection (Basic)
- (8) FFD Policy

Instructions will be given at PBNP at a time agreeable to the contractor and the PBNP Orientations Specialist. The initial instructions will require approximately 6 to 18 hours to complete, depending upon work/access areas required.

B. Persons with unescorted access authorization must immediately report any arrest which would constitute a crime under Wisconsin law if convicted to the PBNP Security Supervisor. Failure to report an arrest may result in revocation of unescorted access authorization.

4.0 APPLICABILITY

This procedure applies to all contractors, subcontractors and their employees whose duties require them to perform work assignments in PBNP protected or vital areas for periods of more than five consecutive days or on a recurring basis of at least once per month.

5.0 SCREENING PROGRAM

WE may grant unescorted access authorization to a person following the satisfactory completion of this screening program. The program consists of a background investigation, a psychological evaluation, and application of the PBNP FFD Policy. The background investigation and psychological evaluation requirements may be waived if the applicant satisfies the requirements for grandfathering or

January 3, 1990

has a previously granted reinstatable access authorization from WE.

No element of the screening program may be initiated without the knowledge and written consent of the applicant for unescorted access. The applicant shall be informed by the contractor that records in support of Section 5.0 will be produced and retained. Those records will be kept at Wisconsin Electric's corporate offices located at 231 W. Michigan Street, Milwaukee, Wisconsin. WE has established and maintains a system of files and procedures for the protection of these records. Contents of the records will not be disclosed to persons other than the applicant, or his/her designated representative, WE counsel and officers, NRC inspectors and WE auditors whose purpose for review would be to ensure program compliance, and those individuals who have need to have access to the information in performing assigned duties in the process of granting or denying access authorization. If the applicant requests that authorization be transferred to another utility, the records will be disclosed to employees of that utility. These records will be retained for three years following termination of unescorted access authorization.

An applicant may withdraw consent to a psychological evaluation, background investigation or application of the PBNP FFD Policy at any time. When consent is withdrawn, all processing of work in connection with this screening program will cease as soon as practical. Withdrawal of consent shall be deemed withdrawal of the application for unescorted access authorization.

5.1 Background Investigation Elements

The background investigation covers the time period specified below or since the applicant's eighteenth birthday, whichever is shorter. The applicant's employment history, education history, credit history, criminal history, military service and the applicant's character and reputation must be addressed as follows:

5.1.1 Employment History

Except as noted below, employment history must be verified for the past five years by obtaining the following information from previous employers:

- a. Verification of claimed periods of employment of 30 days or more.
- b. Disciplinary history.
- c. Reasons for termination and eligibility for rehire.

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January 3, 1990

- d. Any other information that would adversely reflect upon the reliability and trustworthiness of the applicant.
- e. Activities during interruptions of employment in excess of 30 days must be verified.
- f. A suitable inquiry meeting the intent of 10 CFR 26.27(a) must be made.

5.1.2 Education History

Verify all claimed enrollment at educational institutions during the previous five years. In addition, verify the highest claimed post high school attendance or leading to a degree regardless of time.

5.1.3 Criminal History

As required by 10 CFR 73.57, WE shall perform a criminal history record check by submitting the applicant's fingerprints to the Federal Bureau of Investigation in accordance with NRC regulations. In addition, misdemeanor and felony criminal court record checks shall be performed in each county in which the applicant has resided more than 30 days during the previous 5 years.

5.1.4 Military Service

Military service within the last five years shall be verified by receipt of a Form DD214 or other National Personnel Records Center (NPRC) records. This information must be obtained from the NPRC through acquisition and submittal of an applicant's signed authorization for release of military history information. WE may grant temporary unescorted access for 180 days or less pending receipt of a DD214 or other military records if all other applicable elements of the background investigation have been met and a record is maintained documenting that the request for military history was submitted within 10 working days subsequent to the granting of unescorted access. If it becomes known upon receipt of form DD214 that an applicant's separation from military service is other than honorable, further investigation must be made.

5.1.5 Character and Reputation

The applicant's reputation for emotional stability, reliability and trustworthiness must be established by two references supplied by the applicant and at least two additional references (not related to the applicant) who

EXHIBIT 9

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January 3, 1990

were developed during the investigation. It is not necessary that references' association with or knowledge of the applicant cover the entire five-year retrospective period. Emphasis must be placed on:

- a. Identified psychological problems.
- b. Criminal history.
- c. Illegal use or possession of a controlled substance.
- d. Abuse of alcohol.
- e. Susceptibility to coercion.
- f. Other conduct relating to an applicant's trustworthiness or reliability to discharge job duties within the environment of a nuclear power plant.

5.1.6 Verification of Identity

The applicant's identity must be verified through means such as photograph, social security number, date of birth or comparison of applicant's physical characteristics with employment, education, military and other records, and/or employer and character references who have a personal acquaintance with the applicant.

5.1.7 Credit Check

The applicant's credit history must be verified through checks with credit bureaus and/or credit references.

5.2 Psychological Evaluation

Reliability and stability must be determined via a reliable written personality test or by another professionally accepted clinical assessment procedure. The results of the test or procedure must be evaluated by a qualified and, if applicable, licensed professional psychologist or psychiatrist. If the results of the written test or other procedure identify any psychological abnormalities which indicate emotional instability, unreliability or untrustworthiness, or if the results need further clarification, a clinical interview must be conducted by a qualified and licensed professional psychologist or psychiatrist.

5.3 Fitness-For-Duty Policy (10 CFR Part 26)

Contractor employees are required to adhere to the requirements of the Point Beach Nuclear Plant FFD policy and its implementing procedures, or maintain

and adhere to an effective FFD program which meets the standards of 10 CFR Part 26. The PBNP FFD policy and its implementing procedures are in accordance with regulations promulgated by the Nuclear Regulatory Commission (NRC). Please contact the WE liaison person with respect to questions about the PBNP FFD policy.

The PBNP FFD policy includes a Chemical Testing Program (CTP). The CTP requires chemical testing prior to the granting of unescorted access authorization and, on a random basis, for cause, and on a follow-up basis.

Contractor shall allow duly authorized representatives of the NRC to inspect, copy, or take away copies of any contractor documents, records, and reports related to implementation of the licensee's or contractor's fitness-for-duty program under the scope of the contracted activities.

6.0 EVALUATION CRITERIA FOR UNESCORTED ACCESS AUTHORIZATION

In its decision to grant authorization for unescorted access, WE will consider information obtained during the background investigation, psychological evaluation and controlled substance screening. This information will be reviewed using the guidelines specified in this section. To determine trustworthiness and reliability, the following will be considered:

- a. Willful omission or falsification of material information submitted in support of employment or request for unescorted access authorization to protected or vital areas.
- b. Illegal use or possession of a controlled substance or abuse of alcohol without adequate evidence of rehabilitation.
- c. A criminal history without adequate evidence of rehabilitation which establishes untrustworthiness or unreliability.
- d. A history of mental illness or emotional instability that may cause a significant defect in the applicant's judgement or reliability.
- e. Evidence that coercion, influence, or pressure could be applied by outside sources which might compel the applicant to commit an act of sabotage or other untrustworthy or unreliable act.

- f. Evidence that the applicant has committed or attempted to commit, or aided or abetted another who committed or attempted to commit, an act of sabotage or other untrustworthy, unreliable or threatening act.
- g. A psychological evaluation which indicates that the applicant is untrustworthy or unreliable.
- h. Additional information that would adversely reflect upon the reliability and trustworthiness of the applicant as it relates to the applicant being authorized unescorted access.
- i. A positive result on the pre-access screening test.

7.0 REINSTATEMENT OF UNESCORTED ACCESS AUTHORIZATION

7.1 Reinstatement

WE may reinstate a previously terminated unescorted access authorization when the applicant returns to PBNP if unescorted access authorization has not been interrupted for a continuous period of more than 365 days and if the previous unescorted access authorization was terminated under favorable conditions.

7.2 Update Requirements

WE will not reinstate an unescorted access authorization which has been interrupted for more than 365 calendar days unless the psychological evaluation and the background investigation have been updated.

7.2.1 Psychological Update

An update of the psychological evaluation requires readministration of the test or procedure required therein if the results are more than one year old. The requirement for an update of the psychological evaluation is waived if there is no break in service with the employer greater than 90 days and if the applicant has been subject to a continual behavioral observation program since the psychological evaluation.

7.2.2 Background Investigation Update

An update of the background investigation (BI) requires verification of the elements of paragraph 5.1 since the date of the previous BI, not to exceed the periods indicated in Paragraph 5.1 or to the period when unescorted access was last held. The requirement for an update of the BI is waived if there is no break in service

January 3, 1990

with the employer greater than 30 days and if the applicant has been subject to a Continual Behavior Observation Program since the BI.

8.0 GRANDFATHERING OF UNESCORTED ACCESS AUTHORIZATION

WE may grant unescorted access to a person whose unescorted access was in effect on the date this procedure is approved.

9.0 CONTINUAL BEHAVIORAL OBSERVATION PROGRAM

The contractor shall implement a Continual Behavioral Observation Program (CBOP) for its employees who are granted unescorted access to PBNP. The CBOP may be developed and administered by the contractor or by other agencies that WE has determined to be qualified to develop a CBOP. The program must produce a written and signed report assessing each employee at least annually. The CBOP must include the following objectives:

- a. A program that ensures the detection of alcohol or drug abuse or other aberrant behavior that may evince a threat to commit radiological sabotage.
- b. A program that requires management/supervisory observation of employees for behavioral traits and patterns that may reflect adversely on their trustworthiness or reliability and for the contractor to report those observations to WE in a timely manner.
- c. A program which trains management and supervisory personnel to have the awareness and sensitivity to detect and report changes in behavior, including suspected alcohol and drug abuse, which may adversely reflect upon the person's trustworthiness or reliability.

10.0 APPLICATION, AUDITS AND RECORDS

10.1 WE Investigation

Requests for unescorted access shall be made in writing on the contractor's letterhead. Requests must identify the applicant(s) by full name, date of birth, social security number, residence address and date of hire. If the applicant has no reinstatable unescorted access authorization, the contractor shall submit to the WE security officer a completed Nuclear Access Authorization Application (Attachment #1) for each applicant not less than two weeks in advance of the expected start date at PBNP. WE will then conduct a background investigation.

EXHIBIT

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The contractor shall also make the applicant(s) available at PBNP to complete the site training and orientation, psychological evaluation, fingerprinting, and controlled substance screening requirements on, or not more than 60 days prior to, the start date at PBNP. WE will pay for the testing and investigative procedures. It is the contractor's responsibility to pay for the applicant's time and expenses in meeting these requirements.

10.2 Contractor's Screening Program

A contractor which provides 10 or more persons per outage and who has the capability of performing background investigations, psychological evaluations or controlled substance screenings on its own employees may apply to the WE Corporate Security Officer for approval of its screening program. The screening program must be at least as comprehensive as the WE program. When approved, the contractor may submit a letter certifying the completion and satisfactory results of these items as a basis for the granting of unescorted access. The contractor may then request unescorted access in writing on the contractor's letterhead following the format of the sample letter, Attachment #2. This must be done not less than 5 working days before arrival at PBNP.

All costs incurred by the contractor when it chooses to clear applicants under the privilege granted by this paragraph are to be borne by the contractor.

10.3 Audits

Contractors are subject to audit. Failure to maintain adequate records, or failure to fulfill all elements of the screening programs, shall result in immediate revocation of unescorted access for the person(s) involved and may also result in the revocation of the approval granted under paragraph 11.2.

10.4 Communications

All communications concerning the PBNP Contractor Security Requirements should be addressed to the WE Corporate Office:

Wisconsin Electric Power Company
Office of Security
231 W. Michigan Street
P. O. Box 2046
Milwaukee, WI 53201

Telephone: (414) 221-4024
Telefax: (414) 221-4677

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10.5 Records

For the three years following termination, resignation, transfer or lay-off of the employee, contractors shall maintain and protect from unauthorized disclosure records for each employee that include data on:

- a. Each element of the screening program requirements of Section 5.0.
- b. Documentation of the continual behavioral observation program which includes the annual management/supervisory report for each employee and documentation pertaining to the objectives of Section 9.0.

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Point Beach Nuclear Plant Contractor Security Requirements

Attachment #2

Date:

Mr. Clark D. Meyer
Corporate Security Officer
Wisconsin Electric Power Company
231 West Michigan Street
P. O. Box 2046
Milwaukee, WI 53201

Dear Mr. Meyer:

Contractor name hereby applies for unescorted access for our named employee who has been screened in the indicated areas in accordance with section 5.0 of the Point Beach Nuclear Plant contractor Security Requirements, Revision Six. The screening disclosed no adverse character traits that might bear on his/her abilities or motivation to discharge his/her duties in a responsible manner. This person has not been denied access at any other nuclear power plant under a fitness for duty program conforming to 10 CFR Part 26 and is subject to a continued observation program in accordance with section 9.0 of the requirements to monitor the applicant's reliability and trustworthiness. This person will/will not serve as a supervisor while at PBNP.

Full Name:
Date of hire:
Date of birth:
Residence address:
Social Security Number:
Expected start date at PBNP
Expected finish date at PBNP:
Date of background investigation:
Date drug screen submitted:
Date of drug screen result.
Date psych. evaluation administered:
Date of psych. evaluation result:
Date of Supervisory FFD Training:

authorizing signature

EXHIBIT 9
PAGE 13 OF 13 PAGE(S)



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| | |
|----------|--------------------|
| DATE | PURCHASE ORDER NO. |
| 09/07/89 | P60828MB |

NORTHERN STATES POWER COMPANY

PI 1717 WAKONADE DR EAST
WELCH MN 55089

ATTN- JERRY JOACHIM
RENTAL HPS

MAIL INVOICE TO

Northern States Power Co.
Accounts Payable Dept
P.O. Box 9366
Minneapolis, MN 55440-9366

Unless Otherwise Indicated Below
Mail All Acknowledgments,
And Correspondence
Promptly To

Northern States Power Company
PURCHASING DEPT
414 NICOLLET MALL
MINNEAPOLIS MN 55401
612 330-5674

NUCLEAR SUPPORT SERVICES INC
WEST MARKET ST
CAMPBELLTOWN PA 17010

PAGE 1 NSUPORA

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THIS PURCHASE ORDER NO.
AND LINE NO. MUST APPEAR
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| | |
|---------------------------------------|--|
| Order Date | Terms: NET 30 DAYS |
| Order W.O. Number 0 91.03.51.52-14 | Requisition No. G945128 Requisitioner JOACHIM GERALD J Buyer D. M. MUCKWAY |

| No. | Quantity | Material Or Services To Be Furnished | Price |
|----------|----------|--|-------|
| 3-91-017 | | MEMORANDUM OF CHANGE #002 CHANGE THE PERIOD OF COVERAGE TO READ JANUARY 1, 1990 TO DECEMBER 31, 1990. ALL BILLING RATES WILL REMAIN THE SAME. ATTACHMENT 1: LETTER 0007C40 (1 PAGE) DATED 8/21/89 D. FERGUSON, NSSI | |

EXHIBIT 10
PAGE 1 OF 3 PAGE(S)

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ARE GENERALLY TAX EXEMPT AND MUST BE SHOWN
SEPARATELY ON INVOICE.

SHIPPING DATE--
ACKNOWLEDGMENT--ORDER ACCEPTED
BY *[Signature]* DATE 10/3/89

AUTHORIZED SIGNATURE



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PURCHASING DEPARTMENT COPY TYPE HB

| | |
|----------|--------------------|
| DATE | PURCHASE ORDER NO. |
| 12/22/88 | P60828MB |

NORTHERN STATES POWER COMPANY

TO: PI 1717 WAKONADE DR EAST
 WELCH MN 55089
 ATTN-JERRY JOACHIM
 -FOR RENTAL HPS

MAIL INVOICE TO

Northern States Power Co.
 Accounts Payable Dept.
 P.O. Box 9366
 Minneapolis, MN 55440-9366

Unless Otherwise Indicated Below
 Mail All Acknowledgments,
 And Correspondence
 Promptly To
 Northern States Power Company
 PURCHASING DEPT
 414 NICOLLET MALL
 MINNEAPOLIS MN 55401
 612 330-5674

NUCLEAR SUPPORT SERVICES INC
 WEST MARKET ST
 CAMPBELLTOWN PA 17010

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 AND LINE NO. MUST APPEAR
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| | | | | |
|--|-----------------------|----------------------------|-----------------------------------|------------------------|
| Order / Date | Terms: NET 30 DAYS | Requisition No. G945128 | Requisitioner JOACHIM GERALD J | Buyer D. M. MUCKWAY |
| Item Or W.O. Number 00 91.03.51.52-14 | | | | |

| No. | Quantity | Material Or Services To Be Furnished | Price |
|-----|----------|---|-------|
| | | <p>BLANKET ORDER TO PROVIDE RADIATION PROTECTION TECHNICIANS AS REQUESTED BY PRAIRIE ISLAND STAFF DURING THE PERIOD JANUARY 1, 1989 THROUGH DECEMBER 31, 1989.</p> <p>SENIOR TECHNICIANS MUST MEET THE TRAINING AND EXPERIENCE REQUIREMENTS OF ANSI N-18, 1971.</p> <p>ALL PERSONNEL MUST HAVE SECURITY SCREENING.</p> <p>DESIGNATED INDIVIDUALS AUTHORIZED TO ORDER ITEMS OR SERVICES OTHER THAN THE REQUESTOR: G-MALINOWSKI A JOHNSON S DERLETH</p> <p>DOCUMENTATION REQUIREMENTS: ALL SERVICES PERFORMED UNDER THIS PURCHASE ORDER WILL BE CONDUCTED IN ACCORDANCE WITH PLANT ADMINISTRATIVE CONTROL DIRECTIVES AND HEALTH PHYSICS PROGRAM UNDER THE DIRECTION OF THE PLANT RADIATION PROTECTION GROUP PERSONNEL.</p> <p>THIS ORDER SUPERSEDES E57417M0</p> | |

INSURANCE CERTIFICATE
 NO 2956
 IN CURRENT FILE
 DATE 12/22/88
 BUYER

EXHIBIT 10
 PAGE 2 OF 3 PAGE(S)

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NORTHERN STATES POWER COMPANY

PI 1717 WAKONADE DR EAST
WELCH MN 55089

Northern States Power Co.
Accounts Payable Dept
P.O. Box 9366
Minneapolis, MN 55440-9366

MAIL INVOICE TO

SHIP TO

WORK-FOR

ATTN-JERRY JOACHIM
RENTAL HPS

Unless Otherwise Indicated Below
Mail All Acknowledgments,
And Correspondence
Promptly To
Northern States Power Company
PURCHASING DEPT
414 NICOLLET MALL
MINNEAPOLIS MN 55401
612 330-5674

NUCLEAR SUPPORT SERVICES INC
WEST MARKET ST
CAMPBELLTOWN PA 17010

PAGE 2 NSUPORA

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THIS PURCHASE ORDER NO.
AND LINE NO. MUST APPEAR
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| | |
|---|--|
| Scheduled Delivery Date | Terms: NET 30 DAYS |
| Unit Or W.O. Number 300 91.03.51.52-14 | Requisition No. G945128 Requisitioner JOACHIM GERALD J Buyer D. M. MUCKWAY |

| Line No. | Quantity | Material Or Services To Be Furnished | Price |
|----------|----------|--|-------|
| | | <p>ATTACHMENT 1: FORM 3-3019, 25 PAGES. ATTACHMENT 2: FORM 3-3020, 4 PAGES. ATTACHMENT 3: FORM 3-3021, 4 PAGES.</p> <p>THE ATTACHED GENERAL CONDITIONS OF CONTRACT JAN 1977 EDITION SHALL GOVERN THIS ORDER EXCEPT PERFORMANCE BOND REQUIREMENTS DO NOT APPLY.</p> <p>***** THIS ORDER WILL NOT BE VALID UNTIL THE ATTACHED ACKNOWLEDGEMENT COPY HAS BEEN SIGNED AND A COPY OF THE APPLICABLE LABOR RATE SCHEDULE, EQUIPMENT RENTAL SCHEDULE, AND APPROPRIATE DISCOUNTS HAVE BEEN RECEIVED BY THE UNDERSIGNED. *****</p> | |

EXHIBIT 10
PAGE 3 OF 3 PAGE(S)

EXEMPT FROM DISCLOSURE

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TAXES

MATERIAL SUBJECT TO TAX OF STATE TO WHERE MATERIAL IS SHIPPED. ACTUAL FREIGHT CHARGES ARE GENERALLY TAX EXEMPT AND MUST BE SHOWN SEPARATELY ON INVOICE.

BY

NORTHERN STATES POWER COMPANY

AUTHORIZED SIGNATURE

NORTHERN STATES POWER COMPANY
CONTRACTOR ACCESS AUTHORIZATION PROCEDURE
FOR NUCLEAR PLANT UNESCORTED ACCESS

A. BACKGROUND

The U.S. Nuclear Regulatory Commission (NRC) requires that licensees of nuclear power reactors maintain levels of security protection at nuclear power plants in accordance with Title 10 Code of Federal Regulations, Part 73.55 (Requirements for physical protection of licensed activities in nuclear power reactors against radiological sabotage.), and Part 73.57 (Requirements for criminal history checks of individuals granted unescorted access to a nuclear power facility or access to Safeguards Information by power reactor licensees.) and NRC approved security plans. These requirements include screening for trustworthiness and emotional stability of all workers who are granted unescorted access to the protected area of a Northern States Power Company (NSP) nuclear plant. NSP has established this procedure to meet the regulatory requirements. This program procedure encompasses the elements of the NUMARC 89-01, Industry Guidelines for Nuclear Power Plant Access Authorization Programs. Also addressed are the steps necessary for successful implementation of contractor program requirements. NSP supports and recommends the use of contract workers currently holding unescorted access authorization.

B. QUESTIONS AND CORRESPONDENCE

Questions concerning this procedure and correspondence submittals required by this procedure shall be directed to Northern States Power Company, Corporate Screening Services, Corporate Security Department, 414 Nicollet Mall, Minneapolis, Minnesota 55401; telephone 612-330-5579.

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D. DEFINITIONS

1. Audit

An activity to determine through investigation, the adequacy of, and adherence to, established procedures, instructions, specifications, codes, and standards or other applicable contractual and licensing requirements, and the effectiveness of implementation.

2. Continuous Employment

A period of employment which has not been severed for a period of more than 30 consecutive days.

3. Contractor

Any organization under contract for furnishing items or services. For this procedure, other utility companies and utility groups are also included.

4. MSP

Northern States Power Company and its duly authorized agents, contractors, and employees. The address of MSP's General Office is 414 Nicollet Mall, Minneapolis, MN 55401.

5. MSP Responsible Supervisor

An MSP employee having direct responsibility for MSP or contractor workers who need, have or have had unescorted access authorization to a MSP nuclear plant.

6. Suitable Inquiry

A best-effort verification of employment history for the past five years, but in no case less than three years, obtained through contacts with previous employers to determine if a person was in the past, tested positive for drugs or alcohol, subject to a plan for treating substance abuse, removed from, or made ineligible for activities within the scope of 10 CFR Part 26, or denied unescorted access at any other nuclear power plant or other employment in accordance with a fitness for duty policy.

7. Temporary Unescorted Access Authorization

A designation given to workers that have completed portions of the required unescorted access authorization program and are eligible for temporary (interim) unescorted access up to 180 days while the remaining elements of the process are completed.

8. Transferrable Clearance

The exchange, between utilities, of data required for unescorted access authorization.

9. Unescorted Access

Entry into the protected area of a nuclear power plant without an escort.

10. Unescorted Access Authorization

The administrative determination by MSP of workers eligibility to be granted an authorization for unescorted access to a MSP nuclear plant based on a background investigation, psychological evaluation, fingerprint record check (FBI), and results of fitness for duty drug and alcohol test.

11. Unfavorable Termination

A termination of employment or contract agreement for cause and under circumstances that could reflect adversely on the worker's trustworthiness or reliability.

12. Visitor/Escorted Access

A person issued a visitors badge by plant security and granted escorted access to a nuclear plant.

13. Worker

Any contractor employee, supervisor, agent, representative and/or subcontractor employee, supervisor, agent, or representative.

E. MSP APPROVED CONTRACTOR PROGRAM

1. Screening consisting of a documented background investigation and psychological evaluation (see Appendix A, Screening Requirements), shall be completed for contractor workers. This procedure has been designed with the objective of achieving high assurance that workers granted unescorted access authorization to the protected and vital areas of MSP nuclear plants are trustworthy and reliable and do not pose a potential threat to interrupt the normal operation of MSP nuclear reactors.

2. This program procedure defines the acceptable levels for conducting and evaluating the elements of the unescorted access authorization program. Contractors who wish to have their screening program considered for MSP approved status shall submit a current copy of their screening procedures to MSP for review and evaluation (see Section B, Questions and Correspondence). The contractor's procedures shall be approved and screening completed prior to unescorted access being requested or granted to any of the contractor workers. MSP Corporate Security Screening Services shall be informed prior to any changes being implemented in an approved contractor screening program to ensure continued compliance with MSP requirements is maintained.
3. Contractors who are unable to establish or maintain a screening program in compliance with NUMARC 89-01, 10 CFR Part 26 (suitable inquiry) and MSP requirements, may at MSP's discretion, participate in the MSP Unescorted Access Authorization Program (see Section F, MSP Program).
4. A Request for Unescorted Access Authorization, Form 1-3019-1, Figure 1, shall be submitted (see Section B, Questions and Correspondence) for each contractor worker who requires access to a MSP nuclear plant.
 - a. Completion and submission of this form signifies that the contractor has assessed the contractor worker (see Appendix A, Section 3.0, Evaluation Criteria) and determined that there is no known reason to preclude the contractor worker from being recommended for unescorted access authorization, or that a transferrable clearance (see Appendix A, Section 5.1, Transfer) is forthcoming.
 - b. This form shall be reviewed, certified correct, and signed by a designated Contractor Official, responsible for the Unescorted Access Authorization Program. The designated signatory(ies) and their signature(s) shall be submitted under separate cover to MSP Corporate Security Screening Services prior to MSP granting unescorted access authorization to the contractor worker.
 - c. Request for Unescorted Access Authorization, Form 1-3019-1, should be submitted two weeks prior to the contractor worker's anticipated arrival date at the MSP nuclear plant.
5. A Request for Unescorted Access Authorization shall become invalid if:
 - a. The worker is not badged (granted unescorted access) by MSP within 60 days of the receipt of the request.
 - b. The worker's badge is inactive (the worker has not been to an MSP nuclear plant) for more than 365 days.
 - c. The worker's employment with the contractor is not continuous (severed for more than 30 days).

For the listed circumstances, a new Request for Unescorted Access Authorization shall be submitted. Screening updates (see Appendix A, Section 5.3, Updates) shall be completed for workers whose continuous employment has lapsed or if the workers badge is inactive for more than 365 days.

F. MSP PROGRAM

1. Contractors who are unable to establish or maintain a screening program in compliance with NUMARC Access Authorization Guidelines 89-01, and MSP requirements, may at MSP's discretion participate in the MSP Contractor Unescorted Access Authorization Program.
2. Contractors whose programs are not approved by MSP may:
 - a. Request that MSP conduct the background screening for contractor workers.

OR

 - b. The contractor will pursue a transferrable clearance for eligible contractor workers.
3. The contractor shall contact the worker, either directly or through the appropriate union organization, and provide the worker with the following:
 - a. MSP Nuclear Unescorted Access Authorization Program Information, Form 1-3019-2, Figure 2.
 - b. The MSP Nuclear Security Questionnaire, Form 1-3019-3, Figure 3.

- c. The Authorization for Release of Information to Northern States Power Company, Form 1-3019-5, Figure 4.

These forms are to be completed per the instructions. These forms may be obtained by calling MSP (see Section B, Questions and Correspondence). The completed MSP Nuclear Security Questionnaire is considered "personal and confidential" and shall be handled accordingly.

4. The contractor shall submit to MSP the original, completed forms with a letter of transmittal requesting MSP perform the appropriate screening. Anticipated processing time by MSP is up to three weeks from the date a properly completed packet of forms is received by MSP. It is the MSP responsible supervisor's and contractor's responsibility to allow for this processing time in manpower planning.
5. MSP will, upon receipt of the completed forms, initiate a background investigation through a contract investigation service. Results of this investigation are sent to MSP Corporate Security Screening Services.
6. A psychological evaluation will be administered by MSP when the worker reports to the MSP nuclear plant.
7. Alcohol and drug testing will be administered per Fitness for Duty Requirements for Northern States Power Company Nuclear Plants, Form 1-3020.

G. ALL WORKERS SEEKING UNESCORTED ACCESS AUTHORIZATION

1. MSP Corporate Security Screening Services combines the results of the MSP Approved Contractor Unescorted Access Authorization Program and the drug and alcohol test (see Fitness for Duty Requirements for Northern States Power Company Nuclear Plants, Form 1-3020), or evaluates the results of the MSP Unescorted Access Authorization Program, and makes an access authorization recommendation to plant management for final approval. The results of any background investigation performed by MSP, psychological evaluation performed by MSP, and drug and alcohol test performed by MSP are considered "personal and confidential" and will not be furnished to the contractor. The recommendation for unescorted access authorization will be furnished upon request.
2. For a contractor worker to gain unescorted access to a MSP nuclear plant, it is required that:
 - a. The worker has been granted an unescorted access authorization by MSP.
 - b. The MSP responsible supervisor has completed and submitted Monticello Unescorted Access Processing Request, Form 1-3017, or Prairie Island Unescorted Access Processing Request, Form 1-3018, for the worker. Processing of this form by MSP identifies any other requirements necessary for unescorted access, i.e., training, medical, health physics. One week prior to the workers anticipated arrival at a MSP nuclear plant the contractor should ensure this Request for Unescorted Access Processing has been submitted. If the worker's MSP nuclear plant badge has been inactivated (project completion or absent from the plant for greater than 30 days) a new request shall be submitted before the badge is reactivated. For the above listed circumstances, the contractor shall contact the MSP responsible supervisor prior to the worker arriving at the MSP nuclear plant.
3. Until an unescorted access authorization is granted, and other requirements are met (i.e. training, medical, health physics), the worker will not be allowed unescorted access to a MSP nuclear plant. If it is essential that the worker be allowed access the MSP responsible supervisor can request that plant management approve escort arrangements.

H. FINGERPRINTING

1. 10 CFR Part 73.57 requires licensees of nuclear power reactors to submit to the Federal Bureau of Investigation the fingerprints of all workers granted unescorted access to their nuclear plants. The FBI then conducts a criminal history check of the fingerprints and reports the results back to the licensee.
2. To meet these regulatory requirements, MSP will fingerprint all contractor workers upon their arrival at a MSP nuclear plant. Under certain circumstances fingerprints may be transferred from another utility to MSP. Temporary unescorted access can then be granted pending the results of the FBI records check.

I. TERMINATIONS

1. Whenever a worker is terminated under favorable conditions, the contractor shall notify the Plant Security Specialist and MSP Corporate Security Screening Services. Notification shall be in writing and provided within five working days of termination.

