

**From:** Shelton, J. D. <jdshelton@tvaoig.gov>  
**Sent:** Thursday, October 17, 2019 12:45 PM  
**To:** Luina, Scott  
**Cc:** Echavarria, Alex  
**Subject:** [External\_Sender] RE: NRC Office of Investigations (OI) 2-2019-015  
**Attachments:** SPP-11 8 5 Cooperation With the OIG.pdf

Scott,

- 1) Please see the attachment. This answers question 1. There is no law or rule that requires them to contact us but there is a TVA policy.
- 2) We have conducted a review of our records. TVA DID NOT notify us of this issue.

JD Shelton  
Assistant Special Agent in Charge  
Office of the Inspector General-TVA  
Chattanooga Office  
423-883-9542

---

**From:** Luina, Scott  
**Sent:** Tuesday, October 15, 2019 2:26 PM  
**To:** Shelton, J. D.  
**Cc:** Echavarria, Alex  
**Subject:** NRC Office of Investigations (OI) 2-2019-015

JD –

As part of an official OI investigation (2-2019-015), I am requesting the following information:

In the attached TVA OGC report and Addendum it was determined by the TVA OGC that two former TVA employees violated TVA polices and federal law/statutes.

1. Is there a TVA policy or requirement for TVA employees to report known or suspected violations of federal law/statutes to the TVA OIG? If so, please provide a copy of this policy and how it is provided to TVA employees.
2. Was this matter described in the attached reports related to the two former TVA employees ever referred to the TVA OIG for investigative consideration?

Please let me know if you have any questions or concerns.

Thanks!  
Scott K. Luiña, Senior Special Agent  
Office of Investigations, Region II  
U. S. Nuclear Regulatory Commission

245 Peachtree Center Avenue, NE Suite 1200  
Atlanta, Georgia 30303-1257

Desk: 404- 997-4874

Cell: 404-357-2442

Office: 404-997-4878

Fax: 404-997-4908

**Hearing Identifier:** JShea\_IA\_NonPublic  
**Email Number:** 1043

**Mail Envelope Properties** (7dd819e199354d73a95f0907c43a94d6)

**Subject:** [External\_Sender] RE: NRC Office of Investigations (OI) 2-2019-015  
**Sent Date:** 10/17/2019 12:45:02 PM  
**Received Date:** 10/17/2019 12:45:27 PM  
**From:** Shelton, J. D.

**Created By:** jdshelton@tvaog.gov

**Recipients:**

"Echavarria, Alex" <Alejandro.Echavarria@nrc.gov>  
Tracking Status: None  
"Luina, Scott" <Scott.Luina@nrc.gov>  
Tracking Status: None

**Post Office:** tvaog.gov

| <b>Files</b>                            | <b>Size</b> | <b>Date &amp; Time</b> |
|---|-------------|------------------------|
| MESSAGE                                 | 1538        | 10/17/2019 12:45:27 PM |
| SPP-11 8 5 Cooperation With the OIG.pdf |             | 82340                  |

**Options**

**Priority:** Normal  
**Return Notification:** No  
**Reply Requested:** No  
**Sensitivity:** Normal  
**Expiration Date:**



**TVA Standard  
Programs and  
Processes**

**TITLE**  
**Cooperation with the Office of the  
Inspector General**

**TVA-SPP-11.8.5**  
**Rev. 0003**  
**Page 1 of 8**

Validation Date 07-21-2015  
Review Frequency 3 years  
Validated By Julie Griffin-Chamberlain

Effective Date 08-07-2015

Responsible Executive Organization: Human Resources and Communications/Ombudsman

Approved by:

Wilson Taylor III, Director, Equal Opportunity  
Compliance, Ethics & Employee Concerns and  
Ombudsman

08-06-2015

Date

|                                     |  |  |
|-------------------------------------|--|--|
| TVA Standard Programs and Processes | Cooperation with the Office of the Inspector General | TVA-SPP-11.8.5<br>Rev. 0003<br>Page 2 of 8 |
|-------------------------------------|--|--|

**Revision Log**

| Revision or Change Number | Effective Date | Affected Page Numbers | Description of Revision/Change   |
|---------------------------|----------------|-----------------------|--|
| 0000                      | 07-15-2010     | All                   | Initial Issue - Conversion from Business Practice 2 - Policy wiki - Cooperation with the Office of the Inspector General in its ENTIRETY. Reviewed July 15, 2010, and will be reviewed again by July 15, 2011. |
| 0001                      | 03-17-2011     | All                   | Revised to reflect TVA-SPP-01.001 Revision 003. Reviewed March 17, 2011, and will be reviewed again March 17, 2012.  |
| 0002                      | 10-07-2011     | 6                     | Revised to reflect the new telephone number for the OIG Empowerline.   |