2. Whenever a worker is terminated under unfavorable conditions, the contractor shall immediately notify the on duty Plant Security Shift Supervisor and MSP Corporate Security Screening Services.

e. Use the following telephone number(s) for contact:

| | |
|---|--|
| Monticello Security | 612-295-1027 612-295-1193 (secondary) |
| Prairie Island Security | 612-998-4318 612-388-1121 (secondary) |
| MSP Corporate Security Screening Services | 612-330-5579 |

b. Written follow-up notification of the date and reason for termination shall be provided to MSP Corporate Security Screening Services within five working days of any unfavorable termination.

J. SUBCONTRACTOR WORKERS

Subcontractor workers are subject to the same requirements as contractor workers.

K. BEHAVIORAL RELIABILITY

MSP conducts behavioral reliability training for contractors to reasonably assure that supervisors are provided appropriate training to recognize a degradation in work performance due to alcohol, drug abuse, or other behavioral traits and patterns that may cause a threat to interrupt the normal operation of MSP nuclear reactors, and to report persons displaying such behavior to MSP management for appropriate valuation and action (MSP Form 1-3020, Section G, Miscellaneous).

L. AUDITS

Audits will be conducted by the MSP Corporate Security Department, Screening Services or their representative to ensure the contractor complies with the requirements in this procedure. Serious program deficiencies may result in termination of purchase order or withdrawal of the contractors consideration for future contracts. MSP recommends that the contractor ensure through an internal inspection process that they are in compliance.

APPENDIX A

SCREENING REQUIREMENTS

1.0 Background Investigation

The background investigation covers the time period specified in each sub-element listed below or since the eighteenth birthday, whichever is shorter. A best effort to obtain the information requested must be made and documented. Any deviation must be pre-approved by MSP Corporate Security Screening Services. The background investigation is composed of the following elements.

1.1 Employment History

Except as noted below, employment history must be obtained for the past five years through contacts with previous employers by obtaining the following information:

- a. Verification of claimed periods of employment of 30 days or more.
- b. Disciplinary history.
- c. Reasons for termination and eligibility for rehire.
- d. Information that would adversely reflect upon the reliability and trustworthiness of the worker as it relates to the individual requesting unescorted access.
- e. Activities during interruptions of employment in excess of 30 days must be verified.

1.1.1 Because of the multitude of employments that many craft and trade workers experience during a five year period, verification of all claimed employment during the five year period may not be possible. Consequently, these workers may be considered for clearance based upon an inclusive three year retrospective employment check if the entire five year period cannot be covered. Under no circumstances can a nuclear security clearance be granted based on an employment check of less than three years, and documented attempts must be made to include the entire five year period. Explanatory notes regarding the inability to obtain portions of the five year employment history must be included in the worker's file. Approval by MSP in advance on a per case basis is required for a three year check to be accepted.

1.1.2 In addition, a suitable inquiry meeting the requirements of 10 CFR Part 26.27 must be conducted to determine whether the worker has ever been:

- a. Tested positive for drugs or alcohol that resulted in on-duty impairment.
- b. Subject to a plan for treating substance abuse (except for self-referral).
- c. Removed from or made ineligible for activities within the scope of 10 CFR Part 26. Prior to recommending a worker for Unescorted Access Authorization, the contractor shall obtain a written statement from the worker as to whether activities within the scope of 10 CFR Part 26 were ever denied the worker.
- d. Denied access or employment in accordance with a fitness for duty policy.

If such a record is established, the contractor shall immediately contact MSP's Fitness for Duty Coordinator (FFDC) at (612) 330-7999. See Section 4.0 for Temporary Unescorted Access Authorization Suitable Inquiry Requirements.

1.2 Education History

Verify any claimed enrollment at an educational institution during the previous five years. In addition, verify the highest claimed post high school attendance or degree regardless of when it occurred.

1.3 Criminal History/FBI Records

As required by federal law, a criminal history record check, encompassing the worker's adult life, must be performed through the Federal Bureau of Investigation in accordance with 10 CFR Part 73.57. This check is based on the submittal of the worker's fingerprints (see Section M, Fingerprinting).

1.4 Military Service

Military service (claimed or developed) within the last five years must be verified by receipt of a Form DD214 and other National Personnel Records Center (NPRC) records. This information must be obtained from the National Personnel Records Center through acquisition and submittal of the worker's authorization for release of military history information. If it becomes known that an individual's discharge is other than honorable based solely upon receipt of a Form DD214, further investigation shall be made.

1.5 Character and Reputation

The worker's reputation for emotional stability, reliability and trustworthiness must be examined through contact with two references supplied by the worker and at least two additional references not related to the worker that are developed during the investigation. It is not necessary that individually or collectively the references' knowledge of the worker cover the entire five year retrospective period. Emphasis must be placed on:

- a. Identified psychological problems.
- b. Criminal history.
- c. Illegal use or possession of a controlled substance.
- d. Abuse of alcohol.
- e. Susceptibility to coercion.
- f. Other conduct or information relating to a worker's trustworthiness or reliability in discharging job duties within the environment of a nuclear plant.

1.6 Verification of Identity

Identity must be verified through means such as photograph, social security number, date of birth, or comparison of the worker's physical characteristics with employment, education, military and other records, and/or employer and character references who have a personal acquaintance with the worker.

1.7 Credit Check

A check of the worker's credit history must be performed through checks with credit bureaus or by contacting credit references. Items of concern must have follow up action taken.

2.0 Psychological Evaluation

Trustworthiness, reliability and stability shall be determined using the results of a Minnesota Multiphasic Personality Inventory or other professionally accepted clinical assessment procedure. The results of such tests or procedures shall be evaluated by a qualified and licensed psychologist or psychiatrist. If the results of the written tests or other procedures identify any psychological abnormalities which may indicate emotional instability, unreliability or untrustworthiness, or the results need further clarification, a clinical interview shall be conducted by a qualified and licensed psychologist or psychiatrist.

3.0 Evaluation Criteria

3.1 All information obtained through the background investigation and the psychological screening process shall be used to determine the worker's level of reliability and trustworthiness. A designated contractor official shall be responsible for the unescorted access authorization program, and evaluation. This official may seek the counsel of MSP Corporate Security Screening Services (612-330-5579).

3.2 In making this determination, the following must be considered:

- a. Willful omission or falsification of information submitted in support of employment or request for unescorted access authorization.
- b. Illegal use or possession of controlled substances, or abuse of alcohol or drugs without evidence of rehabilitation.

- c. A criminal conviction without evidence of rehabilitation that could reasonably indicate that the worker is untrustworthy or unreliable.
- d. A history of mental illness or emotional instability that may cause a significant defect in the worker's judgment or reliability.
- e. Any evidence of coercion, influence or pressure that may be applied by outside sources to compel that worker to commit an act of sabotage or other act that could adversely reflect upon the worker's trustworthiness or reliability.
- f. Evidence that the worker has committed or attempted to commit, or aided/abetted another in committing or attempting to commit sabotage or other acts that would adversely reflect upon the worker's trustworthiness or reliability.
- g. A psychological evaluation showing that the worker is a risk in terms of trustworthiness or reliability.
- h. Any other information that would adversely reflect upon the reliability and trustworthiness of the worker as it relates to being permitted unescorted access to a nuclear plant.
- i. Suitable Inquiry results establishing a record as identified in Section 1.1.2. Upon establishing such a record, the contractor shall immediately contact MSP Fitness for Duty Coordinator (612-330-7999) for follow on actions prior to recommending the worker for an unescorted access authorization.

4.0 Temporary Unescorted Access Authorization

- 4.1 MSP may grant temporary unescorted access authorization to contractor workers under certain circumstances, on an interim basis, pending completion of the background investigation. If granted, this temporary unescorted access authorization shall not exceed a period of 180 continuous days. The contractor shall make every attempt to complete the entire screening process as soon as possible for those workers granted temporary unescorted access authorization.
- 4.2 MSP may grant a contractor's request for temporary unescorted access authorization based upon satisfaction of the following elements:
 - a. Worker identity has been verified through reliable photo identification.
 - b. The worker has successfully completed a psychological evaluation within the past year.
 - c. A credit check, and appropriate follow-up has been completed.
 - d. The recommendation of one developed character reference, who has had frequent and direct association with the worker, has been obtained.
 - e. An employment check for the past year has been conducted, for the worker, including suitable inquiry. The MSP Fitness for Duty Coordinator shall be contacted for all fitness for duty incidents developed in the suitable inquiry portion of the employment check (612-330-7999).
 - f. A written statement has been obtained stating that the worker has never been denied activities within the scope of 10 CFR Part 26 (Fitness for Duty Programs).
 - g. In cases where a contractor worker's screening (background, FBI criminal history, and psychological) is completed except for receipt of military history records, MSP may grant temporary unescorted access authorization before receipt of a DD214 or other military records if it is documented that a request for military history was submitted to the National Personnel Records Center. Temporary unescorted access authorization may be extended by MSP if the National Personnel Records Center has not forwarded records to the contractor and documented attempts to obtain the records are made at least every six months.
- 4.3 Approved contractors shall submit a Request for Unescorted Access Authorization (Form 1-3019-1) to MSP. This documents that the above requirements have been met.
- 4.4 In addition, MSP must submit or have evidence that fingerprints have been submitted to the NRC for a criminal history check of the contractor worker by the FBI.

5.0 Transfer, Reinstatement and Update of Unescorted Access Authorization

5.1 Transfer

Unescorted access authorization may be transferred to MSP from other utilities. The transfer of screening data is accomplished through the use of form 1-3019-7, Request for Transferrable Unescorted Access Authorization, which is completed and submitted to MSP by the appropriate nuclear plant licensee. Form 1-3019-6, Authorization for Release of Access Authorization Information to Northern States Power Company, is a release to be used by contractors when pursuing a transferrable clearance. Contractors must also ensure the completion and submittal to MSP of Form 1-3019-7, Request for Transferrable Unescorted Access Authorization. In addition, the following requirements must be met before MSP can fully accept a transfer of a worker's unescorted access authorization from another utility.

- a. Evidence that the worker has current unescorted access authorization or previous unescorted access authorization expired within 365 days of the proposed transfer, under favorable terms.
- b. Verification of identity through cross checks of name, date of birth, social security number, sex, and other physical characteristics.
- c. Evidence that all NUMARC 89-01 program elements are met by the other utility screening program.
- d. Verification that the results of the FBI criminal history records check have been received. Completed release/request forms must be submitted to MSP Corporate Security Screening Services, and any criminal history information must be reviewed and considered in making the final clearance decision.
- e. Satisfactory drug and alcohol screening conducted within the preceding 60 days and completion of a suitable inquiry with appropriate follow-up activities.

Temporary unescorted access authorizations are not transferrable between utilities.

5.2 Reinstatement

5.2.1 MSP may at its discretion reinstate a worker's unescorted access authorization if the worker returns to a MSP nuclear plant within 365 days of granting the previous unescorted access authorization for that worker. Other criteria include: the unescorted access was terminated under favorable conditions, the worker's identity has been verified, the worker has satisfactorily completed drug and alcohol testing within the past 60 days. Workers beyond the 60 day limit will require a successful drug and alcohol test, and completion of a suitable inquiry (see Section 1.1.2), prior to their reinstatement being authorized.

5.2.2 It is the contractors responsibility to conduct and document the suitable inquiry of its workers. If any conditions exist and are identified through the suitable inquiry, the MSP Fitness for Duty Coordinator shall be contacted, 612-330-7999.

5.3 Update

5.3.1 Screening must be updated when a worker requires unescorted access and their badge status has been inactive for more than 365 days at both nuclear plants, or continuous employment is interrupted.

5.3.2 Updates consist of the same elements as the initial screening and cover the time since the access badge was inactivated, employment interrupted, or five years, whichever is shorter.

5.3.3 Temporary unescorted access for up to 180 days may be granted while the update is being conducted.

6.0 Grandfathering

MSP may grant unescorted access authorization to workers if they hold a valid unescorted access authorization on the date of this procedure's approval or if they have maintained continuous employment and granted unescorted access authorization within the 365 days prior to the date of this procedure's approval, April 30, 1990.

7.0 Records

7.1 Contractors who conduct unescorted access authorization programs in accordance with this procedure shall maintain actual data that establish the following:

- a. A background investigation and psychological evaluation were conducted for each person screened under Appendix A, except the documentation for the FBI criminal history check which is maintained by MSP.
- b. MSP shall be responsible for those workers granted unescorted access authorization in accordance with Section 6.0, Grandfathering.
- c. Conditions of Section 4.0, Temporary Unescorted Access Authorization, that resulted in the granting of a temporary unescorted access authorization have been satisfactorily completed.
- d. Suitable inquiry and documentation shall be completed and maintained for audit verification. Suitable inquiry shall be part of the background investigation, update verification, reinstatement, and transfer of unescorted access authorization.

7.2 Records shall be retained by the contractor for each worker who is granted unescorted access authorization for a five year period following termination of unescorted access authorization.

7.3 Each contractor who collects personal information for the purpose of requesting unescorted access authorization shall establish and maintain a system of files and procedures for the protection of personal information. This information must not be disclosed to persons other than the subject or his/her representative, utility counsel, or auditors whose purpose of review would be to verify program conformance, other utilities if an individual's unescorted access authorization is transferred, and those individuals who have a need to have access to the information in performing assigned duties in the process of granting or denying unescorted access.

Information submitted to MSP is maintained as confidential by MSP according to the elements listed above.

Review

Each contractor worker whose request for unescorted access authorization is denied or revoked for cause should 1) be informed of the basis for denial or revocation, 2) have the opportunity to provide any additional information, 3) have the decision, together with any additional information, reviewed by a designated manager of the contractor who is equivalent or senior to and independent of the individual who made the initial decision to deny or revoke the worker's eligibility to request unescorted access authorization.

Figure 1
Request for Unescorted Access Authorization
Form 1-3019-1 (Page 1 of 2) (Typical - Use Current Revision)

Form 1-3019-1 Rev 2 (NRC) 11/77

REQUEST FOR UNESCORTED ACCESS AUTHORIZATION

Send to: NORTHERN STATES POWER COMPANY
Corporate Screening Services
Corporate Security Department
414 Nicollet Mall
Minneapolis, MN 55401

The following individual, an employee of _____
(Name and Address of _____,
Company) has undergone screening

as outlined by Northern States Power Company (NSP) Contractor
Access Authorization Procedure, Form 1-3019, is favorably
recommended, and requires unescorted access authorization to NSP
nuclear plants. A review of our records (as evidenced by the
self inspection portion of this form), and other information
available, disclosed no evidence of emotional instability,
aberrant behavior, untrustworthiness, or unreliability.

NAME _____ DATE EMPLOYED _____

ADDRESS _____

SOC. SEC. NO. _____ DATE OF BIRTH _____

U.S. CITIZEN - YES ___ NO ___

TYPE OF UNESCORTED ACCESS AUTHORIZATION REQUESTED (appropriate
checklist must be completed on page two):

(check one)

TEMPORARY: _____ DATE COMPLETED: _____

FULL: _____ DATE COMPLETED: _____

TRANSFERABLE: _____ UTILITY COMPANY: _____

The records and reports generated during the access authorization
procedure for the above named individual are available for
inspection at _____
upon request by Northern States Power Company or its contractor.

Please provide the name of the NSP RESPONSIBLE SUPERVISOR (an NSP
employee) or the project with which your employee is associated:

Figure 1 (continued)
 Request for Unescorted Access Authorization
 Form 1-3019-1 (Page 2 of 2) (Typical - Use Current Revision)

Form 1-3019-1 Rev 3 (NLSACD 8.7)

The items listed on this checklist correspond with components of Northern States Power Company Contractor Access Authorization Procedure, as described in Appendix A. Completion of these items shall be according to these requirements.

| TEMPORARY | COMPLETED | FULL | COMPLETED | TRANSFERRABLE | COMPLETED |
|----------------------------------|-----------|------------------------------------|-----------|---|-----------|
| One year employment verification | _____ | Five years employment verification | _____ | Authorization for Release of Authorization Information to Northern States Power Company (Form 1-3019-6) | _____ |
| One developed reference check | _____ | Military service verification | _____ | Submitted Request for Transferrable Unescorted Access Authorization to transferring utility | _____ |
| Credit check | _____ | Education verification | _____ | | |
| Psychological evaluation | _____ | Reference checks (2) | _____ | | |
| | | Developed reference checks (2) | _____ | | |
| | | Credit check | _____ | | |
| | | Verification of identity | _____ | | |
| | | Residential address verification | _____ | | |
| | | Criminal records check | _____ | | |
| | | Driving record check | _____ | | |
| | | Psychological evaluation | _____ | | |

This is to certify that the above listed checklist items have been completed, evaluated with satisfactory results, and are available for audit by Northern States Power Company, or its contractor. As a designated, and authorized manager of this company, responsible for the unescorted access authorization program, I herewith make this request.

NAME _____
 TITLE _____
 SIGNATURE _____
 DATE _____ TELEPHONE NUMBER _____

Upon approval of this request by NSP, and satisfactory completion of fingerprinting, and fitness for duty requirements, access authorization may be granted.

Figure 2
MSP Nuclear Unescorted Access Authorization Program Information
 Form 1-3019-2 (Page 1 of 2) (Typical - Use Current Revision)

Form 1-3019-2 Rev 1 (RIACB 8-7)

MSP NUCLEAR UNESCORTED ACCESS
 AUTHORIZATION PROGRAM INFORMATION

1. Why does MSP have a Nuclear Unescorted Access Authorization Program?

MSP has a Nuclear Unescorted Access Authorization Program because MSP must comply with federal regulations which require that persons who are granted unescorted access to a nuclear plant be determined to be reliable and trustworthy. MSP's program is built on national standards on access authorization to which most nuclear utilities conform.

2. Who will have to be screened?

All persons who require unescorted access to a MSP nuclear plant. Participation in the access authorization program is voluntary. However, access authorization cannot be granted to individuals who do not satisfactorily complete the process.

3. What is involved in access authorization?

In order to get unescorted access authorization, the individual must first be identified as needing unescorted access to the nuclear plant(s). The individual then completes the MSP Nuclear Security Questionnaire with its associated forms, and takes the psychological tests. The forms are used by MSP Corporate Screening Services to conduct a background investigation, and psychological evaluation. MSP will not initiate the access authorization program without properly completed and signed forms.

4. What is a background investigation?

Background investigations are coordinated through MSP Corporate Screening Services, and are actually conducted by a licensed investigative agency that has been retained by MSP for this purpose. During an investigation, records of law enforcement agencies, and of courts, are checked where legally possible. Inquiries are conducted at employers, residences, and places of education. Credit bureau records are also obtained. Your listed references will be contacted, as well as references which are developed during the investigation. If an individual has been treated for a mental or emotional illness, or for alcohol or drug abuse, appropriate medical records are requested and/or medical personnel are interviewed to affirm the individual's current reliability to occupy a position requiring access authorization. Other checks are conducted to account for an individual's activities during periods of unemployment and for other reasons.

5. What is a psychological evaluation?

Psychological testing requires the individual to complete a multiple choice examination(s). The results are interpreted by a licensed psychologist or psychiatrist. Several hours are allotted for this testing. Sometimes an interview with a psychologist is required to clarify test results. In these instances, interviews will be arranged through Corporate Screening Security.

6. Who grants unescorted access authorization?

Corporate Screening Services will review the results of the background investigation, and psychological evaluation to assess whether access authorization should be granted. The appropriate nuclear plant manager makes the final decision for granting unescorted access to the plant after other access requirements are met, i.e., training, medical, and health physics. The individual's supervisor will receive written notification of the access authorization determination (cleared or denied) from Corporate Screening Services.

7. Who maintains and controls access to access authorization files?

All information obtained, and developed during this process is maintained in strict confidence by Corporate Screening Services. The information is used only for the purpose of determining whether or not an individual should be granted unescorted access authorization. Arrangements for seeing your file can be made through contacting Corporate Screening Services.

Access authorization information may be transferred to another nuclear plant to aid in your gaining access authorization, provided certain conditions are met. Information regarding your access authorization may not be transferred unless MSP has received written authorization from you.

Figure 2 (continued)
NRP Nuclear Unescorted Access Authorization Program Information
Form 1-3019-2 (Page 2 of 2) (Typical - Use Current Revision)

Form 1-3019-2 Rev 1 (NRC 4-7)

The entire access authorization program is subject to audit by the Nuclear Regulatory Commission, and other authorized organizations to determine NRP compliance with the access authorization program requirements.

8. What are the grounds for denial or withdrawal of access authorization?

- a. Willful omission or falsification of information submitted in support of employment or request for unescorted access to protected or vital areas;
- b. Use of nonprescribed narcotics or hallucinogenic drugs or excessive use of alcohol;
- c. A criminal conviction that could cause concern as it related to the safety or security of the plant;
- d. History of mental illness or emotional instability that may cause a significant defect in the individual's judgment or reliability;
- e. Any evidence of coercion, influence or pressure that may be applied by outside sources to compel an individual to commit an act of sabotage that could affect the health or safety of the public or plant personnel;
- f. Any other information that would adversely reflect upon the reliability and trustworthiness of the individual as it relates to being permitted unescorted access.

Individuals who are denied access authorization will be so notified in writing by Corporate Screening Services. NRP does grant the right to appeal to individuals who feel their denial was not merited. Requests for appeal must be made in writing to Corporate Screening Services within 30 days of the date of the notification letter. Costs of an appeal are the individual's unless (a) the individual is a current NRP employee; or (b) through the appeals process, access authorization is granted.

9. What could result from a questionable background investigation?

If unfavorable information concerning an individual is developed through a background investigation, an interview may be arranged between the individual and Corporate Screening Services personnel during which the individual will have the opportunity to provide additional or corrective information relevant to the case.

If extremely unfavorable information is developed, the individual may simply be denied access authorization.

10. How does access authorization affect employment status?

An applicant who is denied access authorization, or does not agree to undergo any part of the process, will not be given further consideration for that position.

Current NRP employees who require unescorted access authorization are expected to participate in the program as necessary. Incumbents who are subsequently denied access authorization must work with the Social Resource Center, and management to regain access authorization in order to remain in their current position. A current employee who refuses to participate in the program must submit a written statement to that effect to the company.

11. Who can provide more information?

Northern States Power Company, Corporate Screening Services, Corporate Security Department, 414 Nicollet Mall - 2nd Floor, Minneapolis, Minnesota, 55401; telephone number 612-330-6021.

Figure 3
NSP Nuclear Security Questionnaire
Form 1-3019-3 (Page 1 of 4) (Typical - Use Current Revision)

NSP - 3019-3 Rev. 1 (NSAC) 2/8

NSP NUCLEAR SECURITY QUESTIONNAIRE

INSTRUCTIONS FOR SECURITY QUESTIONNAIRE

(Read this page before answering any questions.)

1. This form must be completed in ink or typed. Please print or write legibly.
2. Before completing this form, you should read and understand the contents of the NSP Nuclear Security Screening Program Information, Form 1-3019-2. This information form is yours to keep and refer to in the future.
3. If you have any questions while completing the form, please ask the NSP representative for help. Incomplete forms cannot be processed and will be returned for correction. Improperly completed forms only delay your nuclear security clearance.
4. After completing the questionnaire and the authorization, please make sure that you have signed them and your signature has been witnessed.
5. Once completed, the questionnaire is considered to be CONFIDENTIAL. If you are completing this questionnaire under guidance of NSP Security personnel, please give your completed forms to the Security Representative who will review the forms with you to insure that they are complete.
6. If there is something in your background you do not want to discuss on your forms, please check the Interview Request box at the very end of the questionnaire and you will be contacted by the NSP Security Department to discuss the problem.
7. If you need additional space, please put your name on each extra page used and indicate the number of the question you are answering.
8. Your cooperation in expediting this process is appreciated.

NAME _____
LAST FIRST MIDDLE INITIAL

Job Title _____ Employer (If Non-NSP) _____

If you are a UNION MEMBER: Local # _____ Craft _____

TO BE COMPLETED BY HIRING DEPT. OR SECURITY DEPT.

Dept. # or Company Name _____

Supervisor _____

Contact Person: _____

Page 1 of 4

Figure 3 (continued)
 MSP Nuclear Security Questionnaire
 Form 1-3019-3 (Page 3 of 4) (Typical - Use Current Revision)

Form 1-3019-3 Rev. 1-1980 (2)

15. **EDUCATION:** List high school and all institutions of higher learning after high school regardless of how long ago you attended. (List only schools where you were taking courses for credit or for a degree. Do not list company-sponsored training unless it was part of a degree or certificate program. Do not list military schools.)

| DATES OF ATTENDANCE | | NAME AND ADDRESS OF SCHOOL (City and State) | GRADUATE | | TYPE OF DEGREE OR DIPLOMA |
|---------------------|----|--|----------|----|---------------------------|
| FROM | TO | | YES | NO | |
| | | | | | |
| | | | | | |

GED® (applicable)

| NAME AND ADDRESS OF SCHOOL | DATE PASSED |
|----------------------------|-------------|
| | |

16. **RESIDENCES:** Complete history for past 5 years. List all apartment numbers and actual street numbers for P.O. Box or Rural Route addresses. If you were in school, in the military, or in a temporary address unit at a time during the past 5 years, list the addresses where you actually lived, in addition to your permanent home address. If in barracks, on-board ship or in a school dormitory, so indicate. Do not list any addresses of less than 30 days duration, unless it is your current address.

| DATES RESIDED | | NUMBER AND STREET | CITY/STATE/ZIP | COUNTY |
|---------------|----|-------------------|----------------|--------|
| FROM | TO | | | |
| | | | | |
| | | | | |

17. ARE YOU NOW OR HAVE YOU EVER USED ILLEGAL DRUGS OR NARCOTICS, OR HAVE YOU EVER ABUSED THE USE OF PRESCRIPTION DRUGS?
 YES NO If yes, explain _____
18. ARE YOU NOW OR HAVE YOU EVER BEEN PSYCHOLOGICALLY OR PHYSICALLY ADDICTED TO THE USE OF HABIT FORMING LEGAL OR ILLEGAL DRUGS SUCH AS NARCOTICS OR BARBITUATES?
 YES NO If yes, explain when, where, and what treatment was received, if any _____
19. ARE YOU NOW OR HAVE YOU EVER BEEN AN EXCESSIVE USER OF ALCOHOLIC BEVERAGES?
 YES NO If yes, include when, where, and what type of treatment you received, if any _____
20. HAVE YOU EVER BEEN ARRESTED OR CONVICTED FOR VIOLATION OF ANY LAW? (Includes all laws, i.e. petty misdemeanors, misdemeanors, gross misdemeanors, felonies, etc. and all drinking or drug related driving violations.)
 YES NO If yes, give date, place, arresting agency, charges, and outcome _____
21. DRIVER'S LICENSE # _____ STATE OF ISSUE _____ VERIFIED
22. HAS YOUR DRIVER'S LICENSE EVER BEEN REVOKED OR SUSPENDED?
 YES NO If yes, explain _____
23. HAVE YOU EVER DECLARED BANKRUPTCY?
 YES NO If yes, explain when and where _____
24. HAVE YOU EVER COMMITTED OR ATTEMPTED TO COMMIT OR WILLINGLY AIDED OR ABETTED ANOTHER WHO COMMITTED OR ATTEMPTED TO COMMIT ACTS OF VIOLENCE OR UNLAWFUL PROTEST AGAINST PUBLIC UTILITIES AND/OR PARTICIPATED IN THE PUBLICATION OF WRITTEN MATERIAL ENCOURAGING OTHERS TO VIOLENTLY OR UNLAWFULLY PROTEST AGAINST THE USE OF NUCLEAR ENERGY OR PUBLIC UTILITIES?
 YES NO If yes, explain _____
25. HAVE YOU EVER BEEN GRANTED UNESCORTED ACCESS TO ANY NUCLEAR FACILITY?
 YES NO If yes, where and when _____
26. HAVE YOU EVER BEEN DENIED UNESCORTED ACCESS TO ANY NUCLEAR FACILITY, OR HAVE HAD YOUR UNESCORTED ACCESS REMOVED DUE TO A CONFIRMED POSITIVE DRUG OR ALCOHOL TEST, OR DUE TO REFUSAL TO PARTICIPATE IN A DRUG OR ALCOHOL TEST?
 YES NO If yes, when and where? _____

Figure 3 (continued)
HSP Nuclear Security Questionnaire
Form 1-3019-3 (Page 4 of 4) (Typical - Use Current Revision)

Form 1-3019-3 Rev. 2-2000 2/01

27. HAVE YOU EVER BEEN DENIED A SECURITY CLEARANCE OR BEEN REFUSED A BOND?
 YES NO If yes, when _____
 Explain _____
28. DO YOU HAVE ANY FOREIGN PROPERTY OR FOREIGN BUSINESS CONNECTIONS, OR HAVE YOU EVER BEEN EMPLOYED BY A FOREIGN GOVERNMENT OR FOREIGN FIRM?
 YES NO If yes, explain _____
29. DO YOU HAVE ANY CLOSE RELATIVES LIVING IN FOREIGN COUNTRIES?
 YES NO If yes, provide names, relationships, and their addresses _____
30. ARE YOU NOW OR HAVE YOU EVER BEEN A MEMBER OF THE COMMUNIST PARTY?
 YES NO If yes, explain _____
31. HAVE YOU EVER RECEIVED ANY TRAINING IN THE TECHNIQUES OF SUBVERSION, SABOTAGE OR ESPIONAGE?
 YES NO If yes, explain _____
32. HAVE YOU EVER RECEIVED ANY TRAINING IN THE USE OR MANUFACTURE OF DEMOLITIONS, EXPLOSIVES, FIREARMS OR INCENDIARIES?
 YES NO If yes, explain _____
33. DO YOU HAVE A HISTORY OF ANY EMOTIONAL, MENTAL OR NERVOUS DISORDERS? HAVE YOU EVER BEEN TREATED FOR EMOTIONAL, PSYCHOLOGICAL OR MENTAL PROBLEMS?
 YES NO If yes, explain _____

34. DO YOU HAVE A HISTORY OF EPILEPSY? YES NO DIABETES? YES NO
 If either of the two conditions were answered "yes", certification by a licensed physician will be required that the condition(s) can be controlled with proper medication so that you will not lapse into a coma or unconscious state while performing your assigned duties.

35. PERSONAL CHARACTER REFERENCES: You must list at least three references. Do not list relatives. References must have known you at least one full year. (Do not list Business Agents unless they are personal friends.)

| NAME | ADDRESS | DAYTIME TELEPHONE # |
|------|---------|---------------------|
| 1 | | |
| 2 | | |
| 3 | | |

36. IF YOU WERE IN THE MILITARY SERVICE OR FULL TIME ACTIVE DUTY DURING THE PAST 5 YEARS, GIVE THE NAME AND ADDRESS OF AT LEAST ONE PERSON WITH WHOM YOU SERVED, WHO CAN COMMENT ON THE CHARACTER OF YOUR MILITARY SERVICE. (If you were not on fulltime active duty during the past 5 years, do not answer this question.)

| NAME | ADDRESS | DAYTIME TELEPHONE # |
|------|---------|---------------------|
| | | |

37. HEIGHT _____ COLOR OF HAIR _____
 WEIGHT _____ COLOR OF EYES _____
 ANY DISTINCTIVE SCARS OR OTHER PHYSICAL FEATURES? _____

38. IS THERE ANYTHING IN YOUR BACKGROUND NOT MENTIONED ABOVE WHICH MAY AFFECT YOUR ABILITY TO BE GRANTED AN NSP NUCLEAR SECURITY CLEARANCE?
 YES NO If yes, explain _____

39. IF THERE IS SOMETHING IN YOUR BACKGROUND YOU WANT TO DISCUSS OR CLARIFY, PLEASE CHECK THE INTERVIEW REQUEST BOX AND YOU WILL BE CONTACTED BY THE NSP SECURITY DEPARTMENT TO DISCUSS THE ISSUE.
 I WANT I DO NOT WANT AN INTERVIEW WITH AN NSP SECURITY REPRESENTATIVE TO DISCUSS MY BACKGROUND.

CERTIFICATION

I certify that my answers to the foregoing questions are true, complete and accurate to the best of my knowledge and beliefs, and are made in good faith. I authorize Northern States Power Company and its agents to conduct appropriate inquiries concerning my personal history with the understanding that any information acquired will be used only for the purpose of determining my eligibility to be granted NSP Nuclear Security Clearance. I further understand that any material misstatements contained herein may be cause for denial or revocation of my security clearance by Northern States Power Company.

DATE _____ SIGNATURE _____
 WITNESS _____

Page 4 of 4

Figure 4
Authorization for Release of Information to Northern States Power Company
Form 1-3019-5 (Typical - Use Current Revision)

Form 1-3019-5 Rev 1 (NLACD 8.7)

AUTHORIZATION FOR RELEASE OF INFORMATION
TO
NORTHERN STATES POWER COMPANY

To: Any Registrar, Dean, Principal, or Other Authorized Person
at a School (University, College, High School, Trade School
or Other);
Any Past or Present Employer;
Any Law Enforcement Agency, or Any Department or Agency of a
City, County, State, or Federal Government;
Any Financial Institution or Creditor;
Any Person Having Knowledge of My Conduct or Activities; or
Any Utility Company

I, _____
Full Name (Typed or Printed, Include Maiden) Date of Birth

hereby authorize Northern States Power Company, or authorized
representatives bearing the release, or copy thereof, within 6
months of its date, to conduct an appropriate determination of my
eligibility to be granted an MSP Security Clearance. I authorize
all persons who may have information relevant to this check to
disclose it to Northern States Power Company, or its agent, and I
hereby release all persons from liability on account of true and
accurate disclosure. I hereby further authorize that a photocopy
of this authorization be considered as valid as an original. The
information obtained from this check is for the official use of
MSP and will not be released to other parties except to those
parties which are under contract by MSP Corporate Security for
the purpose of MSP Security Screening. Should there be any
questions as to the validity of this release, you may contact me
as indicated below.

SIGNATURE _____ DATE _____
TELEPHONE # _____

WITNESS (THIS FORM MUST BE WITNESSED TO BE VALID.)

SIGNATURE OF WITNESS _____
DATE _____

Figure 5
Authorization for Release of Access Authorization Information to Northern States Power Company
Form 1-3019-6 (Typical - Use Current Revision)

Form 1-3019-6, Rev 1 (NIACD 8.7)

AUTHORIZATION FOR RELEASE OF
ACCESS AUTHORIZATION INFORMATION
TO
NORTHERN STATES POWER COMPANY

To: Any Utility Company

I, _____
Full Name (Typed or Printed, Includes Maiden) Date of Birth _____

hereby request with this release, or copy thereof, within 6 months of its date, that any information which will aid in transferring my nuclear plant access authorization, be released to Northern States Power Company (NSP). I authorize all persons who may have information relevant to this request to disclose to Northern States Power Company, and I hereby release all persons from liability on account of true and accurate disclosure. I hereby further authorize that a photocopy of this authorization be considered as valid as an original. The information obtained from this check is for the official use of NSP and will not be released to other parties except to those parties which are under contract by NSP Corporate Security for the purpose of NSP Security Screening. Should there be any questions as to the validity of this release, you may contact me as indicated below.

SIGNATURE _____ DATE _____

TELEPHONE # _____

WITNESS (THIS FORM MUST BE WITNESSED TO BE VALID.)

SIGNATURE OF WITNESS _____

DATE _____

Figure 6
Request for Transferable Unescorted Access Authorization
Form 1-3019-7 (Typical - Use Current Revision)

Form 1-3019-7 Rev 6 (MIACD 8.7)

REQUEST FOR TRANSFERABLE UNESCORTED ACCESS AUTHORIZATION

Send to: NORTHERN STATES POWER COMPANY
Corporate Screening Services
Corporate Security Department
414 Nicollet Mall
Minneapolis, MN 55401

NAME: Last First Middle Date of Birth Soc. Sec. No.

requests that his/her clearance be transferred to Northern States Power Company, Corporate Screening Services, 414 Nicollet Mall, 2nd Floor, Minneapolis, MN 55401.

To transfer the clearance, the licensee transferring the records must provide the following information regarding the worker named above.

Dates worker had unescorted access to licensee's nuclear plant:

Date access began: _____

Date access ended: _____

Was access terminated under favorable conditions? Yes ___ No ___

Does the licensee have records documenting a completed access authorization for the above named worker which meets all requirements as described in NUMARC Access Authorization Guidelines 89-01? Yes ___ No ___

Date of last drug and alcohol test conducted pursuant to 10CFR26:

Results of last drug and alcohol test: Pass ___ Fail ___

Please provide a copy of the worker's fingerprint card, and results of the FBI criminal history records check.

The above is accurate to the best of my knowledge.

Signature of Authorized Manager _____ Title _____ Date _____

Name of Signatory - printed _____ Telephone number _____

Utility name _____

Utility address _____

FITNESS FOR DUTY REQUIREMENTS
FOR NORTHERN STATES POWER COMPANY NUCLEAR PLANTS

A. Background

On June 7, 1989, the U.S. Nuclear Regulatory Commission (NRC) issued 10CFR26, a final rule concerning fitness for duty programs at nuclear power plants. Northern States Power Company (NSP) fully supports this rule in an effort to maintain safe operation of the NSP nuclear plants. This form specifies how the rule and NSP policy are invoked on contractors.

B. Definitions

1. Badging

The process by which a worker is granted unescorted access to an NSP nuclear plant, including nuclear security clearance screening, drug and alcohol testing, fingerprinting, and training.

2. Contractor

The corporation, company, partnership, firm, or individual who has entered into this contract for the performance of the work covered thereby, and its, his, or their employees or representatives.

3. Fit for Duty

The appropriate mental and physical condition necessary to perform assigned work in a competent, safe manner.

NSP

Northern States Power Company and its duly authorized agents and employees. The address of NSP's general office is 414 Nicollet Mall, Minneapolis, MN 55401.

5. NSP Nuclear Plant Site

The NSP property on which the NSP nuclear plant is located, including the protected area and surrounding facilities such as the plant training center, Nuclear Projects Department building, other offices and trailers, fabrication shops and warehouses. The NSP nuclear plants are the Prairie Island Nuclear Generating Plant located in Red Wing, MN and the Monticello Nuclear Generating Plant located in Monticello, MN.

6. Protected Area

The area immediately surrounding the nuclear plant encompassed by physical barriers and to which access is controlled by badging.

7. Subcontractor

A corporation, partnership, firm, or individual having a direct contract with the contractor for performing work, and its, their, or his employees and representatives.

8. Worker

Any contractor employee, supervisor, agent, representative and/or subcontractor employee, supervisor, agent, or representative who is badged at an NSP nuclear plant and is present at the NSP nuclear plant site or the NSP general office.

3-91-017

EXHIBIT 72

PAGE 1 OF 5 PAGE(S)

- b. Rehabilitation shall be accomplished through rehabilitation programs which are licensed or certified by appropriate state authorities and may be accessed by contractor employee assistance programs.

V. Worker Requirements

1. Each worker shall report to work at an MSP nuclear plant site or the MSP general office fit for duty. If, after reporting to work, a worker considers himself not fit for his assigned duties, he shall report his condition to either his MSP or contractor supervisor.
2. Workers shall not use or consume any amount of mood altering, non-prescription substances (except legitimate use at recommended dosages of over-the-counter drugs which has been reported to the worker's supervisor) on MSP premises or while conducting business for MSP during working hours, including breaks, lunches, and overtime. This includes all forms of alcohol, narcotics, depressants, amphetamines, hallucinogens, and marijuana. Workers smelling of alcohol (alcohol on their breath) will not be allowed access to any MSP facility.
3. Workers shall not consume alcohol within 5 hours prior any scheduled work period.
4. Workers shall report to their supervisors (contractor or MSP) their use of:
 - a. Physician prescribed mood altering drugs, narcotics, depressants, amphetamines, or other controlled substances.
 - b. Over-the-counter drugs that affect fitness for duty. These drugs usually contain warnings for drowsiness, for excitability, to not use heavy machinery, or similar precautions.
5. During their period of assignment to an MSP nuclear plant site or the MSP general office, workers shall report to the appropriate MSP supervisor any arrest or conviction that might reflect upon their fitness. This includes all arrests or convictions related to drugs or alcohol (including drug or alcohol related driving or boating violations), theft, or violence.
6. Workers shall report for all drug and alcohol tests required by MSP and provide urine and breath specimens for analysis. Excused absences from required drug and alcohol tests will be determined by the MSP supervisor and generally will allow for planned vacations/time-off, sick days, being away from the nuclear plant site or MSP general office on planned company business.

E. MSP Nuclear Plant Access Restrictions

1. Workers who are not fit for duty are not permitted to continue their normal work assignments. MSP supervisors will reassign work or remove the worker from duty as appropriate.
2. Workers will be immediately removed from MSP premises and will have access to all MSP facilities revoked for any of the following reasons:
 - a. Sale, use or possession of illegal drugs at an MSP nuclear plant site, the MSP general office, or any other MSP premises.
 - b. Off-site (including off-the-job periods) sale, use, or possession of illegal drugs. Lacking any other evidence to indicate the use, sale or possession of illegal drugs on-site, a confirmed positive drug test is presumed to be an indication of off-site drug use.
 - c. Consumption of alcohol or abuse of legal drugs at an MSP nuclear plant site, the MSP general office, or any other MSP premises.
3. Workers may be removed from MSP premises and have access to all MSP facilities revoked for off-site abuse of legal drugs (including chronic alcohol abuse).

6. MSP will remove a worker from duty for drug or alcohol abuse and revoke access to MSP facilities as indicated in E. MSP Nuclear Plant Access Restrictions. MSP will perform a subjective evaluation of individual circumstances for off-site abuse of legal drugs (including chronic alcohol abuse) to determine if the worker's access can be maintained.
7. MSP will perform an assessment of the circumstances surrounding the removal from duty of any worker. During this assessment, the worker's access authorization will be removed (i.e., his badge pulled).
8. MSP will permanently revoke access to all MSP facilities for any worker who refuses to undergo random drug and alcohol testing or a fitness for duty examination (including drug and alcohol testing) as directed by MSP. Refusal will be documented as removal for cause in accordance with 10CFR26.27(c).
9. MSP will turn over to local law enforcement agencies any suspected illegal substances found on MSP property, during nuclear plant entry searches, or confiscated as a result of incidents or security searches on MSP property.
10. MSP retains the right to accept or reject the rehabilitation of any worker. Any rejection will be based upon the rehabilitation not meeting MSP's standards or such other circumstances as will be identified to the contractor after rejection by MSP.

6. Miscellaneous

1. MSP will provide indoctrination on fitness for duty requirements to all workers during nuclear plant badge training and additional training for contractor supervisors and workers who will serve as escorts.
2. The contractor agrees that compliance with the MSP fitness for duty requirements shall provide the contractor with no basis for compensation in the form of time, money, or otherwise and further agrees to hold MSP harmless from and against any and all claims by the contractor's agents, employees, or representatives arising out of the meeting or failure to meet these requirements.
3. Questions concerning these fitness for duty requirements should be directed to:

Manager Corporate Security
Northern States Power Company
414 Nicollet Mall
Minneapolis, MN 55401
Telephone: 612-330-5630



NUCLEAR SUPPORT SERVICES, Inc.

SECURITY QUESTIONNAIRE

Federal regulations and our quality assurance procedures require that NUCLEAR SUPPORT SERVICES, Inc. perform security screening on all current and future employees. Please complete the following for this purpose.

INSTRUCTIONS—All sections must be completed. Write "NONE" when applicable. Type or print all answers. If space is not adequate for complete answers, attach a supplemental sheet to this form. Applicant must sign authorization on page 6.

| | | | | | |
|--|--|-------|----------------------|---|------------|
| 1 | Name <u>[REDACTED]</u> <u>[REDACTED]</u> <u>[REDACTED]</u> | | | SOCIAL SECURITY NUMBER (verify with Soc. Sec. card) | |
| | Last | First | Middle | [REDACTED] | [REDACTED] |
| OTHER NAMES USED (include maiden name) | | | DRIVER'S LICENSE NO. | | |

| | | | | | | |
|---|---|--------|------|---------------------------------|-----|--|
| 2 | Present Address <u>[REDACTED]</u> <u>[REDACTED]</u> <u>[REDACTED]</u> <u>[REDACTED]</u> <u>[REDACTED]</u> <u>[REDACTED]</u> | | | | | |
| | No. | Street | City | State | Zip | |
| | Present Phone No. <u>[REDACTED]</u> | | | Permanent Phone No. <u>SAME</u> | | |
| 3 | Permanent Address <u>[REDACTED]</u> <u>[REDACTED]</u> <u>[REDACTED]</u> <u>[REDACTED]</u> <u>[REDACTED]</u> <u>[REDACTED]</u> | | | | | |
| | No. | Street | City | State | Zip | |

| | | | | | | | | | |
|---|------------|-------|-----|------|-----|-------------|------|-------|--------|
| 3 | BIRTH DATA | MONTH | DAY | YEAR | AGE | BIRTH PLACE | CITY | STATE | COUNTY |
|---|------------|-------|-----|------|-----|-------------|------|-------|--------|

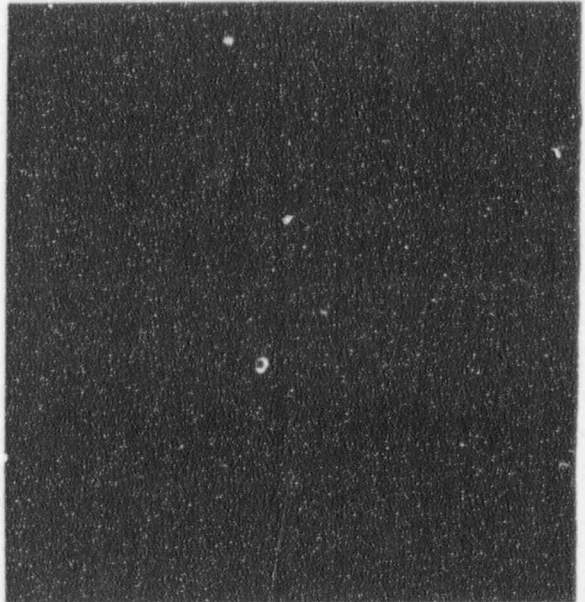
| | | | | | |
|---|-------------|--------|------------|------------|-----|
| 4 | DESCRIPTION | | | | |
| | HEIGHT | WEIGHT | COLOR EYES | COLOR HAIR | SEX |

| | | | | | |
|---|--|--|-------------------|--|--|
| 5 | MARITAL STATUS (check one) | | | | |
| | <input checked="" type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Divorced <input type="checkbox"/> Widower | | | | |
| | DATE OF LAST MARRIAGE | | PLACE OF MARRIAGE | | |
| | IF DIVORCED, GIVE DATE AND PLACE | | | | |

| | | | | | |
|---|--|--|--|--|--|
| 6 | IF FOREIGN BORN, FILL OUT | | | | |
| | <input type="checkbox"/> Alien <input type="checkbox"/> Derivative <input type="checkbox"/> Citizen <input type="checkbox"/> Naturalized Citizen | | | | |
| | ALIEN REGISTRATION NUMBER (verify with card) | | | | |
| | DATE ENTERED U.S. | | | | |
| | PORT OF ENTRY | | | | |
| | DATE FINAL PAPERS | | | | |

| | | | | | |
|---|--|--------------|--------------------------------|-----------------------------|---------------------|
| 7 | SELECTIVE SERVICE DATA | BOARD NUMBER | ADDRESS | DRAFT CLASSIFICATION NUMBER | AUTHORITY ACTIVE DU |
| | MILITARY SERVICE? | | | IF YES, SERIAL NO. | RANK OR I |
| | <input type="checkbox"/> YES <input type="checkbox"/> NO | | N/A | | |
| | BRANCH OF ARMED SERVICE | | OCCUPATION IN MILITARY SERVICE | | |

| | | |
|---|--|-----------|
| 8 | (A) ARE YOU NOW OR HAVE YOU EVER BEEN A MEMBER OF OR AFFILIATED WITH AN ANTI-NUCLEAR GROUP? | <u>NO</u> |
| | (B) HAVE YOU BELIEVED IN OR DO YOU NOW BELIEVE IN THE OVERTHROW OF NUCLEAR POWER UNITS BY FORCE OR BY ANY ILLEGAL OR UNCONSTITUTIONAL METHODS? | <u>NO</u> |
| | (C) ARE YOU NOW OR HAVE YOU EVER BEEN A MEMBER OF OR SUPPORTED ANY ORGANIZATION THAT BELIEVES IN OR TEACHES THE OVERTHROW OF THE NUCLEAR POWER UNITS BY FORCE OR BY ANY ILLEGAL OR UNCONSTITUTIONAL METHODS? | <u>NO</u> |



A) IN YOUR LIFETIME HAVE YOU EVER BEEN CONVICTED OF AN OFFENSE OTHER THAN A MINOR TRAFFIC VIOLATION? NO ANSWER YES OR NO?
 B) DO YOU HAVE A CRIMINAL CASE PENDING OR HAVE YOU EVER HAD A CASE DIVERTED? NO ANSWER YES OR NO?

IF YOU ANSWERED "YES" TO EITHER OF THE ABOVE, LIST ALL SUCH CASES. IN EACH CASE (1) THE CHARGE OR NATURE OF THE OFFENSE (2) DATE (3) THE PLACE WHERE CONVICTED, PLACED ON DIVERSION OF CASE PENDING (4) DISPOSITION OR THE PENALTY IMPOSED, IF ANY. EXCLUDE ALL MINOR TRAFFIC VIOLATIONS EXCEPT THOSE INVOLVED WITH ALCOHOL OR CONTROLLED SUBSTANCES.

CONVICTIONS (include all convictions - omit minor traffic violations, sealed or juvenile)

| CHARGE | DATE | PLACE WHERE CONVICTED OR SUMMONED INTO COURT | DISPOSITION |
|--------|------|--|-------------|
| N/A | | | |

Is there anything in your background that would preclude you from obtaining a security clearance? NO If yes, desc

Have you ever had a security clearance? YES If yes, on what job? GINNA, Jan 1988
Fort Calhoun, Sept. 1988

Have you ever been bonded? NO If yes, on what jobs?

Are you now or have you ever been a chronic user to excess of alcoholic beverages? NO If yes, describe

Are you a user of narcotics, hallucinogenic, or other dangerous drugs? NO If yes, describe

Are you now or have you ever been addicted to the use of habit forming drugs such as narcotics or barbituates? NO If describe

Do you have any record of financial irresponsibility? NO If yes, describe

Do you have a history of mental or nervous disorders? NO If yes, describe

Have you ever been fired or forced to leave a job or position? NO If yes, explain when, where, and the circumstar

Have you ever accumulated any occupational radiation exposure as a result of your previous work? YES If so inclu completed NRC form 4 along with copies of your exposure.

List all civilian schools, military academies, service schools, technical institutes, specialized training and courses

| FROM TO (Month/Year) | NAME AND LOCATION OF SCHOOL OR INSTITUTE | GRADUATED OR COMPLETED? | VERIFYING DOCUMENT Please Send Copy |
|----------------------|--|-------------------------|-------------------------------------|
| [REDACTED] | [REDACTED] | [REDACTED] | |
| [REDACTED] | [REDACTED] | [REDACTED] | |
| [REDACTED] | [REDACTED] | [REDACTED] | |
| | | EXHIBIT | <u>13</u> |
| | | PAGE | <u>2</u> OF <u>7</u> PAGE(S) |

all letters
3/20

see B 3/13/89

PART B



NUCLEAR SUPPORT SERVICES, Inc

SECURITY QUESTIONNAIRE

Federal regulations and our quality assurance procedures require that NUCLEAR SUPPORT SERVICES, Inc. perform security screening on all current and future employees. Please complete the following for this purpose.

INSTRUCTIONS—All sections must be completed. Write "N/A" when applicable. Type or print all answers. If space is not adequate for complete answers, attach a supplemental sheet to this form. Applicant must sign authorization on page 6.

| | | | |
|---|--|--|---|
| Name Last: [redacted] First: [redacted] Middle: [redacted] | | | SOCIAL SECURITY NUMBER (verify with Soc. Sec. card) [redacted] |
|---|--|--|---|

| | |
|--|------------------------------------|
| OTHER NAMES USED (include maiden name) [redacted] | DRIVER'S LICENSE NO. [redacted] |
|--|------------------------------------|

Present Address: No. [redacted] Street [redacted] City [redacted] State [redacted] Zip [redacted]

Present Phone No. [redacted] Permanent Phone No. [redacted]

Permanent Address: No. [redacted] Street [redacted] City [redacted] State [redacted] Zip [redacted]

| | | | | | | | | | |
|---|------------|------------|------------|------------|------------|-------------|------------|------------|------------|
| 3 | BIRTH DATA | MONTH | DAY | YEAR | AGE | BIRTH PLACE | CITY | STATE | COUNTY |
| | [redacted] | [redacted] | [redacted] | [redacted] | [redacted] | [redacted] | [redacted] | [redacted] | [redacted] |

| | | | | | |
|---|-------------|------------|------------|------------|------------|
| 4 | DESCRIPTION | | | | |
| | HEIGHT | WEIGHT | COLOR EYES | COLOR HAIR | SEX |
| | [redacted] | [redacted] | [redacted] | [redacted] | [redacted] |

MARITAL STATUS (check one)
 Single Married Divorced Widowed
 DATE OF LAST MARRIAGE _____ PLACE OF MARRIAGE _____

5
 IF DIVORCED, GIVE DATE AND PLACE _____
 IF SEPARATED, GIVE DATE _____

IF FOREIGN BORN, FILL OUT
 Alien Derivative Citizen Naturalized Citizen

6
 ALIEN REGISTRATION NUMBER (verify with card) _____
 DATE ENTERED U.S. _____
 PORT OF ENTRY _____
 DATE FINAL PAPERS _____
 NATURALIZATION NUMBER _____
 COURT GRANTING FINAL PAPERS _____

PASS PORT PHOTO
(Black and White)

| | | | | | | |
|---|--|--------------------------------|-----------------------------------|-------------------------------|---|---|
| 7 | SELEC- TIVE SERVICE DATA | BOARD NUMBER | ADDRESS | DRAFT CLASSIFI- CATION NUMBER | AUTHORITY FOR DISCHARGE OR SEPARATION FROM ACTIVE DUTY (verify with Military & copy of form DD 2-4) | TYPE OF DISCHARGE <input type="checkbox"/> HONORABLE <input type="checkbox"/> DISHONORABLE |
| | <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO | | | | | |
| | MILITARY SERVICE: IF YES, SERIAL NO. | | RANK OR RATE WHILE ON ACTIVE DUTY | | | |
| | BRANCH OF ARMED SERVICE | OCCUPATION IN MILITARY SERVICE | DATE OF ENTRY | DATE OF SEPARATION | | |
| | PAST OR PRESENT MILITARY RESERVE STATUS, ACTIVE OR INACTIVE: GIVE ORGANIZATION, RANK OR RATE | | | | | |

8

(A) ARE YOU NOW OR HAVE YOU EVER BEEN A MEMBER OF OR AFFILIATED WITH AN ANTI-NUCLEAR GROUP? ANSWER YES OR NO

(B) HAVE YOU BELIEVED IN OR DO YOU NOW BELIEVE IN THE OVERTHROW OF NUCLEAR POWER UNITS BY FORCE OR BY ANY ILLEGAL OR UNCONSTITUTIONAL MEANS? ANSWER YES OR NO

(C) ARE YOU NOW OR HAVE YOU EVER BEEN A MEMBER OF OR SUPPORTED ANY ORGANIZATION THAT BELIEVES IN OVERTHROWING THE OVERTHROW OF THE NUCLEAR POWER UNITS BY FORCE OR BY ANY ILLEGAL OR UNCONSTITUTIONAL MEANS? ANSWER YES OR NO

EXHIBIT 13

PAGE 3 OF 7

EMPLOYMENT ①

1. List all employment you have had for at least five years to include periods of unemployment. Also give accurate, complete full-time and part-time employment record. Start with present or most recent employer.

| | | |
|--|--|--|
| <p>1</p> <p>✓ <i>unemployed</i></p> <p>Ray Brooks Assoc</p> <p>State Job Title and Describe Your Work</p> | <p>Dates employed (month, day, year)</p> <p>From <i>Dec 21/88</i> To <i>present</i></p> <p>Job Site</p> <p>Reason for Leaving</p> | <p>Name of Supervisor:</p> <p>Address:</p> <p>Phone:</p> <hr/> <p>Name Of Job Reference:</p> <p>Address:</p> <p>Phone:</p> |
| <p>2</p> <p>✓ <i>unemployed</i></p> <p>Ray Brooks Assoc</p> <p>State Job Title and Describe Your Work</p> <p><i>JR HP</i></p> | <p>Dates employed (month, day, year)</p> <p>From <i>8/12/88</i> To <i>12/21/88</i></p> <p>Job Site <i>Ft Calhoun</i></p> <p>Reason for Leaving <i>F.O.I.</i></p> | <p>Name of Supervisor:</p> <p>Address: Ray Brooks Assoc</p> <p>Phone: Ray Brooks Assoc</p> <hr/> <p>Name Of Job Reference:</p> <p>Address: <i>Rev. ...</i></p> <p>Phone:</p> |
| <p>✓ <i>unemployed</i></p> <p>Ray Brooks Assoc</p> <p>State Job Title and Describe Your Work</p> | <p>Dates employed (month, day, year)</p> <p>From <i>7/16/88</i> To <i>9/12/88</i></p> <p>Job Site</p> <p>Reason for Leaving</p> | <p>Name of Supervisor:</p> <p>Address:</p> <p>Phone:</p> <hr/> <p>Name Of Job Reference:</p> <p>Address:</p> <p>Phone:</p> |
| <p>4</p> <p>✓ <i>unemployed</i></p> <p>Ray Brooks Assoc</p> <p>State Job Title and Describe Your Work</p> <p><i>JR HP</i></p> | <p>Dates employed (month, day, year)</p> <p>From <i>1/5/88</i> To <i>7/15/88</i></p> <p>Job Site <i>GINNA</i></p> <p>Reason for Leaving <i>F.O.I.</i></p> | <p>Name of Supervisor:</p> <p>Address: <i>Fred ...</i></p> <p>Phone: <i>315-524-4446</i></p> <hr/> <p>Name Of Job Reference:</p> <p>Address:</p> <p>Phone: <i>Rev. ...</i></p> |
| <p>5</p> <p>✓ <i>unemployed</i></p> <p>Ray Brooks Assoc</p> <p>State Job Title and Describe Your Work</p> | <p>Dates employed (month, day, year)</p> <p>From <i>7/1/87</i> To <i>1/5/88</i></p> <p>Job Site</p> <p>Reason for Leaving</p> | <p>Name of Supervisor:</p> <p>Address:</p> <p>Phone:</p> <hr/> <p>Name Of Job Reference:</p> <p>Address:</p> <p>Phone:</p> |

EMPLOYMENT

(2)

List all employment you have had for at least five years to include periods of unemployment. Give accurate, complete full-time and part-time employment record. Start with present or most recent employer.

| | | | |
|--|--|--|---|
| 1 Name and address of employer's organization Phone: State Job Title and Describe Your Work | Dates employed (month, day, year) From 4/82 To 9/87 | Job Site | Name of Supervisor: Address: Phone: Attending College |
| | Reason for Leaving | Name Of Job Reference: Address: Phone: | |
| 2 Name and address of employer's organization Phone: State Job Title and Describe Your Work | Dates employed (month, day, year) From 7/84 To 4/84 | Job Site | Name of Supervisor: Address: Phone: Attending college |
| | Reason for Leaving | Name Of Job Reference: Address: Phone: | |
| 3 Name and address of employer's organization Phone: State Job Title and Describe Your Work | Dates employed (month, day, year) From 5/84 To 4/84 | Job Site | Name of Supervisor: Address: Phone: |
| | Reason for Leaving | Name Of Job Reference: Address: Phone: | |
| 4 Name and address of employer's organization Phone: State Job Title and Describe Your Work | Dates employed (month, day, year) From 1980 To 5/84 | Job Site | Name of Supervisor: Address: Phone: |
| | Reason for Leaving | Name Of Job Reference: Address: Phone: | |
| 5 Name and address of employer's organization Phone: State Job Title and Describe Your Work | Dates employed (month, day, year) From To | Job Site | Name of Supervisor: Address: Phone: |
| | Reason for Leaving | Name Of Job Reference: Address: Phone: | |

EXHIBIT 13

PAGE 5 OF 7

RESIDENCES

List all residences permanent, temporary, and any military assignments if applicable for at least the past five years.

References who are NOT related to you and who have definite knowledge of your qualifications and fitness for the position for which you are applying. Do not repeat names of supervisors listed under employment. Start with present or most recent residences.

Give two character references for each residence.

| | |
|--|---|
| From _____ To _____ month/year month/year | Name: _____ Address: _____ Phone: _____ |
| Address: _____ | Name: _____ Address: _____ Phone: _____ |
| From <u>7/86</u> To <u>7/87</u> month/year month/year | Name: _____ Address: _____ Phone: _____ |
| Address: _____ | Name: _____ Address: _____ Phone: _____ |
| From _____ To _____ month/year month/year | Name: _____ Address: _____ Phone: _____ |
| Address: _____ | Name: _____ Address: _____ Phone: _____ |
| From _____ To _____ month/year month/year | Name: _____ Address: _____ Phone: _____ |
| Address: _____ | Name: _____ Address: _____ Phone: _____ |

A) IN YOUR LIFETIME HAVE YOU EVER BEEN CONVICTED OF AN OFFENSE OTHER THAN A MINOR TRAFFIC VIOLATION? NO
 B) DO YOU HAVE A CRIMINAL CASE PENDING OR HAVE YOU EVER HAD A CASE DIVERTED? NO
 ANSWER YES OR NO

IF YOU ANSWERED "YES" TO EITHER OF THE ABOVE, LIST ALL SUCH CASES IN EACH CASE (1) THE CHARGE OR NATURE OF THE OFFENSE (2) DATE, (3) THE PLACE WHERE CONVICTED, PLACED ON DIVERSION OF CASE PENDING (4) DISPOSITION OR THE PENALTY IMPOSED, IF ANY. EXCLUDE ALL MINOR TRAFFIC VIOLATIONS EXCEPT THOSE INVOLVED WITH ALCOHOL OR CONTROLLED SUBSTANCES.

CONVICTIONS (include all convictions - omit minor traffic violations, state 1 or juvenile)

| CHARGE | DATE | PLACE WHERE CONVICTED OR SUMMONED INTO COURT | DISPOSITION |
|--------|------|--|-------------|
| | | N/A | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

Is there anything in your background that would preclude you from obtaining a security clearance? no If yes, describe _____

Have you ever had a security clearance? yes If yes, on what job? GINNA FT. CH. HALL

Have you ever been bonded? no If yes, on what jobs? _____

Are you now or have you ever been a chronic user to excess of alcoholic beverages? no If yes, describe _____

Are you a user of narcotics, hallucinogenic, or other dangerous drugs? no If yes, describe _____

Are you now or have you ever been addicted to the use of habit forming drugs such as narcotics or barbituates? no describe _____

Do you have any record of financial irresponsibility? no If yes, describe _____

Do you have a history of mental or nervous disorders? no If yes, describe _____

Have you ever been fired or forced to leave a job or position? no If yes, explain when, where, and the circumstances _____

Have you ever accumulated any occupational radiation exposure as a result of your previous work? yes If so include completed NRC form 4 along with copies of your exposure.

List all civilian schools, military academies, service schools, technical institutes, specialized training and courses

| FROM TO (Month/Year) | NAME AND LOCATION OF SCHOOL OR INSTITUTE | GRADUATED OR COMPLETED? | VERIFYING DOCUMENTS Please Send Copy |
|----------------------|--|-------------------------|--------------------------------------|
| [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] |
| [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] |
| [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] |
| [REDACTED] | [REDACTED] | [REDACTED] | [REDACTED] |

EXHIBIT 13

PAGE 7 OF 7 PAGE(S)

1. NAME OF APPLICANT [REDACTED] CASE NUMBER _____
2. SOCIAL SECURITY NUMBER [REDACTED] DIVISION PS _____ HP _____ I&C _____
3. PERSONAL REFERENCE [REDACTED] SQ # _____ Developed Reference _____
[REDACTED]
ADDRESS _____ CITY _____ STATE _____ ZIP _____ TELEPHONE _____

4. MR/MS [REDACTED] has applied for employment with NSS, Inc. and has listed you as a character reference. Do you have a few minutes to answer a few questions?

Do you remember (him/her)? YES _____ NO _____

What were the dates that you knew this individual? 3 yrs to Present

Have you known (him/her) socially or professionally ?

5. a. What was your day to day relationship with him/her? friend, Co-workers
at Linn

Were you in a position to observe (him/her) closely?

yes

c. Or is your knowledge from someone else?

6. What kind of work very specifically, did (he/she) do for a profession?

HP Tech

7. To your knowledge, did (he/she) have financial, domestic, alcohol, drug, or gambling difficulties?

no

8. Are you aware of any criminal record (he/she) might have?

If so, give remarks no

E(S)

3-91-017

EXHIBIT 14

PAGE 1 OF 10 PAGE(S)

TELEPHONE PERSONAL CHARACTER REFERENCE CHECK

9 Are you aware of any mental or physical illness?

If so, give remarks no

10 Would you regard him her as being a person of honesty and integrity? YES NO

11 What was his/her general reputation? What kind of person was he/she?

very outgoing, gets along well with everyone

12 Would you recommend him her for a position in the Nuclear Power Plant industry? YES NO

13 Could you please provide us with another reference of someone who could positively identify the applicant? Give name, address and telephone number.

NAME no

ADDRESS _____

PHONE () _____

RESIDENCES VERIFIED: (from application) ~~_____~~

15 EMPLOYMENTS VERIFIED: (from application) ~~_____~~

16 UNEMPLOYMENT PERIOD(S) AND/OR EDUCATION: (from application) 5/84 / 4/84

H. School Dec 21 88 / present 7/16/88 9/12/88

COMMENTS

9/87 1/5/88

REVIEWED BY SECURITY OFFICER

[Signature]
3/21/89

DATE OF REVIEW

TELEPHONE INTERVIEWER

[Signature]
3-16-89

DATE OF INTERVIEW

1 NAME OF APPLICANT [REDACTED] CASE NUMBER _____

2 SOCIAL SECURITY NUMBER [REDACTED] DIVISION PS _____ HP _____ I&C _____

3 PERSONAL REFERENCE [REDACTED] SQ # _____ Developed Reference _____

[REDACTED] ADDRESS CITY STATE ZIP TELEPHONE [REDACTED]

4 MR/MS [REDACTED] has applied for employment with NSS, Inc. and has listed you as a character reference. Do you have a few minutes to answer a few questions?

Do you remember him/her? YES _____ NO _____

What were the dates that you knew this individual? _____ 15 yrs. to present _____

Have you known him/her socially or professionally _____ ?

5. a. What was your day to day relationship with him/her? friend + neighbor

b. Were you in a position to observe him/her closely? YES

c. Or is your knowledge from someone else? NO

6. What kind of work very specifically, did he/she do for a profession?

Nuclear Plant

7. To your knowledge, did he/she have financial, domestic, alcohol, drug, or gambling difficulties? NO

8. Are you aware of any criminal record he/she might have? NO

If so, give remarks _____

EXHIBIT 14

3 OF 10 PAGE(S)

9 Are you aware of any mental or physical illness? NO

If so, give remarks _____

10 Would you regard him her as being a person of honesty and integrity? YES NO

11 What was his her general reputation? What kind of person was he/she?

Very intelligent very neat sharp

12 Would you recommend him her for a position in the Nuclear Power Plant Industry? YES NO

13 Could you please provide us with another reference of someone who could positively identify the applicant?
Give name, address and telephone number.

NAME [REDACTED]
ADDRESS [REDACTED]
PHONE [REDACTED]
EVIDENCES VERIFIED: (from application) [REDACTED]

15 EMPLOYMENTS VERIFIED: (from application) Ray Brooks Assoc. (2x)

16 UNEMPLOYMENT PERIOD(S) AND/OR EDUCATION (from application) 5/84 to 9/84 9/87 to 11/88

7/16/88 to 9/12/88 12/21/88 to present

* [REDACTED]
COMMENTS [REDACTED]

[Signature]
REVIEWED BY SECURITY OFFICER
3/21/89
DATE OF REVIEW

[Signature]
TELEPHONE INTERVIEWER
3/15/89
DATE OF INTERVIEW

Dev - from

~~XXXXXXXXXX~~

1. NAME OF APPLICANT ~~XXXXXXXXXX~~ CASE NUMBER _____

2. SOCIAL SECURITY NUMBER ~~XXXXXXXXXX~~ DIVISION PS _____ HP _____ I&C _____

3. PERSONAL REFERENCE ~~XXXXXXXXXX~~ SQ # _____ Developed Reference

~~XXXXXXXXXX~~ ADDRESS CITY STATE ZIP TELEPHONE

4. MR/MS ~~XXXXXXXXXX~~ has applied for employment with NSS, Inc. and has listed you as a character reference. Do you have a few minutes to answer a few questions?

Do you remember him/her? YES _____ NO _____

What were the dates that you knew this individual? 13yrs to Present

Have you known him/her socially or professionally _____?

5. a. What was your day to day relationship with him/her? good friends with his mother

b. Were you in a position to observe him/her closely? yes

c. Or is your knowledge from someone else? no

6. What kind of work very specifically, did he/she do for a profession? nuclear plants

7. To your knowledge, did he/she have financial, domestic, alcohol, drug, or gambling difficulties? no

8. Are you aware of any criminal record he/she might have? no

*If so, give remarks: _____

EXHIBIT 14

PAGE 5 OF 10 PAGE(S)

9. Are you aware of any mental or physical illness?

*If so, give remarks: no

10. Would you regard him as being a person of honesty and integrity? YES NO

11. What was his/her general reputation? What kind of person was he/she?

very nice young man,

12. Would you recommend him for a position in the Nuclear Power Plant Industry? YES NO

13. Could you please provide us with another reference of someone who could positively identify the applicant?
Give name, address and telephone number.

NAME no

ADDRESS _____

PHONE () _____

RESIDENCES VERIFIED: (from application) _____

15. EMPLOYMENTS VERIFIED: (from application) Ft. Calhoun, Genoa

16. UNEMPLOYMENT PERIOD(S) AND/OR EDUCATION: (from application) 12-21-88 to Present

7-16-88 - 9-12-88 9-87 - 1-5-88 5-84 - 4-9-84

COMMENTS _____

Sydney M. Holler
REVIEWED BY SECURITY OFFICER

3/2/89
DATE OF REVIEW

Sharon Hefner
TELEPHONE INTERVIEWER

3-21-89
DATE OF INTERVIEW

1. NAME OF APPLICANT [REDACTED] CASE NUMBER _____
2. SOCIAL SECURITY NUMBER [REDACTED] DIVISION PS _____ HP _____ I&C _____
3. PERSONAL REFERENCE [REDACTED] SQ # _____ Developed Reference _____
[REDACTED]
ADDRESS CITY STATE ZIP TELEPHONE

4. MR/MS [REDACTED] has applied for employment with NSS, Inc. and has listed you as a character reference. Do you have a few minutes to answer a few questions?

Do you remember him/her? YES _____ NO _____

What were the dates that you knew this individual? 9 yrs to Present

Have you known him/her socially _____ or professionally _____ ?

5. a. What was your day to day relationship with him/her? friends

b. Were you in a position to observe him/her closely? yes

c. Or is your knowledge from someone else? _____

6. What kind of work very specifically, did he/she do for a profession?
Nuclear Plants

7. To your knowledge, did he/she have financial, domestic, alcohol, drug, or gambling difficulties?
NO

8. Are you aware of any criminal records he/she might have?
*If so, give remarks: NO

EXHIBIT 14
PAGE 7 OF 10 PAGE(S)

Are you aware of any mental or physical illness?

If so, give remarks NO

10. Would you regard him as being a person of honesty and integrity? YES NO

11. What was his/her general reputation? What kind of person was he/she?
easy to get along with

12. Would you recommend him for a position in the Nuclear Power Plant Industry? YES NO

13. Could you please provide us with another reference of someone who could positively identify the applicant?
Give name, address and telephone number.

NAME [REDACTED]

ADDRESS [REDACTED]

PHONE [REDACTED]

EVIDENCES VERIFIED: (from application) [REDACTED]

15. EMPLOYMENTS VERIFIED: (from application) ft calhoun, Georgia,

16. UNEMPLOYMENT PERIOD(S) AND/OR EDUCATION (from application) 12/21/88 to Present
7-16-88 - 9-12-88 9-87 - 1-5-88 5-84 - 4-9-84

COMMENTS [REDACTED]

[Signature]
REVIEWED BY SECURITY OFFICER
3/21/89
DATE OF REVIEW

Sharon Steffner
TELEPHONE INTERVIEWER
3-21-89
DATE OF INTERVIEW

9. Are you aware of any mental or physical illness?

*If so, give remarks: no

10. Would you regard him as being a person of honesty and integrity? YES NO

11. What was his general reputation? What kind of person was he/she?

outgoing, real friendly person,
nothing

12. Would you recommend him for a position in the Nuclear Power Plant Industry? YES NO

13. Could you please provide us with another reference of someone who could positively identify the applicant?
Give name, address and telephone number.

NAME [REDACTED]

ADDRESS [REDACTED]

PHONE () [REDACTED]

RESIDENCES VERIFIED: (from application) [REDACTED]

15. EMPLOYMENTS VERIFIED: (from application) Ft. Calhoun, Shennandoah

16. UNEMPLOYMENT PERIOD(S) AND/OR EDUCATION: (from application) 12-21-88 to Present

7-16-88 9-12-88 9-57-1-5-89 5-84-4-9-84

COMMENTS: [REDACTED]

REVIEWED BY SECURITY OFFICER

[Signature]
3/2/89

DATE OF REVIEW

TELEPHONE INTERVIEWER

[Signature]
3-21-89

DATE OF INTERVIEW

[REDACTED]

Upon the recommendation of the Faculty and
by authority of the Board of Regents
and by order of

[REDACTED]

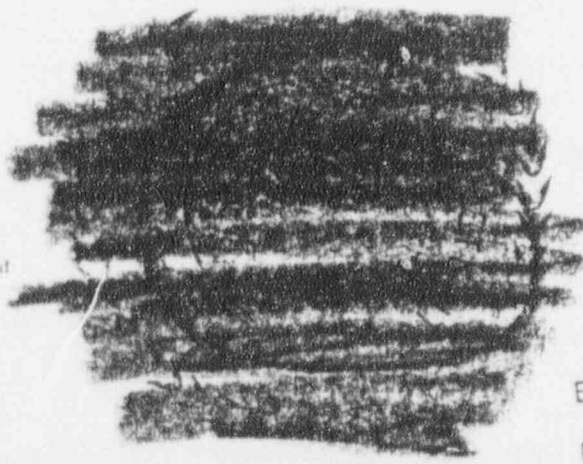
the degree of
Associate of Applied Science
Nuclear Technology

together with all the rights, privileges and honors
thereunto appertaining

In Witness Whereof the seal of the Institute
and the signatures of the authorized officers
are hereby affixed.

Given at [REDACTED],
[REDACTED]

W. B. Tompkins
President



Robert B. Hinkle
Campus General Manager

3-91-017

EXHIBIT 15
PAGE 1 OF 1 PAGE(S)

APPLICANT NAME: [REDACTED] CASE NUMBER: _____

SOCIAL SECURITY NUMBER: [REDACTED] DIVISION: _____

COLLEGE/SCHOOL CONTACTED: [REDACTED]

ADDRESS: [REDACTED]

TELEPHONE NUMBER: [REDACTED] SPOKE TO: [REDACTED]

DATES OF ATTENDANCE: [REDACTED]

COMPLETED/GRADUATED: NO

DEGREE/CERTIFICATE RECEIVED: NO

FULL-TIME/PART-TIME STUDENT: Full Time

MAJOR COURSE: Nuclear Tech
(Be Specific)

DIPLOMA: NO CERTIFICATE: NO

ANY SUMMER SESSIONS ATTENDED (SPECIFY & DATES): NO

COMMENTS: Did not have enough credits

[Signature]
REVIEWED BY SECURITY OFFICER
3/21/89
DATE OF REVIEW

Sharon Heffner
Telephone Interviewer
3-21-89
DATE OF VERIFICATION

-91-017

EXHIBIT 16

EDUCATION REFERENCE CHECK PAGE 1 OF 1 PAGE(S)

REPORT OF INTERVIEW
with

On Tuesday, February 9, 1993, Investigator Anderson telephonically contacted [REDACTED]

[REDACTED] confirmed that he had three previous failures for marijuana in 1987. [REDACTED] also confirmed that he had a failure at Ginna in 1989. [REDACTED] stated that he was notified by Ginna Security that his test results were inconclusive; that he would not be able to apply there for one year, but he could exclude the results when applying to other companies.

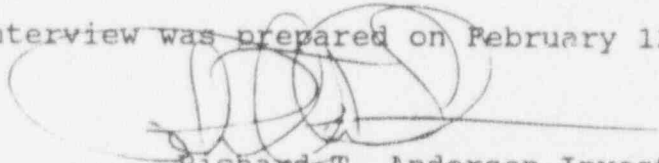
[REDACTED] stated that he notified Glen BOOTAY, NSSI recruiter, in March 1989 of the previous three failures in 1987. [REDACTED] stated that he was sent to NSP but did not remember if NSP required him to notify them directly of any previous failures. He stated that he had no idea if NSP was aware of his previous failures.

[REDACTED] stated that again in 1990 he notified NSSI of the three previous failures. Again, he did not remember notifying NSP of the previous failures. Again, he stated that he had no idea if NSP was aware of the previous failures.

[REDACTED] did state that he knew that he notified Wisconsin Electric, at the time he reported there, that he had previously failed a drug test at a licensed facility. He stated that he remembered checking a box marked yes regarding previous failures. [REDACTED] stated that he had no idea if NSSI had notified Wisconsin Electric of any previous failures.

[REDACTED] stated that he did not mention the Ginna failure until he was asked in 1991.

This Report of Interview was prepared on February 12, 1993.


Richard T. Anderson Investigator
Office of Investigations
Field Office, Region III

Case No. 3-91-017

3-91-017

EXHIBIT 17

PAGE 1 OF 1 PAGE(S)

REQUEST FOR NUCLEAR SECURITY CLEARANCE

Send To: NORTHERN STATES POWER COMPANY
Corporate Screening Services
Corporate Security Department
414 Nicollet Mall
Minneapolis, MN 55401

The following individual, an employee of Nuclear Support Services, Inc.
(Name and Address of Company)

West Market St., Campbelltown, PA 17010 FOR (more than) or (less than) five
(Circle One)

years continuous employment, has undergone screening as outlined by Northern States Power Company Contractor Access Procedure, Form 1-3019, and is favorably recommended for, and requires unescorted access to NSP nuclear plants. A review of our records and other information available, disclosed no evidence of emotional instability, aberrant behavior, untrustworthiness, or unreliability.

NAME [REDACTED] DATE EMPLOYED 3/20/89
ADDRESS [REDACTED] SOC. SEC. NO. [REDACTED]
DATE OF BIRTH [REDACTED] U.S. CITIZEN-YES x NO

FOR AN EMPLOYEE OF LESS THAN FIVE YEARS

Date investigation was completed 3/22/89

The records and reports generated during the screening procedure for the above named individual are available for inspection at Nuclear Support Services, Inc.

West Market St., Campbelltown, PA 17010 (Address of records location)

upon request by Northern States Power Company or the contractor.

Please provide the name of the NSP RESPONSIBLE SUPERVISOR (AN NSP EMPLOYEE) or the project with which your employee is associated Al Johnson

Jobsite location: Monticello
Prairie Island XX

Date which unescorted access needs to begin 3/23/89

By virtue of my authority as the owner, executive, officer, or manager of the aforesaid company or corporation, I herewith make this application.

NAME Lynnea M. Holler
TITLE Security Officer
SIGNATURE Lynnea M. Holler
DATE 3/23/89 TELEPHONE NUMBER (717) 838-8125

In approval of this request, a nuclear security clearance will be granted and the employee will be eligible for unescorted access. If the employee's NSP nuclear plant badge is inactive for more than 365 days, a new Request for Nuclear Security Clearance shall be submitted.

Employee Status Form

Name: [REDACTED]

SSN: [REDACTED]

Position: New Employee

Reason: _____

Effective Date: 03/20/99

Full-time/Part-time: F

Permanent/Temporary: P

Title: 205 AP/RAD CONTROL/PROTECT, JUNIOR:

Division: 45 HEALTH PHYSICS

Site: 590081 PRAIRIE ISLAND, SHIFT 1

Post. No: P60828MB-01

Client: _____

Job type: _____

Rate: 8.55 / hour

Bonus: _____

Bonus: _____

Bonus: _____

Bonus: _____

Travel to Site: _____

Travel Exp: None

Advances: 103

Supervisor: Don Hill

Comments

Effective Date: 12/97

Date: 03/20/99

3-91, = 0/12 in Satby

Employee Status Form

Employee Name: [REDACTED]

SSN: [REDACTED]

Action: Layoff

Reason: _____

Effective Date: 04/14/89

Full/Part Time: F

Permanent/Temporary: P

| | ----- CURRENT ----- | ----- PREVIOUS ----- |
|-----------------|---|----------------------|
| Title: | <u>433 HP/RAD CONTROL/PROTECT, JUNIOR</u> | _____ |
| Division: | <u>43 HEALTH PHYSICS</u> | _____ |
| Site: | <u>090031 PRAIRIE ISLAND, UNIT 1</u> | _____ |
| Subj. PO: | _____ | _____ |
| Client: | _____ | _____ |
| Pay Type: | _____ | _____ |
| Gr Rate: | <u>6.50 / hour</u> | _____ / hour |
| Gr Bonus: | <u>. / hour</u> | _____ / hour |
| Gr Step: | <u>. / hour</u> | _____ / hour |
| Gr Allow: | <u>. / hour</u> | _____ / hour |
| Per Rate: | <u>44.00 / Day</u> | _____ / Day |
| Travel Allow: | <u>.200 / mile</u> | _____ / |
| Travel Exp: | <u>None / each day</u> | _____ / each day |
| Inst. Allow: | <u>1.00 / hr</u> | _____ / |
| Responsibility: | <u>Dev Hall</u> | _____ |

Approved By: _____ Date: 04/17/89 Title: _____

Signature: He M. Barty

EXHIBIT 19
PAGE 2 OF 11 PAGE



11. Name: [Redacted] SSN: [Redacted]

F

Former Employee

18

Effective Date: 09/18/89

Full/Part Time: F

Organization/Department: F

704

COMPONENT - PROJECT, SENIOR

Division: 45

ADMIN SERVICES

Job: 440021

MARKETS SUPPORT, UNIT 1

Job: 201

ARC

Job Type: H

Hourly

Rate: 20.00 / Hour

20.00 / Hour

Rate: 2.00 / Hour

2.00 / Hour

Rate: 15.00 / Hour

15.00 / Hour

Rate: 2.00 / Hour

2.00 / Hour

Rate: 20.00 / Hour

20.00 / Hour

Rate: 200.00 / Hour

200.00 / Hour

Rate: NONE

NONE

Rate: 100 / Hour

100 / Hour

Rate: 100 / Hour

100 / Hour

Comments

Bonus Paid Weekly

Original Work Order: S-12

Original Date: 11-22-89

Approved By: [Signature]

Date: 8/5/89

EXHIBIT 19

Id No/Name: [REDACTED] SSN: [REDACTED]

Reason: L Layoff

Effective Date: 12/19/89 Full/Part Time: F Permanent/Temporary: P

| | ----- CURRENT ----- | ----- PREVIOUS ----- |
|-----------------|--|----------------------|
| Title: | <u>204 HP/RAD CONTROL/PROTECT, SENIOR!</u> | |
| Division: | <u>45 HEALTH PHYSICS</u> | |
| Site: | <u>150011 ARKANSAS NUCLEAR ONE, UNIT 1</u> | |
| Job. PO: | | |
| Plant: | <u>Arkansas Power & Light</u> | |
| Pay Type: | <u>H Hourly</u> | |
| Rate: | <u>10.00 / Hour</u> | |
| Bonus: | <u>. / Hour</u> | |
| Rate: | <u>. / Hour</u> | |
| Bonus: | <u>. / Hour</u> | |
| Rate: | <u>50.00 / Day</u> | |
| Travel to site: | <u>.205/ Mile</u> | |
| Travel Exp: | <u>None / Each way</u> | |
| Adv. Allowed: | <u>Yes / No</u> | |
| Supervised: | <u>Steve Miller</u> | |

COMMENTS

ARC

Estimated work hours: _____ Scheduled Outage End Date: _____

Requested by: Steve Frost Date: 12/23/89 Time: 13:30:44

Approved by: Capit [Signature] Date: 12/19/89

Employee Status Form

Id / Name: [REDACTED] SSN: [REDACTED]

Action: Former Employee Reason: _____

Effective Date: 03/27/90 Full/Part Time: F Permanent/Temporary: P

| | ----- CURRENT ----- | ----- PREVIOUS ----- |
|-----------------|---|----------------------|
| Title: | <u>203 SR. 13.1 HEALTH PHYSICS TECH</u> | _____ |
| Division: | <u>45 HEALTH PHYSICS</u> | _____ |
| Site: | <u>905071 PRAIRIE ISLAND, UNIT 2</u> | _____ |
| Cust. PO: | <u>BE PB6404MB</u> | _____ |
| Client: | _____ | _____ |
| Pay Type: | <u>A Hourly</u> | _____ |
| HF Rate: | <u>12.25 / hour</u> | _____ / hour |
| HF Bonus: | <u>— / hour</u> | _____ / hour |
| HF Rate: | <u>18.38 / hour</u> | _____ / hour |
| HF Bonus: | <u>— / hour</u> | _____ / hour |
| Per Diem: | <u>50.00 / Day</u> | _____ / Day |
| Travel to Site: | <u>.200 / Mile</u> | _____ / _____ |
| Travel Exp: | <u>None / Each Day</u> | _____ / Each Way |
| Cash Advance: | <u>125 / MO</u> | _____ |
| Supervisor: | <u>RON HALL</u> | _____ |

EXHIBIT 19
PAGE 5 OF 11 PAGE(S)

COMMENTS

AUG 27 1990 KC

Estimated work hours: _____ Scheduled outage end date: _____

Requested by: JOHN A. KLINE Date: 03/24/90 Time: 14:41:44

Approved by: [Signature] Date: 8/27/90

Employee Status Form

Name: [REDACTED] SSN: [REDACTED]

Action: I Transfer Reason: _____

Effective Date: 09/23/90 Full/Part Time: F Permanent/Temporary: P

Title: 203 Sr. Health Physics Tech : Sr HP Tech

Division: 43 Health Physics : H.P.

Site: 933072 Point Beach, Unit 2 : Prairie Island

Case No: 108290 : PB6H04MB

Client: WEPCO : Northern States

Pay Type: d Hourly : Hourly

HT Rate: 12.50 / hour : 12.25 / hour

HT Bonus: - / hour : - / hour

HT : - / hour : - / hour

HT Bonus: - / hour : - / hour

Per Day: 50.00 / day : 50.00 / day

Leave: .205 / : .205 /

Leave Cap: 200.00 / each day : None / each day

Base Salary: 100.00

Supervisor: Gary Medukas Don Hall

- Ensure 7 days of per Diem is paid for week ending 9/30/90.
- Ensure overtime is paid after 40 hours, regardless of ability to bill.

Additional work hours: 10-10's Considered Overtime: EXHIBIT 19

Page: 6 OF 11 PAGE(S)

Approved by: [Signature] Date: 10/1/90 OCT 1 1990

Employee Status Form

Name: [REDACTED] SSN: [REDACTED]

Action: L Lay off Reason:
Effective Date: 11/20/90 Full/Part Time: F Permanent/Temporary: P

| | CURRENT | PREVIOUS |
|-----------|-------------------------------------|----------|
| Title: | <u>SR. B.S. HEALTH PHYSICS TECH</u> | |
| Division: | <u>HEALTH PHYSICS</u> | |
| Site: | <u>90072 POINT BEACH, UNIT 2</u> | |
| Inst. PO: | <u>168290</u> | |
| Client: | <u>WEPCO</u> | |
| Pay Type: | <u>Hourly</u> | |
| Rate: | <u>2.00 / Hour</u> | |
| Grade: | <u> / Hour</u> | |
| Rate: | <u> / Hour</u> | |
| Grade: | <u> / Hour</u> | |
| Rate: | <u>30.00 / Day</u> | |
| Grade: | <u> / Day</u> | |
| Rate: | <u> / Each way</u> | |
| Grade: | <u> / Each way</u> | |
| Rate: | <u>100 / 30</u> | |
| Grade: | <u> / 30</u> | |

Eligible For Retire

EXHIBIT 19
PAGE 2 OF 11 PAGES

Signature: John A. [unclear] Date: 11/20/90

ADDITIONAL SUPPORT SERVICES, INC.
Employee Status Form

Name: _____ SSN: _____

Class: F Former Empl. Reason: _____
Effective Date: 12/31/90 Termination Date: _____ Reason for Termination: _____

| Class | Contract | Previous |
|----------|--------------------------------|-----------|
| 1994 | 001 001 001010101 0001 | |
| 1995-001 | 001 001 001010101 | |
| 1995 | 001 001 001 001 001 001 | |
| 1996 | 1166 593 | |
| 1997 | WEPKO | |
| 1998 | 1998-01 | |
| 1999 | 12.00 1999 | 1999 |
| 2000 | 1999 | 1999 |
| 2001 | 1999 | 1999 |
| 2002 | 1999 | 1999 |
| 2003 | 33.00 2003 | 2003 |
| 2004 | 2004 1999 | 2004 |
| 2005 | # 200 . 00 2004 2005 | 2005 2005 |
| 2006 | 2005 2005 | |
| 2007 | Richard Dinely / Terry Shaffer | |

EXHIBIT 19
PAGE 8 OF 11 PAGE(S)

[Handwritten Signature]

4/7/91

[Handwritten Initials]

Employee Status Form

Id No/Name: [redacted]

SSN: [redacted]

Action: L Layoff

Reason: _____

Effective Date: 05/17/91

Full/Part Time: F

Permanent/Temporary: P

| | ----- CURRENT ----- | ----- PREVIOUS ----- |
|-----------------|---|----------------------|
| Title: | <u>203 SR. 18.1 HEALTH PHYSICS TECH</u> | _____ |
| Division: | <u>45 HEALTH PHYSICS</u> | _____ |
| Site: | <u>905071 POINT BEACH, UNIT 1</u> | _____ |
| Cust. PO: | _____ | _____ |
| Client: | _____ | _____ |
| Pay Type: | <u>H Hourly</u> | _____ |
| ST Rate: | <u>13.25 / Hour</u> | _____ / Hour |
| ST Bonus: | <u>. / Hour</u> | _____ / Hour |
| OT Rate: | <u>. / Hour</u> | _____ / Hour |
| O nus: | <u>. / Hour</u> | _____ / Hour |
| Per Diem: | <u>50.00 / Day</u> | _____ / Day |
| Travel to Site: | <u>.025/ Mile</u> | _____ / _____ |
| Travel Cap: | <u>. / Each Way</u> | _____ / Each Way |
| Cash Advance: | <u>YES / NO</u> | |
| Supervisor: | <u>Terry Shaffer</u> | _____ |

COMMENTS

EXHIBIT 19

PAGE 9 OF 11 PAGE(S)

Estimated Work Hours: _____

Scheduled Outage End Date: _____

Prepared By: Suzanne M. Kercher

Date: 05/21/91 Time: 10:20:05

Approved By: Suzanne M. Kercher

Date: _____

Handwritten initials

Employee Status Form

Name: [Redacted]

SSN: [Redacted]

Action: F Former Employee

Reason:

Effective Date: 06/17/91

Full/Part Time: F

Permanent/Temporary: P

| | ----- CURRENT ----- | ----- PREVIOUS ----- |
|-----------------|---|----------------------|
| Title: | <u>203 SR. 18.1 HEALTH PHYSICS TECH</u> | _____ |
| Division: | <u>45 HEALTH PHYSICS</u> | _____ |
| Site: | <u>905071 POINT BEACH, UNIT 1</u> | _____ |
| Cust. PO: | _____ | _____ |
| Client: | _____ | _____ |
| Pay Type: | <u>H Hourly</u> | _____ |
| ST Rate: | <u>12.50 / Hour</u> | _____ / Hour |
| ST Bonus: | <u>. / Hour</u> | _____ / Hour |
| Com. ce: | <u>. / Hour</u> | _____ / Hour |
| OT Bonus: | <u>. / Hour</u> | _____ / Hour |
| Per Diem: | <u>50.00 / Day</u> | _____ / Day |
| Travel to Site: | <u>.025/ Mile</u> | _____ / _____ |
| Travel Cap: | <u>. / Each Way</u> | _____ / Each Way |
| Cash Advance: | <u>YES / NO</u> | _____ |
| Supervisor: | <u>Suzanne M. Kercher</u> | _____ |

COMMENTS

Estimated Work Hours: _____

Scheduled Outage End Date: _____

Entered By: Suzanne M. Kercher

Date: 06/17/91 Time: 13:08:32

Approved by: Suzanne M. Kercher

Date: ENTERED JUN 17 1991

NUCLEAR SUPPORT SERVICES, INC.

Employee Status Form

Name: [REDACTED]

SSN: [REDACTED]

Action: Payoff

Reason: _____

Effective Date: 07/05/91

Full/Part Time: F

Permanent/Temporary: P

Title: 203 SR. 18.1 HEALTH PHYSICS TECH : _____

Division: 45 HEALTH PHYSICS : _____

Site: 905071 POINT BEACH, UNIT 1 : _____

Cust. PO: _____ : _____

Client: _____ : _____

Pay Type: H Hourly : _____

ST Rate: 12.50 / Hour : _____ / Hour

ST Bonus: _____ / Hour : _____ / Hour

C. Rate: _____ / Hour : _____ / Hour

OT Bonus: _____ / Hour : _____ / Hour

Per Diem: 50.00 / Day : _____ / Day

Travel to Site: .025 / Mile : _____ / _____

Travel Cap: _____ / Each Way : _____ / Each Way

Cash Advance: YES / NO

Supervisor: Terry Shaffer

COMMENTS

Estimated work hours: _____

Scheduled Outage End Date: _____

Prepared by: Suzanne M. Kercher

Date: 07/05/91 Time: 09:21:05

Approved by: [Signature]

Date: _____ PAGE 11 OF 11 PAGE(S)



NUCLEAR SUPPORT SERVICES, INC..

POST OFFICE BOX 3120, HERSHEY, PA 17033 PHONE 717-838-8125

July 15, 1991

Security Manager
Salem Nuclear Station
P.O. Box 236
Hancock's Bridge, NJ 08038-0168

Dear Sir or Madame,

Nuclear Support Services in conjunction with Northern States Power Company is conducting an investigation into alleged Fitness For Duty violations for [REDACTED].

In a statement by [REDACTED] he admits to have failed a pre-access drug screen at your facility. I am requesting you confirm the positive results. If the results were positive, could you provide the cutoff limit and drug family [REDACTED] failed in.

Thank you for your cooperation and assistance in this matter. If you have any questions or require additional information please give me a call at 800-338-7333 ext. 180.

Sincerely,

W D Kloker

W. Donald Kloker
Security Manager

3-91-017

EXHIBIT 20

PAGE 1 OF 2 PAGE(S)

EMPLOYMENT VERIFICATION SHEET

2/29/91

Kim with

NAME OF APPLICANT: [REDACTED] SSN: [REDACTED]

EMPLOYER NAME: GTS / HPTS PHONE: [REDACTED]

ADDRESS: ~~6700 Alexandria Blvd Columbia, MD 21046~~ 8955 Guilford Rd Suite 200 Columbia MD 21046

PERSONNEL DEPT: Chris Wruck POSITION: FFD officer 21046

EMPLOYMENT DATES:

| | | | |
|---------------------|-----|----------------------|-------|
| FROM: | TO: | POSITION: | SITE: |
| REASON FOR LEAVING: | | ELIGIBLE FOR REHIRE: | |
| FROM: | TO: | POSITION: | SITE: |
| REASON FOR LEAVING: | | ELIGIBLE FOR REHIRE: | |
| FROM: | TO: | POSITION: | SITE: |
| REASON FOR LEAVING: | | ELIGIBLE FOR REHIRE: | |
| FROM: | TO: | POSITION: | SITE: |
| REASON FOR LEAVING: | | ELIGIBLE FOR REHIRE: | |

Never became employee - see below

DEROGATORY COMMENTS ON FILE: cannot release

ARE YOU AWARE OF ANY CRIMINAL RECORD HE/SHE MIGHT HAVE? cannot release

TO THE BEST OF YOUR KNOWLEDGE HAS THIS PERSON TESTED POSITIVE FOR AN ILLEGAL DRUG AND/OR ALCOHOL TEST ADMINISTERED AS A CONDITION OF EMPLOYMENT OR DURING THE COURSE OF EMPLOYMENT WITHIN THE PAST (5) FIVE YEARS?
Yes - positive pre-access drug tests at Salem (10/27/87) and Ginna (2/10/89)

TO THE BEST OF YOUR KNOWLEDGE HAS THIS PERSON UNDERGONE TREATMENT FOR ILLEGAL DRUG AND/OR ALCOHOL ABUSE WITHIN THE PAST (5) FIVE YEARS?
No

TO THE BEST OF YOUR KNOWLEDGE HAS THIS PERSON BEEN DENIED ACCESS TO A NUCLEAR POWER PLANT OR OTHER EMPLOYMENT LOCATION DUE TO A FITNESS-FOR-DUTY POLICY (10CFR28) REQUIREMENT?
Yes - denied @ Salem & Ginna

NAME OF ADDITIONAL REFERENCE: [REDACTED] PHONE: 712/91

SECURITY MANAGER: [REDACTED] INTERVIEWER:

DATE OF REVIEW: DATE OF INTERVIEW:

ORIGINAL

BARTLETT
NUCLEAR INC.

POTENTIAL ACCESS PROBLEM

PERSONAL INFORMATION (PERSONNEL TO COMPLETE)

LAST NAME: ██████████ FIRST NAME: ██████████ INITIAL: ██████
 SSN: ██████████ TELE # HOME: TELE # WORK:
 DATE OF REQUEST: 1/27/92 RECRUITER: RLW PLANT REQUESTING: PRAIRIE IS
 RETURNEE: YES
 BNI BEFORE: YES ALREADY ACCEPTED: YES DATE REPORTING: 2/10/92
 LAST DATE EDITED: Jan 28, 1992 PAP SUMMARY FILE YES: NO: X
 KAS FILE: YES
 COMMENTS PERS: Y SECURITY: N

POTENTIAL PROBLEM

FFD: X DUI/DWI: MULTIPLE DUI/DWI: CRIMINAL: OTHER:

DETAILS OF POTENTIAL ACCESS PROBLEM

| ARREST- DENIED/ REVOKED | REASON/ PROBLEM | DATE | PLANT- CITY, STATE | DISPOSITION | DATE OF REHAB | COMPANY NAME |
|--|--------------------|-----------|--------------------------|-------------|---------------------|-----------------|
| : DENIED - | FFD(D) (M) - | 10/87 - | SALEM - | | - NONE - | |
| : DENIED - | FFD(D) (M) - | 11/87 - | MILLSTONE - | | - NONE - | |
| : DENIED - | FFD(D) (M) - | 12/87 - | PERRY - | | - NONE - | BNI |
| : DENIED - | FFD(D) (M) - | 2/10/89 - | GINNA - | | - NONE - | HPTS |
| : > AFTER TESTING POSITIVE AT GINNA ON 2/10/89 AND BEING DENIED ACCESS, HE WENT : TO GET ANOTHER DRUG TEST DONE ON HIS OWN ON 2/17/89 WHICH RESULTS CAME UP : NEGATIVE. HE WAS NOT REINSTATED AT GINNA. : : * REHAB LETTER STATES IN REMISSION SINCE 7/88 BUT, HE DID TEST POSITIVE IN 89 : AT GINNA, EVEN THOUGH SECOND TEST 7 DAYS LATER CAME UP NEGATIVE. LETTER ALSO : STATES THAT HE WAS INTERVIEWED ON 2 OCCASSIONS. ALL INFORMATION GIVEN BY TECHNICIAN: YES | | | | | | |

REHABILITATION ON FILE YES: X OR NO: - DATE OF REHAB: 9/23/91
 REHABILITATION PAPERS BEING SENT AT REQUEST/ DATE BEING SENT:

SECURITY RESOLUTION (SECURITY TO COMPLETE)

UTILITY CONTACT: IN HOUSE DECISION MADE BY: KAS/RC

DATE CONTACTED: 2/3/92 BY MEANS OF FAX: PHONE: FEDERAL:

ADDITIONAL INFORMATION REQUESTED:

DATE APPROVED FOR EMPLOYMENT: 2/3/92 YES: NO: X OTHER:
 COMMENTS:

TWO FITNESS FOR DUTIES WITHIN 5 YEARS IS NOT ACCEPTABLE
 REHABILITATION LETTER NOT ACCEPTABLE EXHIBIT 21

SIGNATURE/SIGNATURES: KELLY SOCHA/RANDY CORBETT : PAGE 1 OF 1 PAGE(S)

DATE TO PERSONNEL: 2/3/92 ENTERED IN PERS: X N.ROG:

SIGNATURE OF PERSON RECEIVING INFORMATION REQUESTED:

ORIGINAL COPY KELLY'S FILE-COPY TO RECRUITER-COPY TO PERS-COPY TO SECURITY
 3-91-0-7

9-27-91

1) I tested positive at the following plants on the following dates:

(Pre access screenings)

Salem Sept 1987

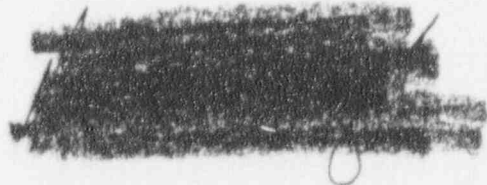
Millstone Oct 1987

Perry Nov-Dec 1987

Ginna Feb 1989

2) See #1

3) I've undergone two separate occasions and results of these evaluations are on file in your office



**NUCLEAR SUPPORT SERVICES, INC.**

POST OFFICE BOX 3120, HERSHEY, PA 17033 PHONE 717-638-8125

July 15, 1991

Patricia Weekley
Millstone Nuclear Station
Rope Ferry Road
Route 156
Waterford, CT 06385

Dear Ms. Weekley,

Nuclear Support Services in conjunction with Northern States Power Company is conducting an investigation into alleged Fitness For Duty violations for [REDACTED] (SS# [REDACTED]).

In a statement by [REDACTED] he admits to have failed a pre-access drug screen at your facility. I am requesting you confirm the positive results. If the results were positive, could you provide the cutoff limit and drug family [REDACTED] failed in.

Thank you for your cooperation and assistance in this matter. If you have any questions or require additional information please give me a call at 800-336-7883 ext. 160.

Sincerely,

W. Donald Kloker
Security Manager

3-01-0-7

EXHIBIT 23
PAGE 1 OF 2 PAGE(S)



General Offices - Belden Street, Berlin, Connecticut

P.O. BOX 270
HARTFORD, CONNECTICUT 06141-0270
(203) 665-8000

July 29, 1991

Mr. W. Donald Kloaker
Security Manager
Nuclear Support Services, Inc.
P.O. Box 3120
Hershey, PA 17033

Dear Mr. Kloaker:

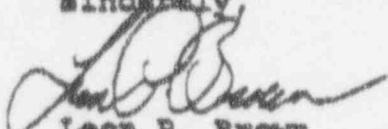
Response to your "suitable inquiry" as required by 10CFR Part 26, Fitness For Duty Programs, is provided for:

SS#

~~_____~~ ~~_____~~
There is no record that unescorted access was authorized to the Millstone Nuclear Power Station or the Haddam Neck Plant (Conn. Yankee) for the above listed individual (s).

Please contact me at (203) 665-5706 with any questions you may have.

Sincerely,


Leon P. Brown
Security Investigator



NUCLEAR SUPPORT SERVICES, INC.

POST OFFICE BOX 3120, HERSHEY, PA 17033 PHONE 717-838-8125

July 16, 1991

Security Manager
Perry Nuclear Station
P.O. Box 97
Perry, OH, 44081

Dear Sir or Madame,

Nuclear Support Services in conjunction with Northern States Power Company is conducting an investigation into alleged Fitness For Duty violations for ██████████ (SS# ██████████).

In a statement by ██████████ he admits to have failed a pre-access drug screen at your facility. I am requesting you confirm the positive results. If the results were positive, could you provide the cutoff limit and drug family ██████████ failed in.

Thank you for your cooperation and assistance in this matter. If you have any questions or require additional information please give me a call at 800-338-7338 ext. 160.

Sincerely,

W. Donald Kloker
Security Manager

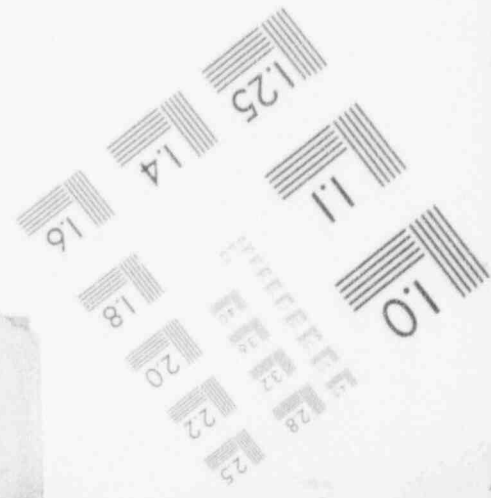
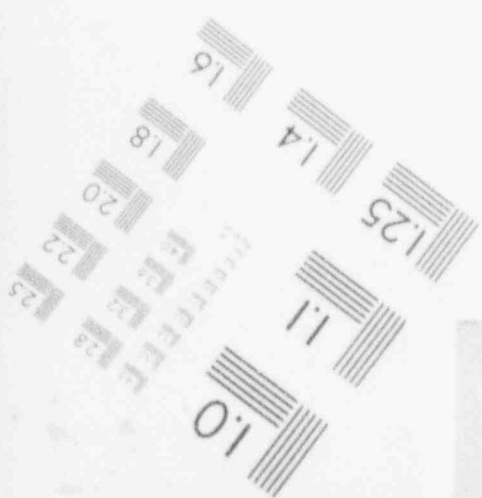
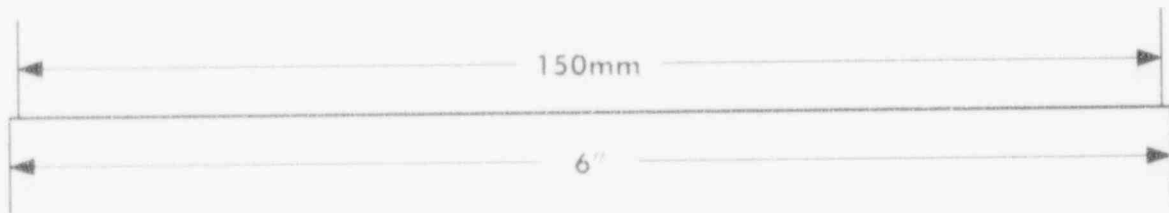
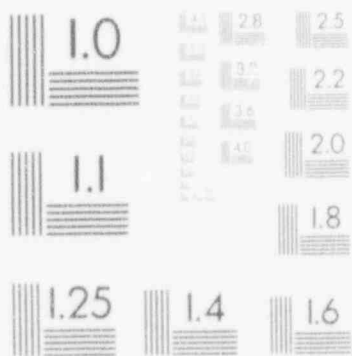
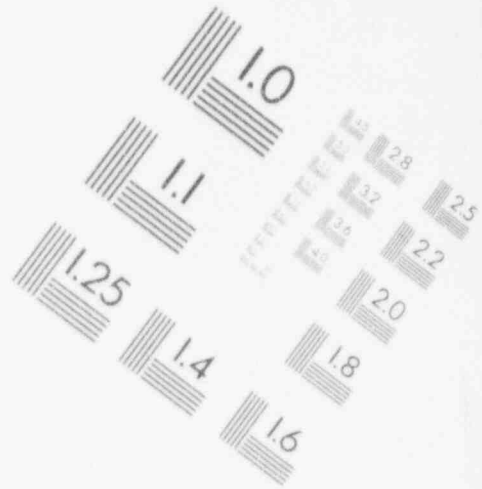
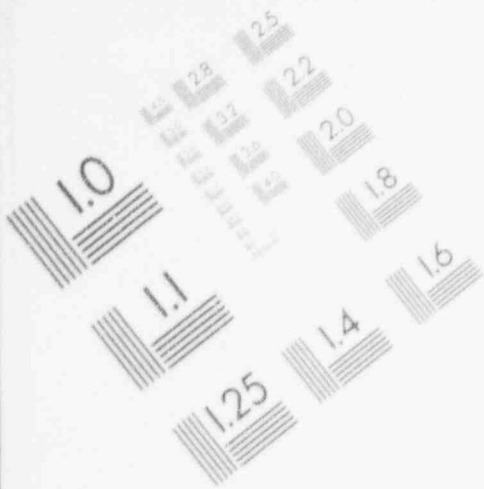
3-91-017

EXHIBIT 27

PAGE 1 OF 3 PAGE(S)

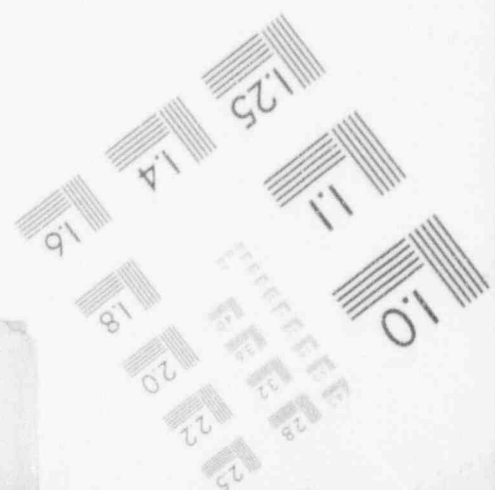
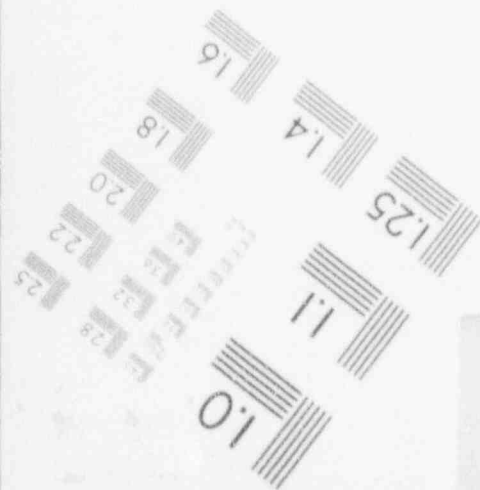
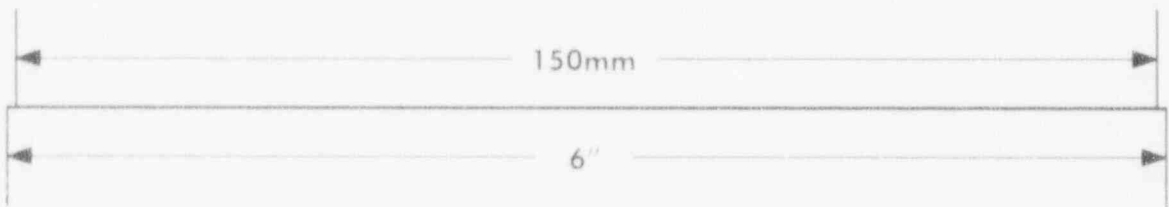
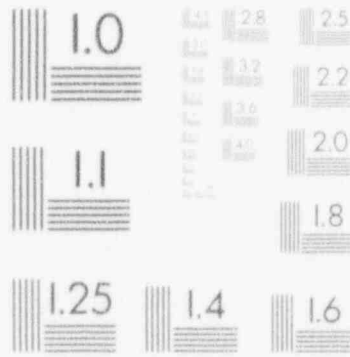
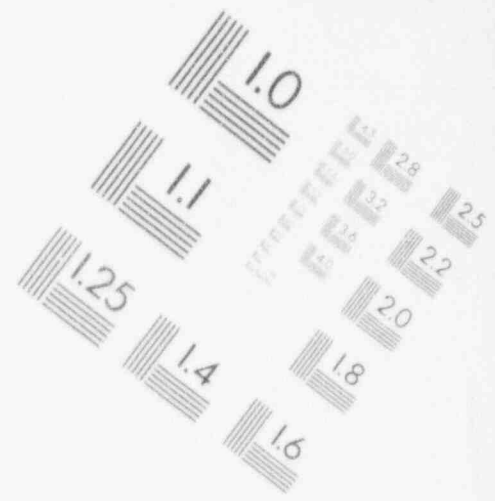
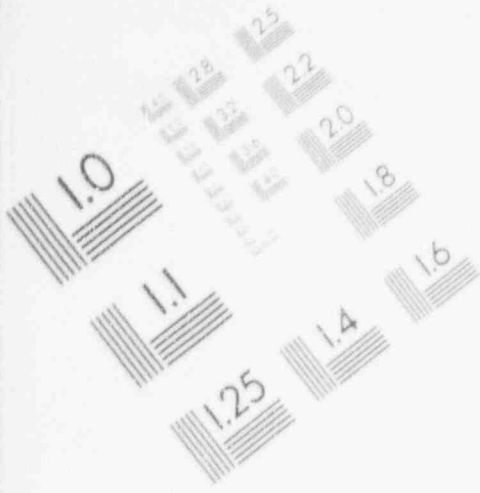
1

IMAGE EVALUATION TEST TARGET (MT-3)



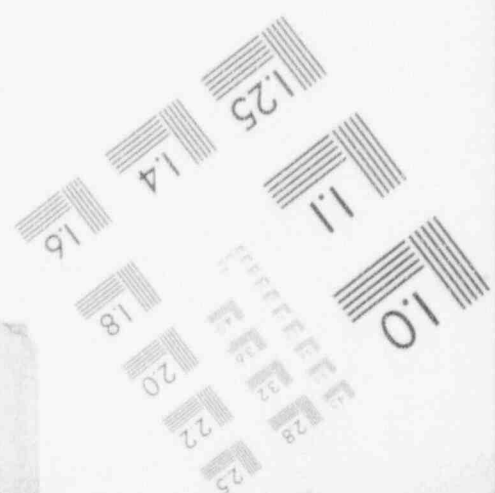
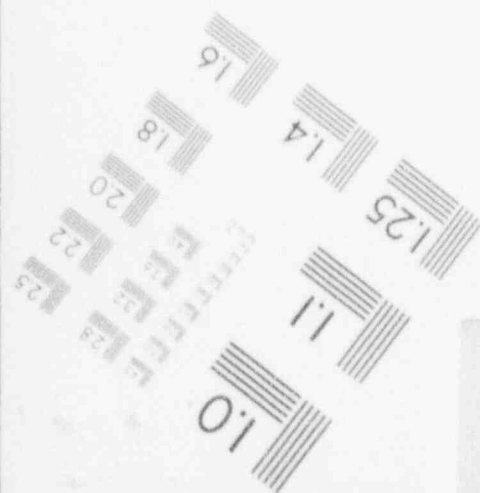
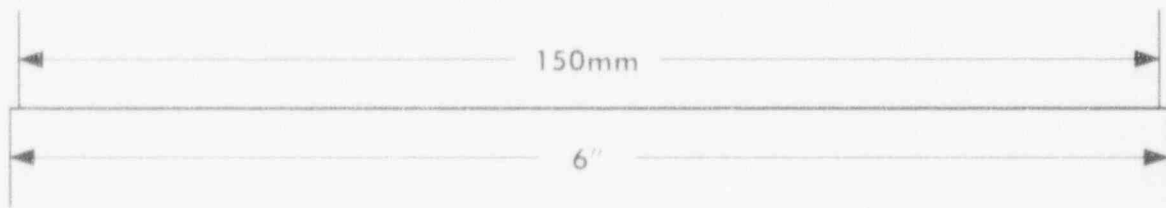
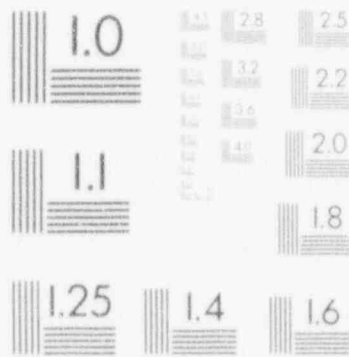
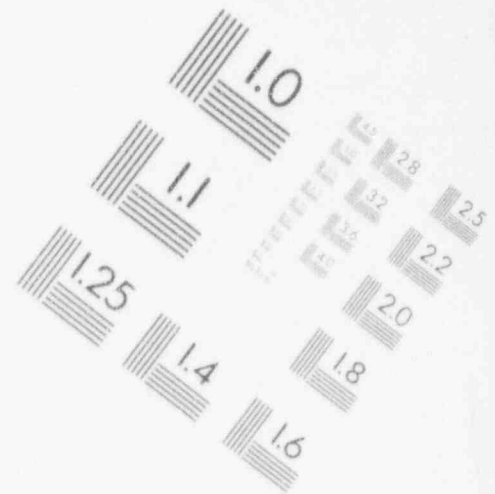
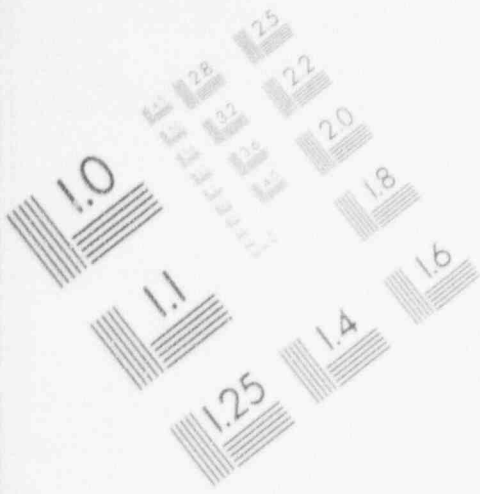
1

IMAGE EVALUATION TEST TARGET (MT-3)



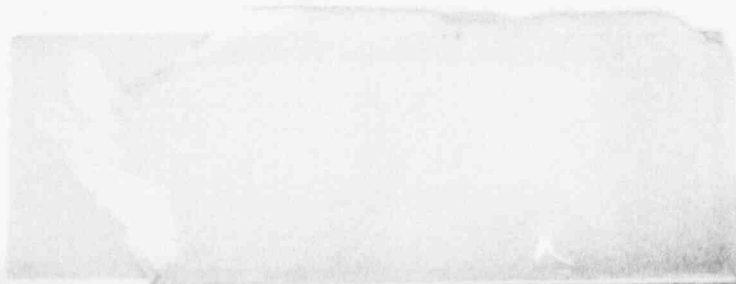
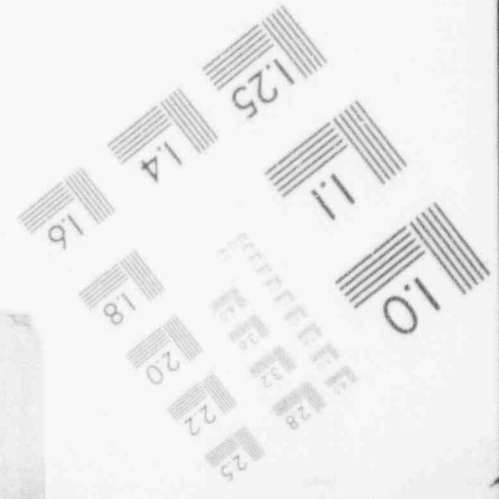
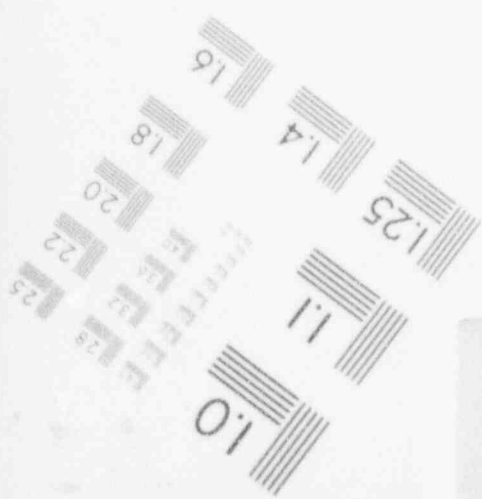
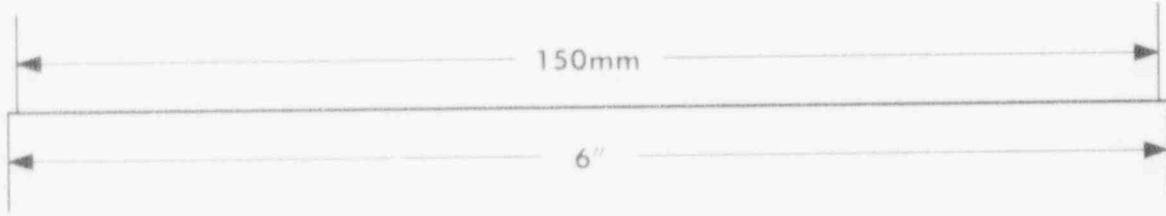
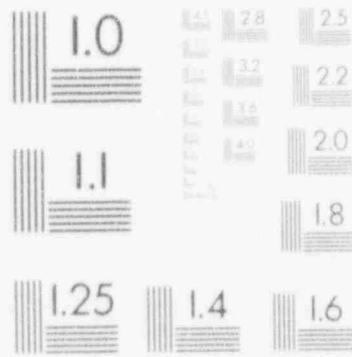
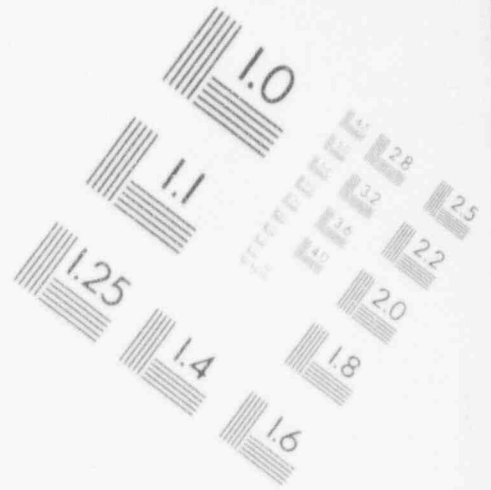
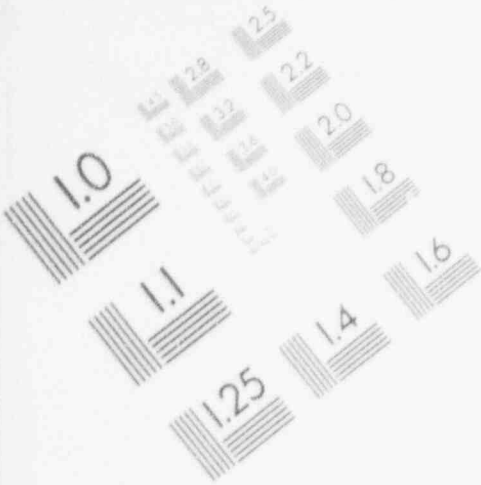
1

IMAGE EVALUATION TEST TARGET (MT-3)



1

IMAGE EVALUATION TEST TARGET (MT-3)



**NUCLEAR SUPPORT SERVICES, INC.**

POST OFFICE BOX 3120, HERSCHEY, PA 17033 PHONE 717-838-8125

TO: Personnel File of [REDACTED]
FROM: W. Donald Kloker (DK)
DATE: July 16, 1991
SUBJECT: Perry Nuclear Confirmation

At approximately 8:45 am I received a phone call from Maureen Guillford of the Perry Nuclear Power Plant. She was responding to my solicitation for information concerning [REDACTED]'s drug screen failure. Ms. Guillford confirmed that [REDACTED] had failed a pre-access screen in 1987 but added it was at an uncertified lab. She stated this was common before the 10CFR26 rule. Ms. Guillford also provided the name and phone number of the MRO for Perry Plant. The MRO is Dr. John Anderson, phone (216)259-3737 ext. 5100. Ms. Guillford was unable to comment further and the conversation concluded.

EXHIBIT 24
PAGE 2 OF 3 PAGE(S)

EMPLOYMENT VERIFICATION SHEET

7/14/91

NAME OF APPLICANT: ██████████ SS# ██████████

EMPLOYER NAME Bartlett PHONE (508) 746-6444

ADDRESS P.O. Box 1800, Plymouth, MA 02360

* PERSONNEL DEPT: Eric Bartlett POSITION: Personnel Admin

EMPLOYMENT DATES:

FROM: 12/14/87 TO: 12/19/87 POSITION: JHP SITE: Perry

REASON FOR LEAVING: - med access ELIGIBLE FOR REHIRE: Conditional

FROM: POSITION: SITE:

REASON FOR LEAVING: ELIGIBLE FOR REHIRE:

FROM: TO: POSITION: SITE:

REASON FOR LEAVING: ELIGIBLE FOR REHIRE:

FROM: TO: POSITION: SITE:

REASON FOR LEAVING: ELIGIBLE FOR REHIRE:

DEROGATORY COMMENTS ON FILE:

N/A

ARE YOU AWARE OF ANY CRIMINAL RECORD HE/SHE MIGHT HAVE?

N/A

TO THE BEST OF YOUR KNOWLEDGE HAS THIS PERSON TESTED POSITIVE FOR AN ILLEGAL DRUG AND/OR ALCOHOL TEST ADMINISTERED AS A CONDITION OF EMPLOYMENT OR DURING THE COURSE OF EMPLOYMENT WITHIN THE PAST (5) FIVE YEARS?

yes - ██████████ (according to our records) Failed to pass drug test 12/87

TO THE BEST OF YOUR KNOWLEDGE HAS THIS PERSON UNDERGONE TREATMENT FOR ILLEGAL DRUG AND/OR ALCOHOL ABUSE WITHIN THE PAST (5) FIVE YEARS?

yes - ██████████ has undergone rehab on ██████████

TO THE BEST OF YOUR KNOWLEDGE HAS THIS PERSON BEEN DENIED ACCESS TO A NUCLEAR POWER PLANT OR OTHER EMPLOYMENT LOCATION DUE TO A FITNESS-FOR-DUTY POLICY (10CFR26) REQUIREMENT? yes - Perry nuclear power plant - see # 1

It is suggested that NSS send a suitable inquiry to Perry Nuclear Power Plant

NAME OF ADDITIONAL REFERENCE: PHONE#

SECURITY MANAGER INTERVIEWER

DATE OF REVIEW DATE OF INTERVIEW

UPDATE FORM

4/17/85

DATE 8/18/87

TAKEN BY [Redacted]

EMPLOYEE'S NAME [Redacted]

PHONE# [Redacted]

LAST JOB SITE/LAST DAY WORKED FOR NSS Prime St. 4/14/85

Have you been convicted of a criminal offense since you last worked for NSS? (include DUIs and misdemeanor charges) YES or NO (Circle)
If YES, explain:

List all employment/unemployment/education periods beginning with the last day worked for NSS.

EMPLOYER/UNEMPLOYMENT/EDUCATION _____ DATES FROM 4/14/85 TO Prime St.

IF EMPLOYED: JOB TITLE/JOB SITE _____

EMPLOYER'S ADDRESS _____ PHONE# _____

SUPERVISOR _____

ADDRESS _____ PHONE# _____

EMPLOYEE'S RESIDENCE [Redacted]

REFERENCE (1) [Redacted] PHONE# [Redacted]

ADDRESS _____

REFERENCE (2) [Redacted] PHONE# [Redacted]

ADDRESS _____

EMPLOYER/UNEMPLOYMENT/EDUCATION _____ FROM _____ TO _____

IF EMPLOYED: JOB TITLE/JOB SITE _____

EMPLOYER'S ADDRESS _____ PHONE# _____

SUPERVISOR _____

ADDRESS _____ PHONE# _____

EMPLOYEE'S RESIDENCE _____

REFERENCE (1) [Redacted] PHONE# [Redacted]

ADDRESS _____

REFERENCE (2) _____ PHONE# _____

3-01-0-7 ADDRESS _____ EXHIBIT 25

UPDATE FORM

DATE 3/9/90

TAKEN BY Kim

EMPLOYEE'S NAME [REDACTED] PHONE # _____

LAST JOB SITE/LAST DAY WORKED FOR NSS 7NO 1/12/19/89

HAVE YOU BEEN CONVICTED OF A CRIMINAL OFFENSE SINCE YOU LAST WORKED FOR NSS?
(include DUIs and misdemeanor charges) YES or NO (Circle)
IF YES, EXPLAIN: _____

HAVE YOU TESTED POSITIVE ON ANY FITNESS-FOR-DUTY POLICY RELATED ILLEGAL DRUG
AND/OR ALCOHOL TEST ADMINISTERED WITHIN THE PAST (5) FIVE YEARS? IF YES, DO
YOU HAVE PROOF OF REHABILITATION?: Yes, 2 1/2 yrs ago

In file Will be faxing letter for proof of rehab.

LIST ALL EMPLOYMENT/UNEMPLOYMENT/EDUCATION PERIODS BEGINNING WITH THE LAST DAY
WORKED FOR NSS.

EMPLOYER/UNEMPLOYMENT/EDUCATION _____ DATES FROM 12/20/89 TO present

IF EMPLOYED: JOB TITLE/JOB SITE 1

EMPLOYER'S ADDRESS _____ PHONE# _____

EMPLOYEE'S RESIDENCE [REDACTED]

REFERENCE (1) [REDACTED] PHONE# [REDACTED]

ADDRESS [REDACTED]

REFERENCE (2) [REDACTED] PHONE# [REDACTED]

ADDRESS [REDACTED]

EMPLOYER/UNEMPLOYMENT/EDUCATION _____ FROM _____ TO _____

IF EMPLOYED: JOB TITLE/JOB SITE 1

EMPLOYER'S ADDRESS _____ PHONE# _____

EMPLOYEE'S RESIDENCE _____

REFERENCE (1) [REDACTED] PHONE# [REDACTED]

ADDRESS [REDACTED]

REFERENCE (2) _____ PHONE# _____

ADDRESS _____

EXHIBIT 25

PAGE 2 OF 4 PAGES



UPDATE FORM

DATE 8/17/90

TAKEN BY Kim

EMPLOYEE'S NAME [REDACTED] PHONE # _____

LAST JOB SITE/LAST DAY WORKED FOR NSS ANO 12/19/89

HAVE YOU BEEN CONVICTED OF A CRIMINAL OFFENSE SINCE YOU LAST WORKED FOR NSS?
(include DUIs and misdemeanor charges) YES or (NO) (Circle)
IF YES, EXPLAIN: _____

HAVE YOU TESTED POSITIVE ON ANY FITNESS-FOR-DUTY POLICY RELATED ILLEGAL DRUG
AND/OR ALCOHOL TEST ADMINISTERED WITHIN THE PAST (5) FIVE YEARS? IF YES, DO
YOU HAVE PROOF OF REHABILITATION?: 2 1/2 yrs ago
"rehab in files"

LIST ALL EMPLOYMENT/UNEMPLOYMENT/EDUCATION PERIODS BEGINNING WITH THE LAST DAY
WORKED FOR NSS.

EMPLOYER/UNEMPLOYMENT/EDUCATION _____ FROM ^{DATES} 6/20/89 TO present

IF EMPLOYED: JOB TITLE/JOB SITE 1

EMPLOYER'S ADDRESS _____ PHONE# _____

EMPLOYEE'S RESIDENCE [REDACTED] _____ W# _____

REFERENCE (1) [REDACTED] PHONE# [REDACTED]

ADDRESS _____

REFERENCE (2) [REDACTED] PHONE# [REDACTED]

ADDRESS _____

EMPLOYER/UNEMPLOYMENT/EDUCATION _____ FROM _____ TO _____

IF EMPLOYED: JOB TITLE/JOB SITE 1

EMPLOYER'S ADDRESS _____ PHONE# _____

EMPLOYEE'S RESIDENCE _____

REFERENCE (1) [REDACTED] PHONE# [REDACTED]

ADDRESS [REDACTED]

REFERENCE (2) _____ PHONE# [REDACTED]

ADDRESS _____

184 184
San Diego State Univ
San Diego, CA 92182-0000
6871

EXHIBIT 25

PAGE 2 OF 4 PAGE(S)



UPDATE FORM

DATE 1/2/91

TAKEN BY RC [unclear]

EMPLOYEE'S NAME [REDACTED] PHONE [REDACTED]

LAST JOB SITE/LAST DAY WORKED FOR NSS PT BEACH 11-16-90

HAVE YOU BEEN CONVICTED OF A CRIMINAL OFFENSE SINCE YOU LAST WORKED FOR NSS?
(include DUIs and misdemeanor charges) YES or NO (Circle)
IF YES, EXPLAIN: _____

HAVE YOU TESTED POSITIVE ON ANY FITNESS-FOR-DUTY POLICY RELATED ILLEGAL DRUG
AND/OR ALCOHOL TEST ADMINISTERED WITHIN THE PAST (5) FIVE YEARS? IF YES, DO
YOU HAVE PROOF OF REHABILITATION?: NOT

LIST ALL EMPLOYMENT/UNEMPLOYMENT/EDUCATION PERIODS BEGINNING WITH THE LAST DAY
WORKED FOR NSS.

EMPLOYER/UNEMPLOYMENT/EDUCATION _____ DATES
FROM 11-17-90 TO PRESENT

IF EMPLOYED: JOB TITLE/JOB SITE _____

EMPLOYER'S ADDRESS _____ PHONE# _____

EMPLOYEE'S RESIDENCE [REDACTED]

REFERENCE (1) _____ PHONE# _____

ADDRESS _____

REFERENCE (2) _____ PHONE# _____

ADDRESS _____

EMPLOYER/UNEMPLOYMENT/EDUCATION _____ FROM _____ TO _____

IF EMPLOYED: JOB TITLE/JOB SITE _____

EMPLOYER'S ADDRESS _____ PHONE# _____

EMPLOYEE'S RESIDENCE _____


REFERENCE (1) _____ PHONE# _____

ADDRESS _____

REFERENCE (2) _____ PHONE# _____

ADDRESS _____

EXHIBIT 25

PAGE 4 OF 4 PAGE(S) 

< 365-d returns to Pt Beach

No update required for this access.



NUCLEAR SUPPORT SERVICES, INC.

PHONE 717 838 8125

TO: Security Coordinator, ANO

FROM: Human Resources Manager, NSS, Inc.

DATE: September 6, 1989

UBJECT: Request for Unescorted Access to Arkansas Nuclear One

The employee listed below has undergone a successful background investigation and psychological evaluation (*) which satisfies all of the requirements specified by the Arkansas Power & Light Personnel Screening Procedure, WP860032. The documentation of the screening process and evaluation of the employee listed below is available for audit by Arkansas Power & Light and/or the U.S. Nuclear Regulatory Commission at the following address:

Nuclear Support Services, Inc.
 West Market Street
 Campbelltown, PA 17010

I understand that if screening is found to be incomplete or records are not found at the above address, that unescorted access will be withdrawn immediately upon disclosure.

Unescorted Access is Requested for:

| | | | |
|------------------------------------|-------------------|------------------------|--|
| <u>[REDACTED]</u> | | <u>[REDACTED]</u> | |
| Last Name, First, Middle Initial | | Social Security Number | |
| <u>September 6, 1989</u> | <u>[REDACTED]</u> | <u>[REDACTED]</u> | |
| Date Screening Completed | Date of Birth | Place of Birth | |
| Present Address: <u>[REDACTED]</u> | | | |
| <u>[REDACTED]</u> | | | |

(*) Psychological Evaluation Completed by Arkansas Power & Light
 Yes _____ or No XXX _____

By virtue of my authority as the Human Resources Manager for the aforesaid Company, I herewith make this application.

Brenda E. Acker
 (SIGNATURE)

Brenda E. Acker, Human Resources Manager



PHOENIX CENTER
420 Water Street, Suite 103
Kerrville, Texas 78028
(512) 257-5300

March 12, 1990

To Whom It May Concern:

[REDACTED] came to the Phoenix Center an accredited mental health center, for an assessment related to past drug use. He was interviewed on two separate occasions by a Texas certified advanced clinical practitioner. He was administered two personality inventories, scoring in the high normal area on both tests. He was given a thorough chemical dependency assessment covering factors such as, variety of substances, amounts, length of use, and drug related consequences.

The chemical dependency assessment indicated that [REDACTED] currently uses alcohol in moderation but has not used any other substance, including prescribed drugs, in the past 30 months.

Based on my professional opinion, and barring any laboratory evidence to the contrary, [REDACTED] appears to be telling the truth and not to be currently using any illegal substances.

Sincerely Yours,

A handwritten signature in cursive script that reads "Barbara E Fuller".

Barbara Fuller, MSW, CSW, ACP

3-01-017

EXHIBIT 27
PAGE 1 OF 1 PAGE(S)

INTERNAL SECURITY ROUTING SLIP

DATE REQUESTED ACCESS: 3/21/90
PERMANENT _____ OR TEMPORARY _____

APPLICANTS NAME: [REDACTED] ^{2/1/65} S.S.#: [REDACTED]

NEW HIRE _____ REHIRE DIVISION HP JOB SITE PB ^{rec'd} JOB NUMBER _____

CLIENT'S CRITERIA: update 2 listed, 2 dev.

MMPI: YES _____ NO DATE: 9/25/89

DRUG SCREEN: YES _____ NO DATE: done by client

CREDIT CHECK YES _____ NO DATE: _____

EDUCATION: YES _____ NO DATE: In file
TO INCLUDE H.S. AND COLLEGE: YES _____ NO _____ COPIES OF TRANSCRIPTS: YES _____ NO _____

MOTOR VEHICLE: YES _____ NO DATE: _____

TRUE IDENTITY: YES _____ NO PHOTO IDENTITY: YES _____ NO _____

CRIMINAL CHECKS:

REGULAR (OUTSIDE) YES _____ NO _____ RUSH (OUTSIDE): YES NO _____

LOCATIONS CHECKED: TX

ADDITIONAL RESIDENCES DISCOVERED DURING INVESTIGATION: _____

AUTHORIZATION FORM NEEDED: YES _____ NO

OUTSTANDING ITEMS (AFTER EACH DAY OF WORKING ON FILE, PLEASE LIST ANY OUTSTANDING ITEMS, IF ITEM GETS COMPLETED, PLEASE CHECK OFF)

EMPLOYER: _____ DATE OF LAST ATTEMPT: _____ ITEM COMPLETE: YES _____ NO _____ INITIALS _____

EMPLOYER: _____ DATE OF LAST ATTEMPT: _____ ITEM COMPLETE: YES _____ NO _____ INITIALS _____

REFERENCE: X X DATE OF LAST ATTEMPT: _____ ITEM COMPLETE: YES _____ NO _____ INITIALS _____

REFERENCE: _____ DATE OF LAST ATTEMPT: _____ ITEM COMPLETE: YES _____ NO _____ INITIALS _____

DEVELOPED REFERENCE: X X DATE OF LAST ATTEMPT: _____ ITEM COMPLETE: YES _____ NO _____ INITIALS _____

DEVELOPED REFERENCE: _____ DATE OF LAST ATTEMPT: _____ ITEM COMPLETE: YES _____ NO _____ INITIALS _____

SEND WRITTEN: (LIST INFORMATION:) _____ EXHIBIT 28

_____ PAGE(S) 1 OF 7

SPECIAL COMMENTS:(i.e. additional references or telephone #'s) _____

3-91-0-7



3/14/90
Date

| | | |
|---|----------------------------|--|
| <u>[REDACTED]</u> Employee Name | <u>NSS</u> Company Name | <u>3/89-12/89</u> Dates of Attendance |
| <u>verified through security file</u> Person Contacted | <u>0</u> Position | |

To the best of your knowledge has this person tested positive for an Illegal Drug and/or Alcohol test administered as a condition of employment or during the course of employment within the past five (5) years? NO

To the best of your knowledge has this person undergone treatment for Illegal Drug and/or Alcohol abuse within the past five (5) years? NO

To the best of your knowledge has this person been denied access to a nuclear power plant or other employment location due to a Fitness-for-Duty policy (10CFR26) requirements? NO

Brenda Cota
Manager - Security

Kim Smith
Interviewer

8/28/90
Date of Review

3/14/90
Date of interview

EXHIBIT 28

PAGE 2 OF 7 PAGE(S)



CHARACTER REFERENCE SHEET

NAME OF APPLICANT: [REDACTED] S.S.# [REDACTED]

NAME OF REFERENCE: [REDACTED] LISTED: DEVELOPED:

ADDRESS [REDACTED] CITY [REDACTED] STATE [REDACTED] ZIP [REDACTED] TELEPHONE [REDACTED]

DO YOU REMEMBER HIM/HER? YES NO

DATES THAT YOU HAVE KNOWN THIS PERSON: 1977 TO Present

WHAT IS YOUR RELATIONSHIP TO THE APPLICANT? Friend

TO YOUR KNOWLEDGE, DOES HE/SHE HAVE FINANCIAL, DOMESTIC, ALCOHOL, DRUG OR GAMBLING DIFFICULTIES?

None

ARE YOU AWARE OF ANY CRIMINAL RECORD HE/SHE MIGHT HAVE? No

ARE YOU AWARE OF ANY MENTAL OR PHYSICAL ILLNESS HE/SHE MIGHT HAVE? No

WOULD YOU REGARD HIM/HER AS BEING A PERSON OF HONESTY AND INTEGRITY?

YES NO

WOULD YOU RECOMMEND HIM/HER FOR A SENSITIVE POSITION THAT REQUIRES TRUST AND RELIABILITY?

YES NO

IS HE/SHE SUSCEPTIBLE TO COERCION? YES NO

EMPLOYMENT VERIFIED _____

UNEMPLOYMENT VERIFIED 12/20/89 - Present

RESIDENCE VERIFIED [REDACTED]

NAME, ADDRESS AND PHONE # OF ADDITIONAL REFERENCE(S):

[REDACTED]

COMMENTS:

EXHIBIT 28

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Brenda [Signature]

SECURITY MANAGER

8/28/90

DATE OF REVIEW

Edward L. Hill

INTERVIEWER

3/20/90

DATE OF INTERVIEW

NAME OF APPLICANT: [REDACTED] S.S.# [REDACTED]

F REFERENCE: [REDACTED] LISTED: DEVELOPED:

ADDRESS [REDACTED] CITY [REDACTED] STATE [REDACTED] ZIP [REDACTED] TELEPHONE [REDACTED]

DO YOU REMEMBER HIM/HER? YES NO

DATES THAT YOU HAVE KNOWN THIS PERSON: 1980 TO Present

WHAT IS YOUR RELATIONSHIP TO THE APPLICANT? Work with Mother

TO YOUR KNOWLEDGE, DOES HE/SHE HAVE FINANCIAL, DOMESTIC, ALCOHOL, DRUG OR GAMBLING DIFFICULTIES?

None

ARE YOU AWARE OF ANY CRIMINAL RECORD HE/SHE MIGHT HAVE? No

ARE YOU AWARE OF ANY MENTAL OR PHYSICAL ILLNESS HE/SHE MIGHT HAVE? No

WOULD YOU REGARD HIM/HER AS BEING A PERSON OF HONESTY AND INTEGRITY?

YES NO

WOULD YOU RECOMMEND HIM/HER FOR A SENSITIVE POSITION THAT REQUIRES TRUST AND INTEGRITY?

YES NO

IS HE/SHE SUSCEPTIBLE TO COERCION? YES NO

EMPLOYMENT VERIFIED 1

EMPLOYMENT VERIFIED 12/20/89 - Present

RESIDENCE VERIFIED [REDACTED]

NAME, ADDRESS AND PHONE # OF ADDITIONAL REFERENCE(S):

REMARKS:

EXHIBIT 28
PAGE 4 OF 7 PAGE(S)

Brenda Cole
SECURITY MANAGER
8/28/90
DATE OF REVIEW

Ellenor L Hill
INTERVIEWER
3/20/90
DATE OF INTERVIEW

CHARACTER REFERENCE SHEET

NAME OF APPLICANT: [REDACTED] S.S.# [REDACTED]

NAME OF REFERENCE: [REDACTED] LISTED: DEVELOPED:

ADDRESS [REDACTED] CITY [REDACTED] STATE [REDACTED] ZIP [REDACTED] TELEPHONE [REDACTED]

DO YOU REMEMBER HIM/HER? YES NO

DATES THAT YOU HAVE KNOWN THIS PERSON: 14 yrs TO Present

WHAT IS YOUR RELATIONSHIP TO THE APPLICANT? Wife of Mother

TO YOUR KNOWLEDGE, DOES HE/SHE HAVE FINANCIAL, DOMESTIC, ALCOHOL, DRUG OR GAMBLING DIFFICULTIES?

None

ARE YOU AWARE OF ANY CRIMINAL RECORD HE/SHE MIGHT HAVE? No

ARE YOU AWARE OF ANY MENTAL OR PHYSICAL ILLNESS HE/SHE MIGHT HAVE? No

WOULD YOU REGARD HIM/HER AS BEING A PERSON OF HONESTY AND INTEGRITY?

YES NO

WOULD YOU RECOMMEND HIM/HER FOR A SENSITIVE POSITION THAT REQUIRES TRUST AND RELIABILITY?

YES NO

IS HE/SHE SUSCEPTIBLE TO COERCION? YES NO

EMPLOYMENT VERIFIED

UNEMPLOYMENT VERIFIED 12/20/89 - Present

RESIDENCE VERIFIED [REDACTED]

NAME, ADDRESS AND PHONE # OF ADDITIONAL REFERENCE(S):

[REDACTED]
[REDACTED]

COMMENTS:

EXHIBIT 28

PAGE 5 OF 7 PAGE(S)

Brenda Acker
SECURITY MANAGER

Eleanor J. Hill
INTERVIEWER

8/28/90
DATE OF REVIEW

3/20/90
DATE OF INTERVIEW

CHARACTER REFERENCE SHEET

NAME OF APPLICANT: [REDACTED] S.S.# [REDACTED]

NAME OF REFERENCE: [REDACTED] LISTED: [REDACTED] DEVELOPED:

ADDRESS [REDACTED] CITY [REDACTED] STATE [REDACTED] ZIP [REDACTED] TELEPHONE [REDACTED]

DO YOU REMEMBER HIM/HER? YES NO

DATES THAT YOU HAVE KNOWN THIS PERSON: 11/84 TO Present

WHAT IS YOUR RELATIONSHIP TO THE APPLICANT? Friend & Neighbor

TO YOUR KNOWLEDGE, DOES HE/SHE HAVE FINANCIAL, DOMESTIC, ALCOHOL, DRUG OR GAMBLING DIFFICULTIES?

No

ARE YOU AWARE OF ANY CRIMINAL RECORD HE/SHE MIGHT HAVE? No

ARE YOU AWARE OF ANY MENTAL OR PHYSICAL ILLNESS HE/SHE MIGHT HAVE? No

WOULD YOU REGARD HIM/HER AS BEING A PERSON OF HONESTY AND INTEGRITY?

YES NO

WOULD YOU RECOMMEND HIM/HER FOR A SENSITIVE POSITION THAT REQUIRES TRUST AND RELIABILITY?

YES NO

IS HE/SHE SUSCEPTIBLE TO COERCION? YES NO

EMPLOYMENT VERIFIED [REDACTED]

UNEMPLOYMENT VERIFIED 12/20/84 Present

RESIDENCE VERIFIED [REDACTED]

NAME, ADDRESS AND PHONE # OF ADDITIONAL REFERENCE(S):

COMMENTS:

EXHIBIT 28

PAGE 6 OF 7 PAGE(S)

Brenda [Signature]

SECURITY MANAGER

8/28/90
DATE OF REVIEW

Eleanor J. Hill

INTERVIEWER

3/20/90
DATE OF INTERVIEW

EMPLOYMENT ELIGIBILITY VERIFICATION (Form I-9)

1 EMPLOYEE INFORMATION AND VERIFICATION: (To be completed and signed by employee.)

| | | | |
|---------------------------------|------------------------|--------|------------|
| Name: (Print or Type) Last | First | Middle | Birth Name |
| Address: Street Name and Number | City | State | ZIP Code |
| Date of Birth (Month/Day/Year) | Social Security Number | | |

I attest, under penalty of perjury, that I am (check a box):

- 1. A citizen or national of the United States.
- 2. An alien lawfully admitted for permanent residence (Alien Number A _____).
- 3. An alien authorized by the Immigration and Naturalization Service to work in the United States (Alien Number A _____ or Admission Number _____, expiration of employment authorization, if any _____).

I attest, under penalty of perjury, the documents that I have presented as evidence of identity and employment eligibility are genuine and relate to me. I am aware that federal law provides for imprisonment and/or fine for any false statements or use of false documents in connection with this certificate.

| | |
|-----------|-----------------------|
| Signature | Date (Month/Day/Year) |
|-----------|-----------------------|

PREPARER, TRANSLATOR CERTIFICATION (To be completed if prepared by person other than the employee): I attest, under penalty of perjury, that the above was prepared by me at the request of the named individual and is based on all information of which I have any knowledge.

| | |
|----------------------------------|----------------------|
| Signature | Name (Print or Type) |
| Address (Street Name and Number) | City State Zip Code |

2 EMPLOYER REVIEW AND VERIFICATION: (To be completed and signed by employer.)

Instructions:

Examine one document from List A and check the appropriate box. OR examine one document from List B and one from List C and check the appropriate boxes. Provide the **Document Identification Number** and **Expiration Date** for the document checked.

| List A Documents that Establish Identity and Employment Eligibility | List B Documents that Establish Identity | List C Documents that Establish Employment Eligibility |
|--|--|---|
| <input type="checkbox"/> 1. United States Passport <input type="checkbox"/> 2. Certificate of United States Citizenship <input type="checkbox"/> 3. Certificate of Naturalization <input type="checkbox"/> 4. Unexpired foreign passport with attached Employment Authorization <input type="checkbox"/> 5. Alien Registration Card with photograph Document Identification # _____ Expiration Date (if any) _____ | <input checked="" type="checkbox"/> 1. A State-issued driver's license or a State-issued I.D. card with a photograph, or information, including name, sex, date of birth, height, weight, and color of eyes. (Specify State: _____) <input type="checkbox"/> 2. U.S. Military Card <input type="checkbox"/> 3. Other (Specify document and issuing authority) _____ Document Identification # _____ Expiration Date (if any) <u>1991</u> | <input checked="" type="checkbox"/> 1. Original Social Security Number Card (other than a card stating it is not valid for employment) <input type="checkbox"/> 2. A birth certificate issued by State, county, or municipal authority bearing a seal or other certification <input type="checkbox"/> 3. Unexpired INS Employment Authorization Specify form # _____ Document Identification # _____ Expiration Date (if any) _____ |

CERTIFICATION: I attest, under penalty of perjury, that I have examined the documents presented by the above individual, that they appear to be genuine and to relate to the individual named, and that the individual, to the best of my knowledge, is eligible to work in the United States.

| | | |
|--|--|----------------------------------|
| Signature <u>Donald Hall</u> | Name (Print or Type) <u>Donald Hall</u> | Title <u>Site Coordinator</u> |
| Employer Name <u>Nuclear Support Services, West Market St. Campbelltown Pa 1700</u> | Address | Date <u>8-27-90</u> |

CHARACTER REFERENCE SHEET

NAME OF APPLICANT: [REDACTED] S.S.# [REDACTED]

NAME OF REFERENCE: [REDACTED] LISTED: DEVELOPED:

[REDACTED] ADDRESS CITY STATE ZIP TELEPHONE

DO YOU REMEMBER HIM/HER? YES NO

DATES THAT YOU HAVE KNOWN THIS PERSON: 1975 TO Present

WHAT IS YOUR RELATIONSHIP TO THE APPLICANT? Friends

TO YOUR KNOWLEDGE, DOES HE/SHE HAVE FINANCIAL, DOMESTIC, ALCOHOL, DRUG OR GAMBLING DIFFICULTIES? NO

ARE YOU AWARE OF ANY CRIMINAL RECORD HE/SHE MIGHT HAVE? NO

ARE YOU AWARE OF ANY MENTAL OR PHYSICAL ILLNESS HE/SHE MIGHT HAVE? NO

WOULD YOU REGARD HIM/HER AS BEING A PERSON OF HONESTY AND INTEGRITY? YES NO

WOULD YOU RECOMMEND HIM/HER FOR A SENSITIVE POSITION THAT REQUIRES TRUST AND RELIABILITY? YES NO

IS HE/SHE SUSCEPTIBLE TO COERCION? YES NO

EMPLOYMENT VERIFIED _____

UNEMPLOYMENT VERIFIED 12-70-89 - Present

RESIDENCE VERIFIED [REDACTED]

NAME, ADDRESS AND PHONE # OF ADDITIONAL REFERENCE(S): NO

COMMENTS:

EXHIBIT 29

PAGE 2 OF 10 PAGE(S)

[Signature] SECURITY MANAGER 8/28/90 DATE OF REVIEW

[Signature] INTERVIEWER 8-21-90 DATE OF INTERVIEW

CHARACTER REFERENCE SHEET

NAME OF APPLICANT: [REDACTED] S.S.# [REDACTED]

NAME OF REFERENCE: [REDACTED] LISTED: _____ DEVELOPED:

[REDACTED ADDRESS LINE]

ADDRESS CITY STATE ZIP TELEPHONE

DO YOU REMEMBER HIM/HER? YES _____ NO

DATES THAT YOU HAVE KNOWN THIS PERSON: 14 yrs TO Present

WHAT IS YOUR RELATIONSHIP TO THE APPLICANT? Friends

TO YOUR KNOWLEDGE, DOES HE/SHE HAVE FINANCIAL, DOMESTIC, ALCOHOL, DRUG OR GAMBLING DIFFICULTIES?

NO

ARE YOU AWARE OF ANY CRIMINAL RECORD HE/SHE MIGHT HAVE? NO

ARE YOU AWARE OF ANY MENTAL OR PHYSICAL ILLNESS HE/SHE MIGHT HAVE? NO

WOULD YOU REGARD HIM/HER AS BEING A PERSON OF HONESTY AND INTEGRITY?

YES _____ NO

WOULD YOU RECOMMEND HIM/HER FOR A SENSITIVE POSITION THAT REQUIRES TRUST AND RELIABILITY?

YES _____ NO

IS HE/SHE SUSCEPTIBLE TO COERCION? _____ YES NO

EMPLOYMENT VERIFIED _____

UNEMPLOYMENT VERIFIED 12-20-89 TO Present

RESIDENCE VERIFIED [REDACTED]

NAME, ADDRESS AND PHONE # OF ADDITIONAL REFERENCE(S):

NO

COMMENTS:

EXHIBIT 29

PAGE 3 OF 10 PAGE(S)

Brenda Acker

SECURITY MANAGER

8/28/90

DATE OF REVIEW

[Signature]

INTERVIEWER

8-20-90

DATE OF INTERVIEW

CHARACTER REFERENCE SHEET

NAME OF APPLICANT: [REDACTED] S.S.# [REDACTED]

NAME OF REFERENCE: [REDACTED] LISTED: DEVELOPED:

ADDRESS [REDACTED] CITY [REDACTED] STATE [REDACTED] ZIP [REDACTED] TELEPHONE [REDACTED]

DO YOU REMEMBER HIM/HER? YES NO

DATES THAT YOU HAVE KNOWN THIS PERSON: 12 yrs TO Present

WHAT IS YOUR RELATIONSHIP TO THE APPLICANT? worked with mother.

TO YOUR KNOWLEDGE, DOES HE/SHE HAVE FINANCIAL, DOMESTIC, ALCOHOL, DRUG OR GAMBLING DIFFICULTIES? NO

ARE YOU AWARE OF ANY CRIMINAL RECORD HE/SHE MIGHT HAVE? NO

ARE YOU AWARE OF ANY MENTAL OR PHYSICAL ILLNESS HE/SHE MIGHT HAVE? NO

WOULD YOU REGARD HIM/HER AS BEING A PERSON OF HONESTY AND INTEGRITY? YES NO

WOULD YOU RECOMMEND HIM/HER FOR A SENSITIVE POSITION THAT REQUIRES TRUST AND RELIABILITY? YES NO

IS HE/SHE SUSCEPTIBLE TO COERCION? YES NO

EMPLOYMENT VERIFIED _____

UNEMPLOYMENT VERIFIED 12-20-89 - Present

RESIDENCE VERIFIED [REDACTED]

NAME, ADDRESS AND PHONE # OF ADDITIONAL REFERENCE(S):
[REDACTED]
[REDACTED]

COMMENTS:

EXHIBIT 29
PAGE 4 OF 10 PAGE(S)

Brenda Lida
SECURITY MANAGER
8/28/91
DATE OF REVIEW

Sharon Heffner
INTERVIEWER
8-21-91
DATE OF INTERVIEW

CHARACTER REFERENCE SHEET

NAME OF APPLICANT [REDACTED] S.S.# [REDACTED]

NAME OF REFERENCE: [REDACTED] LISTED: DEVELOPED:

[REDACTED] ADDRESS CITY STATE ZIP TELEPHONE

DO YOU REMEMBER HIM/HER? YES NO

DATES THAT YOU HAVE KNOWN THIS PERSON: 14 yrs TO Present

WHAT IS YOUR RELATIONSHIP TO THE APPLICANT? Friends

TO YOUR KNOWLEDGE, DOES HE/SHE HAVE FINANCIAL, DOMESTIC, ALCOHOL, DRUG OR GAMBLING DIFFICULTIES?

NO

ARE YOU AWARE OF ANY CRIMINAL RECORD HE/SHE MIGHT HAVE? NO

ARE YOU AWARE OF ANY MENTAL OR PHYSICAL ILLNESS HE/SHE MIGHT HAVE?

WOULD YOU REGARD HIM/HER AS BEING A PERSON OF HONESTY AND INTEGRITY?

YES NO

WOULD YOU RECOMMEND HIM/HER FOR A SENSITIVE POSITION THAT REQUIRES TRUST AND RELIABILITY?

YES NO

IS HE/SHE SUSCEPTIBLE TO COERCION? YES NO

EMPLOYMENT VERIFIED _____

UNEMPLOYMENT VERIFIED 12/20/89 - present

RESIDENCE VERIFIED [REDACTED]

NAME, ADDRESS AND PHONE # OF ADDITIONAL REFERENCE(S):

[REDACTED]

COMMENTS:

EXHIBIT 29

PAGE 5 OF 10 PAGE(S)

Brenda [Signature]
SECURITY MANAGER

Sharon [Signature]
INTERVIEWER

5/28/90
DATE OF REVIEW

8-21-91
DATE OF INTERVIEW

CHARACTER REFERENCE SHEET

From Sheet in Back -

NAME OF APPLICANT: [REDACTED] S.S.# [REDACTED]

NAME OF REFERENCE: [REDACTED] LISTED: [REDACTED] DEVELOPED: [REDACTED]

ADDRESS [REDACTED] CITY [REDACTED] STATE [REDACTED] ZIP [REDACTED] TELEPHONE [REDACTED]

DO YOU REMEMBER HIM/HER? YES NO

DATES THAT YOU HAVE KNOWN THIS PERSON: 20 yrs TO Present

WHAT IS YOUR RELATIONSHIP TO THE APPLICANT? Neighbor

TO YOUR KNOWLEDGE, DOES HE/SHE HAVE FINANCIAL, DOMESTIC, ALCOHOL, DRUG OR GAMBLING DIFFICULTIES?

NO

ARE YOU AWARE OF ANY CRIMINAL RECORD HE/SHE MIGHT HAVE? NO

ARE YOU AWARE OF ANY MENTAL OR PHYSICAL ILLNESS HE/SHE MIGHT HAVE? NO

WOULD YOU REGARD HIM/HER AS BEING A PERSON OF HONESTY AND INTEGRITY?

YES NO

WOULD YOU RECOMMEND HIM/HER FOR A SENSITIVE POSITION THAT REQUIRES TRUST AND RELIABILITY?

YES NO

IS HE/SHE SUSCEPTIBLE TO COERCION? YES NO

EMPLOYMENT VERIFIED [REDACTED]

UNEMPLOYMENT VERIFIED 12/20/89 - Present

RESIDENCE VERIFIED [REDACTED]

NAME, ADDRESS AND PHONE # OF ADDITIONAL REFERENCE(S):

[REDACTED]

COMMENTS:

EXHIBIT 29

PAGE 6 OF 6 PAGE(S)

Brenda Allen

SECURITY MANAGER

8/28/90
DATE OF REVIEW

William Allen

INTERVIEWER

8/22/90
DATE OF INTERVIEW

Miss R BROOKS ASSOC SERVICES

P.2F.2

| | | |
|---------------------------------|------------------------|-------------------------|
| XXXXXXXXXXXXXXXXXXXX | <u>Brooks Assoc</u> | <u>9/13/88-12/19/88</u> |
| EMPLOYEE NAME | COMPANY NAME | DATES OF ATTENDANCE |
| * <u>James E Gallett</u> | <u>General Manager</u> | <u>1/25/88-7/15/88</u> |
| Person Contacted | Position | |

To the best of your knowledge has this person tested positive for an Illegal Drug and/or Alcohol test administered as a condition of employment or during the course of employment within the past five (5) years?

NO

To the best of your knowledge has this person undergone treatment for Illegal Drug and/or Alcohol abuse within the past five (5) years?

NO

To the best of your knowledge has this person had a security access revoked or been denied access to a nuclear power plant or other employment location due to Illegal Drug and/or Alcohol testing?

NO

ADDITIONAL EMPLOYMENT TIME PERIODS

Brenda Lila

Manager - Security

8/28/90
Date of Review

Kim Smith

Interviewer

8/27/90
Date of Interview

EXHIBIT 29

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| | | |
|---------------------------------------|--------------|---------------------------|
| <u>[REDACTED]</u> | <u>NISS</u> | <u>9/12/89 - 12/19/89</u> |
| EMPLOYEE NAME | COMPANY NAME | DATES OF ATTENDANCE |
| <u>verified through security file</u> | | <u>3/20/89 - 4/14/89</u> |
| Person Contacted | Position | |

To the best of your knowledge has this person tested positive for an Illegal Drug and/or Alcohol test administered as a condition of employment or during the course of employment within the past five (5) years?

NO

To the best of your knowledge has this person undergone treatment for Illegal Drug and/or Alcohol abuse within the past five (5) years?

NO

To the best of your knowledge has this person had a security access revoked or been denied access to a nuclear power plant or other employment location due to Illegal Drug and/or Alcohol testing?

NO

ADDITIONAL EMPLOYMENT TIME PERIODS

Brenda Acker

Manager - Security

Kim Smith

Interviewer

8/20/90

Date of Review

8/24/90

Date of Interview

EXHIBIT 29

PAGE 8 OF 10 PAGE(S)







NUCLEAR SUPPORT SERVICES, INC. .

POST OFFICE BOX 3120, HERSHEY, PA 17033 PHONE 717 638 8125

I hereby acknowledge that I received, read and understand Nuclear Support Services, Inc. Procedure GA-1703, "Fitness For Duty", and agree to be periodically screened, searched and tested for possession and/or use of illegal or unauthorized drugs and alcohol prior to and during my employment and to authorize the testing agency to provide the results of such tests to Nuclear Support Services, Inc.

  08-27-65⁹⁰
EMPLOYEE NAME (Please Print) EMPLOYEE SIGNATURE DATE

NOTE: THIS DOCUMENT ACKNOWLEDGMENT SHEET MUST BE SIGNED AND RETURNED TO YOUR SITE COORDINATOR.

EXHIBIT 29

PAGE 9 OF 10 PAGE(S)

PART C

STATEMENT OF CERTIFICATION AND AUTHORIZATION

As an applicant for employment with Nuclear Support Services, Inc. I hereby certify and agree to the following:

1. That the information contained in my Employment Application and Security Questionnaire is correct and complete to the best of my knowledge and belief, and that any false or misleading statement or omission of material fact shall be sufficient cause for dismissal.
2. That falsification of any future information requested by either Nuclear Support Services, Inc. or any of its customers, shall be sufficient cause for dismissal.
3. To authorize any person or entity to furnish Nuclear Support Services, Inc. information and copies of records in their possession regarding: my education, experience, qualifications, and certificates; my physical and behavioral qualifications to perform nuclear related duties, including occupational exposure to ionizing radiation and radiation exposure history, personal information including character, general reputation, criminal record, credit record, etc. as may be necessary to successfully pass a security background investigation.
4. As an applicant, I may withdraw consent for psychological evaluation or background investigation at any time upon written consent to the Security Manager of NSS, Inc. NSS, Inc. will cease screening activities as soon thereafter as practical. Such withdrawal shall cause the withdrawal of the request for access authorization at the applicable utility.
5. To be periodically screened, searched, and tested for possession and/or use of illegal and unauthorized drugs and alcohol prior to and during my employment and to authorize the testing agency to provide the results of such tests to Nuclear Support Services, Inc. and its customers.
6. That during my employment, I will immediately notify Nuclear Support Services, Inc. of any occurrence including arrest, emotional instability and drug/alcohol abuse that could affect my unescorted access status.
7. To a pre-employment physical and psychological testing, plus follow-up, if necessary.
8. That Nuclear Support Services, Inc. considers all applicants for employment without regards to races, color, religion, sex, national origin, age, marital or veterans status, medical conditions or handicaps, and must comply with government and customers; contractual obligations regarding affirmative action requirements.
9. That failure to successfully pass and/or comply with any of the above procedures may result in my disqualification as an applicant for employment or dismissal following employment; and to reimburse Nuclear Support Services, Inc. for any losses or damages resulting from their reliance upon the truthfulness of any statement made by me.

Furthermore, I hereby authorize Nuclear Support Services, Inc. to release such information acquired from other employers, references, and sources (including, but not limited to, drug, alcohol, and psychological test results) during the pre-employment security screening process and termination of employment with Nuclear Support Services, Inc. to persons, agencies, or related authorities on a need to know basis. I expressly release Nuclear Support Services, Inc. from any liability, contingent or otherwise, relating to the acquirement and release of this information.

[Redacted]

Employee Name (PRINT)

[Redacted]

Employee Signature

[Redacted]

Social Security Number

8-24-90

Date

EXHIBIT 29

PAGE 10 OF 10 PAGE(S)

REQUEST FOR NUCLEAR SECURITY CLEARANCE

Send To: NORTHERN STATES POWER COMPANY
Corporate Screening Services
Corporate Security Department
414 Nicollet Mall
Minneapolis, MN 55401

The following individual, an employee of Nuclear Support Services, Inc. West Market Street, Campbelltown, PA 17010, has undergone screening as outlined by Northern States Power Company (NSP) Contractor Access Procedure, Form 1-3019, and is favorably recommended and requires unescorted access to NSP nuclear plants. A review of our records (as evidenced by the self inspection portion of this form), and other information available, disclosed no evidence of emotional instability, aberrant behavior, untrustworthiness, or unreliability.

NAME [REDACTED] DATE EMPLOYED 8/27/90

ADDRESS [REDACTED]

SOC. SEC. NO. [REDACTED] DATE OF BIRTH [REDACTED]

U.S. CITIZEN YES XX NO

TYPE OF UNESCORTED ACCESS AUTHORIZATION REQUESTED (appropriate checklist must be completed on page two):

(Check One)

TEMPORARY: DATE COMPLETED:

FULL: XX DATE COMPLETED: 8/29/90

TRANSFERABLE: DATE COMPLETED:

Unescorted Access required at: Monticello

Prairie Island XX

Unescorted Access is requested to begin on: 8/29/90

The records and reports generated during the access authorization procedure for the above named individual are available for inspection at NSS Headquarters, West Market Street, Campbelltown, PA 17010, upon request by Northern States Power Company or its contractor.

EXHIBIT 30

PAGE 1 OF 2 PAGES



The items listed on this checklist correspond with components of Northern States Power Company Contractor Access Authorization Procedure, as described in Appendix A. Completion of these items shall be according to these requirements.

| <u>TEMPORARY</u> | <u>COMPLETED</u> | <u>FULL</u> | <u>COMPLETED</u> | <u>TRANSFERABLE</u> | <u>COMPLETED</u> |
|----------------------------------|------------------|------------------------------------|------------------|---|------------------|
| One Year employment verification | _____ | Five Years employment verification | <u>8/29/90</u> | Authorization for Release of Authorization Information to Northern States Power company (Form 1-3019-6) | _____ |
| One developed reference | _____ | Education verification | <u>8/29/90</u> | | |
| Credit Check | _____ | Military Service Verification | <u>N/A</u> | Submitted Request for Transferrable Unescorted Access Authorization to transferring utility | _____ |
| Psychological evaluation | _____ | Reference Checks (2) | <u>8/29/90</u> | | |
| | | Developed Reference Checks (2) | <u>8/29/90</u> | | |
| | | Verification of identity | <u>8/29/90</u> | | |
| | | Credit Check | <u>8/8/90</u> | | |
| | | Psychological Evaluation | <u>9/25/89</u> | | |

This is to certify that the above listed checklist items have been completed, evaluated with satisfactory results, and are available for audit by Northern States Power Company, or its contractor. As a designated, and authorized manager of this company, responsible for the unescorted access authorization program, I herewith make this request.

NAME: Robert C. Dailey

TITLE: Manager - Security

SIGNATURE: Robert C. Dailey

DATE: 8/29/90 TELEPHONE NUMBER: (717)838-8125

Upon approval of this request by NSP, and satisfactory completion of fingerprinting, and fitness for duty requirements, access authorization may be granted.



EXHIBIT 30

PAGE 2 OF 2 PAGE(S)



INTERNAL SECURITY ROUTING SLIP

DATE REQUESTED ACCESS: 9/17/90
PERMANENT _____ OR TEMPORARY _____

APPLICANTS NAME: [REDACTED] S.S.#: [REDACTED]

NEW HIRE _____ REHIRE DIVISION HP JOB SITE ANO JOB NUMBER _____

CLIENT'S CRITERIA: update 2listed, 2dev.

MMPI: YES _____ NO DATE: by

DRUG SCREEN: YES _____ NO DATE: client

X CREDIT CHECK YES NO _____ DATE: _____

EDUCATION: YES NO _____ DATE: _____
TO INCLUDE H.S. AND COLLEGE: YES _____ NO _____ COPIES OF _____

PI
8/27/90

Y MOTOR VEHICLE: YES _____ NO DATE: _____

TRUE IDENTITY: YES NO _____ PHOTO IDENTIT _____

CRIMINAL CHECKS:

REGULAR (OUTSIDE) YES _____ NO RUSH (OUTSIDE): YES _____ NO _____

X LOCATIONS CHECKED: TX

ADDITIONAL RESIDENCES DISCOVERED DURING INVESTIGATION: _____

AUTHORIZATION FORM NEEDED: YES _____ NO _____

OUTSTANDING ITEMS (AFTER EACH DAY OF WORKING ON FILE, PLEASE LIST ANY OUTSTANDING ITEMS, IF ITEM GETS COMPLETED, PLEASE CHECK OFF)

EMPLOYER: _____ DATE OF LAST ATTEMPT: _____ ITEM COMPLETE: YES _____ NO _____ INITIALS _____

EMPLOYER: _____ DATE OF LAST ATTEMPT: _____ ITEM COMPLETE: YES _____ NO _____ INITIALS _____

REFERENCE: 20 DATE OF LAST ATTEMPT: _____ ITEM COMPLETE: YES _____ NO _____ INITIALS _____

REFERENCE: _____ DATE OF LAST ATTEMPT: _____ ITEM COMPLETE: YES _____ NO _____ INITIALS _____

DEVELOPED REFERENCE: 20 DATE OF LAST ATTEMPT: _____ ITEM COMPLETE: YES _____ NO _____ INITIALS _____

DEVELOPED REFERENCE: _____ DATE OF LAST ATTEMPT: _____ ITEM COMPLETE: YES _____ NO _____ INITIALS _____

SEND WRITTEN: (LIST INFORMATION:) _____ EXHIBIT 31

PAGE 1 OF 5 PAGE(S)

3 SPECIAL COMMENTS: (i.e. additional references or telephone #'s) _____



INTERNAL SECURITY ROUTING SLIP

DATE REQUESTED ACCESS: 9/28/90
PERMANENT _____ OR TEMPORARY _____

APPLICANTS NAME: [REDACTED] S.S.#: [REDACTED]

NEW HIRE _____ REHIRE DIVISION 149 JOB SITE 24.6 JOB NUMBER _____

CLIENT'S CRITERIA: transfer from PI

MMPI: YES NO _____ DATE: _____

DRUG SCREEN: YES NO _____ DATE: _____

CREDIT CHECK YES _____ NO _____ DATE: _____

EDUCATION: YES _____ NO _____ DATE: _____
TO INCLUDE H.S. AND COLLEGE: YES _____ NO _____ COPIES OF TRANSCRIPTS: YES _____ NO _____

MOTOR VEHICLE: YES _____ NO _____ DATE: _____

TRUE IDENTITY: YES _____ NO _____ PHOTO IDENTITY: YES _____ NO _____

CRIMINAL CHECKS:

REGULAR (OUTSIDE) YES _____ NO _____ RUSH (OUTSIDE): YES _____ NO _____

LOCATIONS CHECKED: _____

ADDITIONAL RESIDENCES DISCOVERED DURING INVESTIGATION: _____

AUTHORIZATION FORM NEEDED: YES _____ NO _____

OUTSTANDING ITEMS (AFTER EACH DAY OF WORKING ON FILE, PLEASE LIST ANY OUTSTANDING ITEMS, IF ITEM GETS COMPLETED, PLEASE CHECK OFF)

EMPLOYER: _____ DATE OF LAST ATTEMPT: _____ ITEM COMPLETE: YES _____ NO _____ INITIALS _____

EMPLOYER: _____ DATE OF LAST ATTEMPT: _____ ITEM COMPLETE: YES _____ NO _____ INITIALS _____

REFERENCE: _____ DATE OF LAST ATTEMPT: _____ ITEM COMPLETE: YES _____ NO _____ INITIALS _____

REFERENCE: _____ DATE OF LAST ATTEMPT: _____ ITEM COMPLETE: YES _____ NO _____ INITIALS _____

DEVELOPED REFERENCE: _____ DATE OF LAST ATTEMPT: _____ ITEM COMPLETE: YES _____ NO _____ INITIALS _____

DEVELOPED REFERENCE: _____ DATE OF LAST ATTEMPT: _____ ITEM COMPLETE: YES _____ NO _____ INITIALS _____

SEND WRITTEN: (LIST INFORMATION:) _____ EXHIBIT 31

PAGE 2 OF 5 PAGE(S)

SPECIAL COMMENTS:(i.e, additional references or telephone #'s) _____



MPI BACKGROUND INFORMATION

It is important that you answer each of the following questions honestly and accurately. Failure to do so may result in denial, suspension or withdrawal of your personnel security clearance. An affirmative (Yes) answer to any of the following questions will not necessarily result in the denial of a security clearance; however, it does require additional information. Please provide specific details for all "Yes" answers.

FULL NAME (Printed): [REDACTED]

Date: 09/28/90 Social Security Number: [REDACTED]

Occupation: SR HP Date of Birth: [REDACTED]

Number of children (if any): 0 Ages of children: N/A

Have you had any significant medical problems in the past 5 years requiring the service of a physician? If yes, specify the problem and date.
YES NO If yes, explain: BROKEN ARM

Are you taking any medications at this time? YES NO What is the medication and why was it prescribed?

Have you ever received psychological or psychiatric treatment? If yes, specify the reason, date, and type of treatment. (Counseling, therapy, hospitalization, drug or alcohol detoxification, etc.)
YES NO If yes, explain: Rehabilitation

Have you ever been, or are you now, a user of alcohol habitually or to excess?
S NO If yes, please explain:

Have you ever illegally possessed or used marijuana, narcotics, hallucinogenics or other controlled substances? YES NO
If yes, what was the substance and when was the last time?

Have you ever been in trouble with the law, been arrested or convicted of a crime? This includes DUI (Driving Under the Influence of Alcohol). If yes, please explain, giving situation and dates. YES NO
Explain details:

Have you taken this test during the past 12 months? If yes, please state date and employer at the time. YES NO If yes: Date
Employer Here you given a follow-up interview after this testing? YES NO

- Have you had any of the following occur recently? IF YES, state dates and supporting detail.
- Death of a spouse/relative YES NO If yes, when Grandfather - 8-4-90
 - Marital Separation YES NO If yes, when
 - Personal Injury or Illness YES NO If yes, when EXHIBIT 31
 - Employment readjustment YES NO If yes, when PAGE 3 OF 5 PAGE(S)

MPI ADMINISTERED BY AUTHORIZED EMPLOYEE: [Signature]
SIGNATURE

09/28/90
DATE



09/28/90



NUCLEAR SUPPORT SERVICES, INC.

POST OFFICE BOX 3120, HERSHEY, PA 17033 PHONE 717-838-8125

I hereby acknowledge that I received, read and understand Nuclear Support Services, Inc. Procedure GA-1703, "Fitness For Duty", and agree to be periodically screened, searched and tested for possession and/or use of illegal or unauthorized drugs and alcohol prior to and during my employment and to authorize the testing agency to provide the results of such tests to Nuclear Support Services, Inc.

[REDACTED]

EMPLOYEE NAME (Please Print)

[REDACTED]

EMPLOYEE SIGNATURE

9/28/90
DATE

NOTE: THIS DOCUMENT ACKNOWLEDGMENT SHEET MUST BE SIGNED AND RETURNED TO YOUR SITE COORDINATOR.

EXHIBIT 31

PAGE 4 OF 5 PAGE(S)

EXHIBIT 31

PAGE 5 OF 5 PAGES

260497

TO WHOM IT MAY CONCERN:

NAME [REDACTED] SSN [REDACTED]

FORMER NAME: _____ DOB: [REDACTED]

In response to your telephone inquiry, the following information is provided pertaining to the above named person:

Attended from 8/74 to 12/85

Graduated 19 Degree [REDACTED]
Major [REDACTED]

Cannot verify degree.

Cannot locate record with information provided.

We are sorry, but no information can be released at this time.

Sincerely, Admissions & Records/Public Information Area

DLB 8/29/90


PBNP AUTHORIZATION FOR UNESCORTED ACCESS
APPLICANT DRUG/ALCOHOL TESTING PROCEDURE
STATEMENT AND AUTHORIZATION

As an applicant for authorization for unescorted access to the protected area of Wisconsin Electric Power Company's (WE) Point Beach Nuclear Plant (PBNP), you are subject to certain screening procedures as a result of regulations issued by the Nuclear Regulatory Commission (NRC). One of these screening procedures requires you to provide a urine sample which will be analyzed for indications of illegal drug usage. Illegal drugs that will be tested for include marijuana, cocaine, opiates, amphetamines, and phenycyclidine. If the urinalysis indicates the presence of one of these controlled substances or its metabolite (where use of such controlled substance is not pursuant to a legal prescription), you will be disqualified for unescorted access authorization.


Another screening procedure requires you to provide a breath sample which will be analyzed for the presence of alcohol. If the breath test indicates a blood alcohol concentration of 0.04% or greater, you will be disqualified for unescorted access authorization.

If you refuse to provide urine and breath samples, you shall be considered to have withdrawn your application for unescorted access authorization and you shall not be eligible to reapply for unescorted access authorization for one year.

I have read the statement above and give permission to the physician, nurse, or technician to obtain urine, breath, and/or blood samples from me, to submit such samples to a medical laboratory for analysis, and to communicate the results of such analysis to appropriate WE employees, my employer (if other than WE), and other individuals as may be appropriate.


Applicant's Signature

Date 10/3/90


Applicant's Name (Printed)


Applicant's Address

3-91-0-7



Applicant's Phone Number

EXHIBIT 33

PAGE 1 OF 2 PAGE(S)



NUCLEAR SUPPORT SERVICES, INC.

POST OFFICE BOX 1127 ELSHIRE, ILLINOIS 60120

Revision #6
January 3, 1990

RETURNEE

Point Beach Nuclear Plant Contractor Security Requirements

ATTACHMENT #2

DATE:

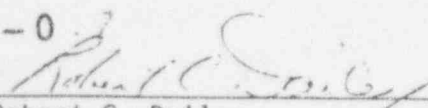
Mr. Clark D. Meyer
Corporate Security Officer
Wisconsin Electric Power Company
231 West Michigan Street
P.O. Box 2046
Milwaukee, WI 53201

Dear Mr. Meyer:

Nuclear Support Services, Inc., hereby applies for unescorted access for our named employee who has been screened in the indicated areas with Section 5.0 of the Point Beach Nuclear Plant Contractor Security Requirements, Revision 6. The screening disclosed no adverse character traits that might bear on his/her abilities or motivation to discharge his/her duties in a responsible manner. This person has not been denied access at any other nuclear power plant under a fitness for duty program conforming to 10 CRF Part 26 and is subject to a continued observation program in accordance with section 9.0 of the requirements to monitor the applicant's reliability and trustworthiness. This person ~~will~~ will not serve as a supervisor while at PBNP.

FULL NAME: [REDACTED]
DATE OF HIRE: January 7, 1991
DATE OF BIRTH: [REDACTED]
RESIDENCE ADDRESS: [REDACTED] 53085
SOCIAL SECURITY NUMBER: [REDACTED]
EXPECTED START DATE AT PBNP: January 7, 1991
EXPECTED FINISH DATE AT PBNP: June 30, 1991
DATE OF BACKGROUND INVESTIGATION: September 6, 1990
DATE OF DRUG SCREEN SUBMITTED: Conducted by Wisconsin Electric
DATE OF DRUG SCREEN RESULTS: Conducted by Wisconsin Electric
DATE OF PSYCHOLOGICAL EVALUATION ADMINISTERED(MMPI): 9/28/90
DATE OF PSYCHOLOGICAL EVALUATION RESULTS: 10/1/90
DATE OF SUPERVISORY FFD TRAINING: N/A
DATE SUITABLE INQUIRY COMPLETED: September 6, 1990

3-91-0


Robert C. Dalley
Manager - Security

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1 OF 1 PAGE(S)


PBNP AUTHORIZATION FOR UNESCORTED ACCESS
APPLICANT DRUG/ALCOHOL TESTING PROCEDURE
STATEMENT AND AUTHORIZATION

As an applicant for authorization for unescorted access to the protected area of Wisconsin Electric Power Company's (WE) Point Beach Nuclear Plant (PBNP), you are subject to certain screening procedures as a result of regulations issued by the Nuclear Regulatory Commission (NRC). One of these screening procedures requires you to provide a urine sample which will be analyzed for indications of illegal drug usage. Illegal drugs that will be tested for include marijuana, cocaine, opiates, amphetamines, and phenycyclidine. If the urinalysis indicates the presence of one of these controlled substances or its metabolite (where use of such controlled substance is not pursuant to a legal prescription), you will be disqualified for unescorted access authorization.

Another screening procedure requires you to provide a breath sample which will be analyzed for the presence of alcohol. If the breath test indicates a blood alcohol concentration of 0.04% or greater, you will be disqualified for unescorted access authorization.

If you refuse to provide urine and breath samples, you shall be considered to have withdrawn your application for unescorted access authorization and you shall not be eligible to reapply for unescorted access authorization for one year.

I have read the statement above and give permission to the physician, nurse, or technician to obtain urine, breath, and/or blood samples from me, to submit such samples to a medical laboratory for analysis, and to communicate the results of such analysis to appropriate WE employees, my employer (if other than WE), and other individuals as may be appropriate.



Applicant's Signature

10/3/90

Date




Applicant's Name (Printed)



Applicant's Address

3-91-0-7



Applicant's Phone Number

EXHIBIT 33

PAGE 1 OF 2 PAGE(S)

Section 26.27(a) Inquiry


Were you ever denied authorization for unescorted access to the protected area of a nuclear power plant or the assignment to activities within the scope of 10 C.F.R. Part 26?

X Yes

No

Date

10/3/90


Applicant's Signature

EXHIBIT

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OF

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PAGE(S)



NUCLEAR SUPPORT SERVICES, INC.

POST OFFICE BOX 1001 WISCONSIN ELECTRIC POWER COMPANY MILWAUKEE, WI 53201

Revision #6
January 3, 1990

RETURNEE

Point Beach Nuclear Plant Contractor Security Requirements

ATTACHMENT #2

DATE:

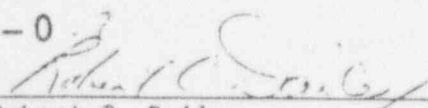
Mr. Clark D. Meyer
Corporate Security Officer
Wisconsin Electric Power Company
231 West Michigan Street
P.O. Box 2046
Milwaukee, WI 53201

Dear Mr. Meyer:

Nuclear Support Services, Inc., hereby applies for unescorted access for our named employee who has been screened in the indicated areas with Section 5.0 of the Point Beach Nuclear Plant Contractor Security Requirements, Revision 6. The screening disclosed no adverse character traits that might bear on his/her abilities or motivation to discharge his/her duties in a responsible manner. This person has not been denied access at any other nuclear power plant under a fitness for duty program conforming to 10 CRF Part 26 and is subject to a continued observation program in accordance with section 9.0 of the requirements to monitor the applicant's reliability and trustworthiness. This person ~~will~~/will not serve as a supervisor while at PBNP.

FULL NAME: [REDACTED]
DATE OF HIRE: January 7, 1991
DATE OF BIRTH: [REDACTED]
RESIDENCE ADDRESS: [REDACTED]
SOCIAL SECURITY NUMBER: [REDACTED]
EXPECTED START DATE AT PBNP: January 7, 1991
EXPECTED FINISH DATE AT PBNP: June 30, 1991
DATE OF BACKGROUND INVESTIGATION: September 6, 1990
DATE OF DRUG SCREEN SUBMITTED: Conducted by Wisconsin Electric
DATE OF DRUG SCREEN RESULTS: Conducted by Wisconsin Electric
DATE OF PSYCHOLOGICAL EVALUATION ADMINISTERED(MMPI): 9/28/90
DATE OF PSYCHOLOGICAL EVALUATION RESULTS: 10/1/90
DATE OF SUPERVISORY FFD TRAINING: N/A
DATE SUITABLE INQUIRY COMPLETED: September 6, 1990

3-91-0


Robert C. Dalley
Manager - Security

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1 OF 1 PAGE(S)

PBNP AUTHORIZATION FOR UNESCORTED ACCESS
APPLICANT DRUG/ALCOHOL TESTING PROCEDURE
STATEMENT AND AUTHORIZATION

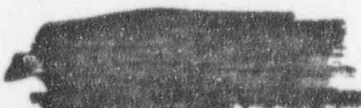
As an applicant for authorization for unescorted access to the protected area of Wisconsin Electric Power Company's (WE) Point Beach Nuclear Plant (PBNP), you are subject to certain screening procedures as a result of regulations issued by the Nuclear Regulatory Commission (NRC). One of these screening procedures requires you to provide a urine sample which will be analyzed for indications of illegal drug usage. Illegal drugs that will be tested for include marijuana, cocaine, opiates, amphetamines, and phenycyclidine. If the urinalysis indicates the presence of one of these controlled substances or its metabolite (where use of such controlled substance is not pursuant to a legal prescription), you will be disqualified for unescorted access authorization.

Another screening procedure requires you to provide a breath sample which will be analyzed for the presence of alcohol. If the breath test indicates a blood alcohol concentration of 0.04% or greater, you will be disqualified for unescorted access authorization.

If you refuse to provide urine and breath samples, you shall be considered to have withdrawn your application for unescorted access authorization and you shall not be eligible to reapply for unescorted access authorization for one year.


* * * * *

I have read the statement above and give permission to the physician, nurse, or technician to obtain urine, breath, and/or blood samples from me, to submit such samples to a medical laboratory for analysis, and to communicate the results of such analysis to appropriate WE employees, my employer (if other than WE), and other individuals as may be appropriate.



Applicant's Signature

1-7-91
Date




Applicant's Name (Printed)



Applicant's Address

3-61-0-7



Applicant's Phone Number

* * * * *

Section 26.27(a) Inquiry

Were you ever denied authorization for unescorted access to the protected area of a nuclear power plant or the assignment to activities within the scope of 10 C.F.R. Part 26?

X Yes

 No

1-7-91
Date

[REDACTED]
Applicant's Signature

EXHIBIT 35
PAGE(S) 2

1 APPEARANCES:

2
3 On behalf of the Nuclear Regulatory Commission

4
5 RICHARD T. ANDERSON
6 799 Roosevelt Road
7 Building Number 4
8 Glen Ellyn, Illinois 60137
9 (708) 790-5686

10
11
12 On behalf of NSSI and Brenda Acker:

13
14 STEPHEN L. GROSE, ESQUIRE
15 Keefer Wood, Allen & Rahal
16 210 Walnut Street
17 P. O. Box 11963
18 Harrisburg, Pennsylvania 17108
19 (717) 255-8000

P R O C E E D I N G S

[5:05 p.m.]

MR. ANDERSON: This is Thursday, November 19, 1992, approximately 5:00 p.m., Eastern Standard Time.

For the record, this is an interview of Ms. Brenda Acker -- spelled A C K E R -- who is employed by Nuclear Support System, Inc., known as NSSI.

MS. ACKER: Nuclear Support Services.

MR. ANDERSON: I am sorry; Nuclear Support Services, Inc. Thank you.

Present at this interview -- sorry. The location of this interview is Campbeltown, Pennsylvania. Present at this interview are Mr. Stephen Grose -- G R O S E -- legal counsel with Keefer Wood, Allen & Rahal, who is representing Ms. Acker and NSSI.

As agreed, this interview is being electronically recorded by court reporter Donna Meck. The subject matter of this interview concerns the background investigation by NSSI.

Ms. Acker, would you please stand and raise your right hand?

Whereupon,

BRENDA ACKER,

having been first duly sworn, was examined and testified as follows:

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EXAMINATION

1
2 BY MR. ANDERSON:

3 Q Ms. Acker, what is your current title?

4 A Corporate Human Resources Manager.

5 Q And what are your responsibilities, current
6 responsibilities?

7 A Currently, I am responsible for all benefits
8 administration, workers' comp administration, employee
9 relations, policies and procedures, employee handbooks,
10 employee supervisors manuals -- that about sums it up in a
11 nutshell.

12 Q When did you start with NSSI?

13 A 11-1-81.

14 Q And what was your title, or your responsibilities
15 way back then?

16 A I have held various responsibilities. Accounting
17 supervisor, payroll administrator, employees relations
18 manager, security manager, human relations manager.

19 Q Would it be safe to say that all of your positions
20 have been managerial type positions?

21 A No. I have progressed my way up within the
22 company.

23 Q I see. Approximately, January or through the year
24 of 1989, what was your title at that time?

25 A I really can't recall without pulling my file.

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1 Q Were you a security director or in charge of
2 security at any time?

3 A In 1989 or any time?

4 Q When would you have been in charge of security in
5 background investigations?

6 MR. GROSE: As best you can recall, if you can
7 recall.

8 THE WITNESS: Well, there were two separate
9 occasions.

10 BY MR. ANDERSON:

11 Q I see.

12 A One occasion I was directly responsible and then
13 the other one, I oversaw another manager.

14 Q When would have been the first; when were you
15 directly involved?

16 A I hate to give dates because I could be wrong.

17 Q Just approximately.

18 A It could have been 1989, it could have been 1988
19 the first time. I am really not sure.

20 Q When would have been the second time,
21 approximately?

22 A It could have been 1990 that I oversaw them.

23 Q When you were overseeing them, would you have been
24 in the human resources at that time period of time with dual
25 responsibility for overseeing security?

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1 A Yes, when I oversaw the security department I also
2 oversaw the administrative support.

3 Q I see. Was Mr. Dailey the security individual at
4 that point in time when you were overseeing the security
5 department?

6 A Yes.

7 Q Okay. During that period of time, when you were
8 initially in charge of security --

9 A The first time?

10 Q Right, the 1988-89 approximate period, what would
11 have been your responsibilities then?

12 A My responsibilities would have been reviewing
13 client security procedures, reviewing our internal
14 procedures, correspondence to our clients, reviewing
15 security background files, maintaining Q/A files and
16 overseeing the day-to-day staff within the security
17 department.

18 Q Very good. During this period of time did you
19 have any formal training as far as your security position
20 was concerned, i.e., more specific, did you receive any type
21 of formal training on how to conduct a background
22 investigation?

23 A Just from the previously manager, who had left,
24 and then I had gone to seminars that Duke Power were
25 conducting, but they were more or less on continuance

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1 behavior observation, not necessarily the ins and outs of
2 doing security background investigation.

3 Q Did you have previous experience of doing
4 background investigations?

5 A No.

6 Q One of the responsibilities that you said that you
7 oversaw was the Q/A -- I take it, that was quality assurance
8 program?

9 A What we had at that time, yes.

10 Q What was that program?

11 A When I say oversaw the Q/A program, the way that
12 worked, we had an outside person who was actually the
13 quality assurance manager. One of my responsibilities was
14 when we received the request to do the background
15 investigation, at that time we also received the resume and
16 the supporting documentation to support the resume, whether
17 it was certificates of completion of educational courses, or
18 so forth.

19 We would verify that side by side with the
20 security background and then there was a cover sheet and
21 that would be forwarded to the Q/A manager who would approve
22 the person in accordance with either ANSI standards or our
23 own internal total quality procedures.

24 Q During this period of time, would that Q/A
25 position or person, would they ever do any audits?

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1 A Yes.

2 Q Follow-up on -- a phone call to a client?

3 A Well, when he did audits he did audits of the
4 security files to make sure that the background was
5 complete, the NMPI was there, credit check, criminal check
6 and so forth.

7 Q Was there anyone at any time that you are aware of
8 who would just call to verify employment to see if there was
9 any discrepancy that may have arisen, just on an audit
10 basis, a random basis?

11 A No, that was for security investigators -- their
12 responsibility when they did the background investigation,
13 to contact references and employers.

14 Q Did you have rush periods of time when you would
15 have a very voluminous amount of applications that you had
16 to get through in a short period of time?

17 A What do you mean, short period of time?

18 Q Well, suddenly you were going into an outage and
19 you suddenly had to have a number of individuals that you
20 had backgrounds, and then there would be a period of lull
21 when you wouldn't have very many?

22 A It is the cyclical nature of our business.

23 Q Okay. Approximately, how many -- just a rough
24 estimate of how many backgrounds would you get?

25 A It depended on the outage season. You know, it

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1 could vary 200 to 400 in any given three or four month
2 period.

3 Q Did you have full-time investigators during this
4 period of time?

5 A Yes.

6 Q Did you also have part-time investigators during
7 this period of time?

8 A Yes.

9 Q Would those part-time investigators then come in
10 to help to pick up the slack, or when you would have this
11 volume come in, they would assist so that you could get this
12 humongous amount out and done?

13 A Yes.

14 Q Did you ever feel that you were given pressure by
15 your upper management to maybe cut corners, to get these
16 investigations done quicker?

17 A No.

18 Q Did you conduct training programs for any of your
19 investigators that were working for you?

20 A When I would hire a new investigator, I would sit
21 down with them, go through the clients' screening criteria,
22 plus maintain like a booklet. I would be responsible for
23 pulling out the primary highlights of the background
24 investigation and maintain a separate book that they could
25 refer to because a person going from Site A, to Site B, to

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1 Site C, could have separate requirements.

2 They would refer to the listing and I would sit
3 down with them and go through the phases of how to conduct a
4 background investigation, with gaps, and so forth.

5 Q I see. Would you do this for part time
6 individuals, also?

7 A Yes.

8 Q Were you responsible for the hiring of Ms.
9 Heffner, if you can recall?

10 A No, I was not.

11 Q Do you recall who your full-time investigators
12 were during the period of time that you were directly
13 involved? Was Ms. Gill an individual?

14 A Not in the first time period; the second time
15 period. She was in a previous position.

16 Q When you were a higher level supervisor then,
17 overseeing the program?

18 A She was in that timeframe. There were various
19 people. Throughout my time period here, who I know were
20 investigators, or just during my period?

21 Q During your period.

22 MR. GROSE: We are talking about the 1988-89 time
23 period?

24 MR. ANDERSON: Yes.

25 THE WITNESS: The first time. Gerry Snyder --

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1 Geraldine, actually -- Geraldine Snyder, Beverly Rhodes,
2 Pamela Boger.

3 BY MR. ANDERSON:

4 Q Ms. Acker, these would be full-time and part-time
5 people?

6 A Yes, Beverly was part time.

7 Q I am not trying to tax your memory -- that is just
8 fine. But you did conduct at least a basic training program
9 for them so that they would know the proper questions to
10 ask?

11 A Sure.

12 Q Do you know if this type of training continued on
13 after you left and Mr. Dailey came in and you were
14 overseeing the program? Did you assure that this kind of
15 training continued on during this period of time?

16 MR. GROSE: The question is did she do it, or did
17 she know that it was being done?

18 BY MR. ANDERSON:

19 Q Well, both; either one.

20 A I would be assuming for Bob.

21 Q Okay, then I will ask you directly: Did you do
22 any training at that period of time when you left direct
23 responsibility and then became an overseer of the program?

24 A No, I did not directly.

25 Q Do you know if there was any training conducted?

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1 A I have to think of the players. I would be
2 assuming. I couldn't answer that.

3 Q I would like to show you a file of ██████████
4 ██████████ and these are different -- Well, actually, let me
5 put this out here [indicating].

6 ██████████ had worked for NSSI back in March of
7 1989, and was at Northern State Power.

8 A Okay.

9 Q And I know you are taking this on good faith, but
10 I have the information here if you want to verify it because
11 this is all pulled from information that has been supplied
12 to me by NSSI.

13 A Okay.

14 Q We show him being here in Arkansas during this
15 period of time. I want to open this file up.

16 Your personnel knowledge of the fitness-for-duty
17 program that came into play, that came in I believe January
18 of 1990, when it was formalized?

19 A Yes.

20 Q To the best of your knowledge, can you explain
21 what your knowledge is of fitness for duty?

22 MR. GROSE: At that time?

23 MR. ANDERSON: No. January of 1990.

24 MR. GROSE: Okay.

25 THE WITNESS: My knowledge would be that it

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1 involves doing a suitable inquire for drug and alcohol.

2 BY MR. ANDERSON:

3 Q Suitable inquiry is best effort to determine?

4 A Best effort to obtain the information.

5 Q Very good. Prior to January of 1990, was NSSI
6 conducting any questions to find out if anyone had an
7 alcohol problem and/or a drug problem?

8 A I believe there was a question on the form. I
9 would have to look at the form. Can I look through here?

10 Q Yes, absolutely.

11 A I would have to look at the form.

12 Q Let's go this way [indicating]. This is 1990 on,
13 and this goes back. This is his original application
14 [indicating], I believe.

15 It is not a trick question. I am not trying to
16 trick you. I want to find out if --

17 A Yes, here is 11. This is a supervisor form. "To
18 your knowledge, does she or he have any financial, domestic,
19 alcohol, drug or gambling . . ." And then on the reference
20 check, "To you knowledge, did he or she have any financial,
21 domestic, alcohol, drug or gambling . . ."

22 Q Okay. Now do you recall if NSSI, during your
23 period of time when you were the initial security director,
24 would you ask the individual directly if he had any problems
25 -- and you can take a look at this application --

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1 A Prior to FFD?

2 Q Yes.

3 A I think on the application there is something
4 about forced or fired -- yes, here is the question
5 [indicating]. This was in effect 1-87.

6 Q And he says --?

7 A No. The authorization date -- you don't have that
8 copy.

9 Q Now I would like to move forward to basically
10 March of 1990.

11 A Okay.

12 Q According to the records that we have -- his last
13 employment was from 9-89 to 12-89 in Arkansas with NSSI.

14 A Okay.

15 Q Then there seems to be a period between December
16 and August of 1990, almost eight full months, maybe nine
17 months, where apparently he was not employed. Okay?
18 However, I would like to show you this: There is an updated
19 form that we have found in the file of ██████████ of March
20 of 1990.

21 A Yes.

22 Q And on that, there is a specific question now that
23 has to do with fitness for duty.

24 A Right.

25 Q That would be because of the new regulation; is

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- 1 that correct?
- 2 A Correct.
- 3 Q That came into play in January of 1990?
- 4 A Correct.
- 5 Q On there he says, "Yes, I have had problems two
6 and a half years ago. Will be faxing letter for proof of
7 rehab."
- 8 A Yes.
- 9 Q Would this have been his handwriting? I know you
10 can't verify it, but would this -- Would you allow the
11 individuals to fill this part out, or would you fill it out,
12 or would someone else fill it out in the interview?
- 13 A No, it was a verbal sheet.
- 14 Q So he would fill this out?
- 15 A No, it was a verbal.
- 16 Q Oh, I am sorry. Verbal interview, so someone else
17 would have filled this out?
- 18 A Correct.
- 19 Q Is there any way of determining who would have
20 filled this out?
- 21 A Up here, "taken by".
- 22 Q I see. And that is Kim Smith?
- 23 A Correct.
- 24 Q Now, on this sheet, which is the next sheet, it
25 also has to do with verification. It appears that Kim

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1 Smith, the interviewer on March 14, 1990, says that
2 "Verified through security file, he did not", there was no
3 problem. To the best of your knowledge, my question is --
4 Is the "no" because he did not fail with your company, or
5 "no", he has no problems in the last five years?

6 Now, I am asking you if you can answer this.

7 MR. GROSE: Do you understand the question?

8 THE WITNESS: Yes. Does he mean it is a no
9 towards our company only, or towards his whole career --
10 five-year career? Right?

11 BY MR. ANDERSON:

12 Q Yes, that is correct.

13 A It would be for the full five years.

14 Q But it says "verified through security file".

15 A Right, and what that --

16 Q Right. The question I would have is, if we have
17 information here showing that there was a problem, and this
18 was taken on --

19 A 3-4.

20 Q 3-9.

21 A No, it is 3-4.

22 Q And then 3-14, just a couple of days later. You
23 see, this is why I am having a question: Is the
24 verification, when you say "verified through security file",
25 is that because we looked through -- the individual looked

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1 through and saw nothing in his file of previous employment,
2 i.e., Northern States and Arkansas?

3 A I think it is previous employment.

4 Q So that "no" -- and I realize that we are
5 speculating here because Kim is the one who did it and she
6 is no longer employed here; is that correct?

7 A Well, yes. She would go through the full
8 five-year history that we had on file. And then based upon
9 that, it would be a no. Then she did receive this
10 [indicating] verbal update from him.

11 Q Okay, very good. I have a question. We have what
12 appears to be a background, an upgrading background that
13 takes place by Ms. Gill on 3-20, 3-20, 3-20.

14 A Yes.

15 Q But there doesn't seem to be any employment that
16 took place during this period of time, and yet you signed
17 off as a security manager on 8-28-90, five months later.

18 A I think if you look in his file, you will find
19 that he backed out of that position on 3-90, so it stopped
20 the background.

21 Q I see. That is what we couldn't find in the file.

22 A When I had looked at the file, there was a cover
23 sheet and on the cover sheet it gives the criteria screening
24 on how to do a background for a three-year, five-year, et
25 cetera. There is one in the file that has a big "BO" on it

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1 which is back out.

2 Q I need a copy of that.

3 A So it would have stopped the security
4 investigation at that point.

5 Q I understand. So that is the purpose.

6 Now, as it turns out, he comes back in August of
7 1990.

8 A Correct.

9 Q And, again, fills out another sheet of 8-17-90,
10 and Kim, again, takes this information, the two and a half
11 years rehab in file --

12 A Yes.

13 Q Here, again, we have "No, verified through
14 security file".

15 A Correct.

16 Q The best that we know, that is because the
17 reference is to NSP and Arkansas.

18 A The past five years.

19 Q The previous five.

20 A Correct.

21 Q Because we have no knowledge of these failures at
22 that point?

23 A Correct. If you look at his ap, he says "no".

24 Q Okay. As we go through here, again, we have a
25 background being conducted and, again, your name is being

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1 signed off as of 8-28.

2 My question is, Ms. Acker, why did you come back
3 and sign this off and then sign these [indicating]? For my
4 own edification, why wasn't this just eliminated and we
5 start fresh with these [indicating]? Why was this also
6 reviewed, if you can remember?

7 A To the best of my knowledge, we would have kept
8 these sheets.

9 Q Correct.

10 A To show that we had started previous background
11 and that it was a back out. Then we just pick up from where
12 we left off back in 1989, going forward. We wouldn't have
13 thrown these away; we would have still kept them in the file
14 and signed off on them.

15 Q If I may summarize, and stop me if I am incorrect;
16 it was sort of just completing an unfinished file is what
17 you were doing?

18 A Right. It stopped at 3-20-90, so there was no
19 sense continuing to review this file at that point when he
20 was a back out. We kept the file and kept the updates and
21 kept the reference sheets and file them away until the next
22 time.

23 Q Could it be safe to say that because of the volume
24 of individuals that you are reviewing that, if you are not
25 going to have someone working for you, why spend the time

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1 reviewing what has already been done?

2 A What do you mean?

3 Q Apparently this was March 20th, and you don't sign
4 off again, so obviously you did not -- not obviously, but it
5 appears that you did not do a review until August.

6 Could it be safe to say that when he backed out
7 --and I need to get a copy of that sheet -- that it is not
8 worth your time to go through and review all of this if he
9 is not going to come and work for you, anyway; so just let
10 it go.

11 A Right.

12 Q But then when he does come back --

13 A It is not cost-effective.

14 Q Right. You pick it up and then review it.

15 A Correct.

16 Q So it is cost effective?

17 A Sure. Why waste your time?

18 Q No, that is fine.

19 A Okay.

20 Q During this period of time, August of 1990, if I
21 understand correctly, Mr. Dailey at this point was the
22 security director. I believe based upon the information
23 that I have been given, that you during this period of time
24 had already left and were now in the human resources
25 position; is that correct? In August of 1990? Can you

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1 remember?

2 A There, again, it is the dates.

3 MR. GROSE: I think if we look at the one -- I
4 thought I saw a statement where she was a security person in
5 August 28, 1990 -- You signed off --

6 THE WITNESS: Well, if Bob was busy, I would help
7 him with the files.

8 BY MR. ANDERSON:

9 Q Exactly. I mean, there could have been -- You
10 were not solely dedicated to just one position?

11 A No.

12 Q You wore many hats during this period of time.
13 And if there was a rush on, you assisted.

14 A Yes.

15 Q What I want to point out is -- I had a sheet that
16 had the exact dates that you were the security -- Right here
17 [indicating].

18 From the information I was given previously --

19 A I was down here and Bob was --

20 Q That is correct. Basically in 1990, he became
21 security director. That is the question I had for you. I
22 look at I see your signature here [indicating], your
23 signature all the way through, but then when it comes to the
24 actual good-guy letter that is sent to Northern States
25 Power, it is under the signature of Mr. Dailey.

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1 A Okay. So he would have been there.

2 Q Okay. My question is, though, during this period
3 of time, you are reviewing and putting this information
4 together, would you have revealed to Mr. Dailey that there
5 was in fact a previous problem that needed to be revealed?

6 A I don't recall. I can only say what our practices
7 were.

8 Q What was your practice?

9 A If during the course of the background
10 investigation, the security investigators would obtain
11 derogatory information, when they were complete with their
12 file, what they would do is paperclip on the individual
13 derogatory sheets. Once the manager would review them, then
14 those clips would stay until the person requesting access
15 would review the file, as well.

16 Q But, even so, you would reveal to Northern States
17 Power, or what other licensee, that there was in fact
18 derogatory information; is that correct?

19 A No, you asked me about Mr. Dailey.

20 Q Okay, no; I am asking -- I guess what I am asking
21 is what would have been your practice when you became aware
22 of derogatory information, or questionable information, did
23 you in fact, when you sent a good-guy letter, did you also
24 send information at that time stating there is derogatory
25 information, for your information?

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1 I will show you what was done subsequent.

2 A I would have to look at 10 CFR and see what was in
3 effect at that time as far as reporting.

4 Q Because in this particular situation, and
5 again --

6 A January 1991.

7 Q Yes. Here, again, I am doing this upside down, but
8 we have a letter in here that Mr. Kloker sent, and I have
9 seen a letter that Ms. Curiale sent, where in fact in the
10 good-guy letter, she says -- here is a good guy, but there
11 is derogatory information. Attached is that derogatory
12 information.

13 My question is, in this particular case, we do
14 have something that is questionable and yet, throughout this
15 [indicating], it appears that no other information comes to
16 light although we do have a self-assessment letter that [REDACTED]
17 [REDACTED] -- If you see it, scream.

18 [Pause.]

19 That is subsequent. There was one prior to that.

20 No, here it is right here [indicating]. March 12,
21 1990, when he first made his initial application and, again,
22 his updated one from which he backed out. However, he did
23 have an assessment at that time. They gave him, basically,
24 a clearance.

25 A Yes.

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1 Q My question though --

2 A Based upon that clearance --?

3 Q No. My question is, in the August, he again
4 reveals -- we don't have a subsequent or additional one, so
5 I take it, we are relying on this one that is already in the
6 file, and I have nothing to believe that this wasn't in the
7 file back in March of 1990.

8 A Here is the fax date [indicating].

9 Q But that was sent after the investigation was
10 started so that had nothing to do with the actual one that
11 was in the file. I have no question that it was already in
12 the file. My question comes, in the review of this
13 particular application, would there have been a transfer of
14 that information to Mr. Dailey so that this information was
15 sent saying, in effect, here is a good guy; we have
16 absolutely no problem with this gentleman, and we send it
17 out, and yet, in this particular case, Northern States Power
18 is saying, we do need this information, and yet when it is
19 sent there is no information in there regarding that.

20 What arrangements were made by NSSI where you are
21 doing the reviewing, and yet he is sending the letter
22 follows through. Because I see nothing in the files to show
23 that Northern States Power was ever notified that there was
24 in fact a problem.

25 THE WITNESS: Can I go off the record on this?

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1 MR. ANDERSON: Absolutely. We will go off the
2 record at this point.

3 [Discussion off the record.]

4 MR. ANDERSON: Back on the record.

5 BY MR. ANDERSON:

6 Q Ms. Acker, during your period of time when you
7 were the security director, what was your procedure and how
8 would you notify a licensee if you became aware of
9 derogatory information during the background that was being
10 conducted?

11 A Prior to fitness for duty?

12 Q That is correct.

13 A We had an internal procedure and within that
14 internal procedure we had a security review board which
15 consisted of internal members here, of senior management
16 representatives. The security manager would prepare a
17 memorandum to the review board committee as to why he or she
18 did not want to recommend access for that individual.

19 The committee would meet, review the facts, based
20 upon the facts, based upon the scope's of the client's
21 security screening criteria, as well as our own, they would
22 make a determination whether or not we should request that
23 access be granted, or not.

24 Q But would you notify the licensee of that
25 information?

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1 A Depending upon the circumstances contained within
2 the file. I would not get into names. There may be times
3 that I would have called the security manager at the
4 customer's facility and give him a scenario.

5 Q Okay, in January of 1990, fitness for duty
6 principal or rule came into effect and that change a lot of
7 the procedures.

8 A Sure.

9 Q During this period of time, meaning 1990-1991,
10 through there, when you were in a supervisory position
11 overviewing security, but during this period of time when
12 you may have been assisting, what type of procedures did you
13 do if derogatory information came up? What would your
14 investigators do if derogatory information came up?

15 A Depending, there again, upon the nature of the
16 information. If you are talking attendance, you know --

17 Q Let's talk about drugs.

18 A If we talk about fitness for duty, they would
19 paperclip the investigative sheets, complete their
20 background and/or take it to the immediate attention of the
21 security manager. The paperclips would stay on the file
22 until the security manager requesting access reviewed the
23 whole file.

24 Q Okay, we are clear. If you can remember, and only
25 if you can remember, do you know or can remember this

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1 particular file at all, and whether any derogatory
2 information was relayed to Northern States Power; if you can
3 remember?

4 A Back then, I wouldn't remember.

5 Q Do you recall, if you can, discussing any
6 derogatory information especially where he shows a problem
7 two and a half years, and then also had the rehab letter in
8 the file -- do you recall discussing that Mr. Dailey?

9 A I may have. I don't recall.

10 MR. ANDERSON: That is fine. I have no further
11 questions.

12 Mr. Grose, do you have any questions that you
13 would like to ask, or would like to review in the file here?

14 MR. GROSE: Could we have just a moment? I may
15 not have any further questions.

16 MR. ANDERSON: We will go off the record at this
17 time temporarily.

18 [Brief recess.]

19 MR. ANDERSON: Back on the record. Mr. Grose,
20 again, do you have any questions that you would like to ask?

21 MR. GROSE: I have no questions of Ms. Acker.

22 MR. ANDERSON: Ms. Acker, do you have any
23 questions or anything that you would like to say?

24 THE WITNESS: No, I don't. Oh, yes, I do. Sorry.
25 I will provide you with a copy of the update cover

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1 sheet that says "back out", and then a copy of -- there were
2 some yellow notes contained in ██████████'s file that you
3 should have.

4 MR. ANDERSON: Yes. Basically, anything in
5 addition -- I requested the entire file and this is what I
6 received.

7 THE WITNESS: Can I look through to see if perhaps
8 it is in there?

9 MR. ANDERSON: Absolutely.

10 MR. GROSE: On the record I would like to make
11 this comment: In preparation for her deposition today, she
12 did take a look at the file and in the ██████████ file there
13 were some yellow stickers that had notations for Mr. Dailey.

14 Now, we didn't want to get into that at this
15 particular point because I thought that was more
16 appropriately addressed when Mr. Dailey will testify.

17 MR. ANDERSON: Absolutely.

18 MR. GROSE: She just wanted to make a notation of
19 the fact that those yellow stick-ems that she saw did
20 document that he had faxed copies of derogatory notations to
21 various of the facilities.

22 THE WITNESS: Here, you go [indicating].

23 MR. ANDERSON: Oh, it is in there. Where do I
24 have it placed?

25 THE WITNESS: You have it under "Initial Out

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1 3-89".

2 MR. ANDERSON: Thank you, very much. I had it
3 misfiled, myself. Maybe you could look real quickly to see
4 if there is anything in there regarding those -- Because,
5 like I said, when I came here I went through the entire file
6 and then I said -- if you could make me a copy of everything
7 and just send it to me.

8 So that is just misfiled?

9 THE WITNESS: Yes. Do you want me to pull it out?

10 MR. ANDERSON: Yes, I appreciate that.

11 MR. GROSE: You can correct me if I am wrong; the
12 yellow stick-ems I think were stuck directly to the front
13 folder so they may not have been picked up by somebody
14 copying it. They may not have included that as a part of
15 the file, but it was a notation that was there.

16 [Pause.]

17 MR. ANDERSON: When I received this, it was not
18 necessarily in order.

19 That is fine. Now that I have this copy
20 [indicating], if we could just take a look at the file and
21 maybe make a copy of that [indicating], that would be very
22 sufficient.

23 THE WITNESS: Okay.

24 MR. ANDERSON: Again, I would ask you if you have
25 any other things that you would like to add for the record?

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1 THE WITNESS: No.

2 MR. ANDERSON: Okay. Ms. Acker, have I, as an NRC
3 representative, threatened you in any manner or offered you
4 any reward in return for this statement?

5 THE WITNESS: No.

6 MR. ANDERSON: Have you given this statement
7 freely and voluntarily?

8 THE WITNESS: Yes.

9 MR. ANDERSON: We will conclude this interview at
10 approximately 5:45 p.m.

11 [Whereupon, at 5:45 p.m., the interview was
12 concluded.]

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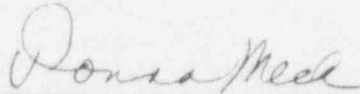
In the Matter of:

NAME OF PROCEEDING: Brenda Acker

DOCKET NUMBER:

PLACE OF PROCEEDING: Campbelltown, PA

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Corporate Security

Northern States Power Company
Corporate Screening Services
Corporate Security Department
414 Nicollet Mall
Minneapolis, MN 55401

ATTN: Candice Bowman,

Dear Ms. Bowman,

Effective November 23, 1989, I will no longer be acting as Security Officer for Nuclear Support Services, Inc. Robert C. Dailey will be accepting the responsibilities of Security Officer.

The following employees of Nuclear Support Services, Inc. are authorized to request and cancel unescorted access:

Brenda E. Acker
Brenda E. Acker
Human Resources Manager

Robert C. Dailey
Robert C. Dailey
Security Officer

Lucille C. Baird
Lucille C. Baird
Operations Office
Manager

Thank you for your cooperation. If you have any questions, please contact Mr. Robert Dailey, at our Corporate Office at (717) 838-8125.

Sincerely,

Brenda E. Acker
Brenda E. Acker
Human Resources Manager

BEA

~~3-91-017~~

EXHIBIT 37

PAGE 1 OF 1 PAGE(S)