**Revision Log**

| Revision or Change Number | Effective Date | Affected Page Numbers | Description of Revision/Change   |
|---------------------------|----------------|-----------------------|--|
| 0003                      |                | 4                     | Revised to reflect organizational name changes.<br><br>1.0, Purpose - Second paragraph, second sentence - replaced the word "inspection" with "evaluation" and the last sentence changed the word "systems" to "system"  |
|                           |                | 4                     | 3.0, Process - Second sentence - replaced the word "inspection" with "evaluation"  |
|                           |                | 4                     | 3.1.1 - Changed the organization name from "Diversity and Labor Relations" to "Human Resources and Communications." In Section B, changed "employer's" to "employee's." In Section C, changed "employer" to "employee."  |
|                           |                | 5                     | 3.1.2 - Office of the Inspector General, Section B, replaced the word "inspection" with "evaluations" and Section F, changed the word "report" to "reports"  |
|                           |                | 5                     | 3.1.5 - TVA Employees, Section A, replaced "their supervisor or the OIG" with "the OIG or to their supervisor." Section B, replaced "As a condition of employment of TVA" with "With few exceptions, TVA employees are required to cooperate". Last sentence changed the words "may not" with "is not entitled to" |

**Table of Contents**

|                      |  |          |
|----------------------|--|----------|
| <b>1.0</b>           | <b>PURPOSE .....</b>   | <b>5</b> |
| <b>2.0</b>           | <b>SCOPE .....</b>   | <b>5</b> |
| <b>3.0</b>           | <b>PROCESS .....</b>   | <b>5</b> |
| 3.1                  | Roles and Responsibilities .....                               | 5        |
| 3.1.1                | Senior Vice President, Human Resources and Communications..... | 5        |
| 3.1.2                | Office of the Inspector General.....                           | 6        |
| 3.1.3                | All TVA Organizations .....                                    | 6        |
| 3.1.4                | TVA Managers.....  | 6        |
| 3.1.5                | TVA Employees.....   | 6        |
| 3.2                  | Program Elements .....   | 7        |
| <b>4.0</b>           | <b>RECORDS.....</b>  | <b>7</b> |
| 4.1                  | QA Records .....   | 7        |
| 4.2                  | Non-QA Records.....  | 7        |
| <b>5.0</b>           | <b>DEFINITIONS .....</b>                                       | <b>7</b> |
| <b>Source Notes:</b> | <b>Source Notes .....</b>                                      | <b>8</b> |

|  |   |   |
|--|---|---|
| <b>TVA Standard Programs and Processes</b> | <b>Cooperation with the Office of the Inspector General</b> | <b>TVA-SPP-11.8.5<br/>Rev. 0003<br/>Page 5 of 8</b> |
|--|---|---|

### 3.1.1 Senior Vice President, Human Resources and Communications (continued)

#### 1.0 PURPOSE

The Office of the Inspector General (OIG), an independent and objective office, supported by employees and other stakeholders, helps assure that TVA programs are effective, efficient and free from waste, fraud and abuse. Through its independent role, the OIG assists TVA in achieving its goals and in keeping Congress and the public fully informed of TVA's progress. As a federal agency, TVA must maintain an Office of the Inspector General to fulfill this role, as mandated by the Inspector General Act of 1978, as amended. [C.1]

The TVA Office of the Inspector General (OIG) performs a crucial mission by providing independent and objective reporting to the TVA Board, the Congress, and other stakeholders. The OIG does this through its audit, evaluation, and investigative activities. By statute it is charged with promoting economy and efficiency throughout TVA while preventing and detecting fraud, waste, and abuse affecting TVA. TVA employees, contractors, and the public can help the TVA OIG fulfill its mission and make a difference at TVA by reporting any suspicions about fraud, waste, and abuse to the OIG hotline system Empowerline.

As a condition of employment with TVA, employees are required to cooperate with any OIG audit, investigation, special project, or other activity performed by the OIG if requested to do so.

#### 2.0 SCOPE

All TVA employees are required to cooperate with any audits, investigations, special projects or other activities the OIG undertakes to fulfill its responsibilities.

The OIG is an independent office responsible for preventing, detecting and eliminating waste, fraud and abuse at TVA. The OIG is not part of any TVA organization, in keeping with its role as an independent office, but reports directly to the TVA Board of Directors and to the United States Congress.

#### 3.0 PROCESS

The TVA OIG performs a crucial mission by providing independent and objective reporting to the TVA Board, Congress, and other stakeholders. The OIG does this through its audit, evaluation, and investigative activities. By statute, it is charged with promoting economy and efficiency throughout TVA while preventing and detecting fraud, waste and abuse affecting TVA. TVA employees, contractors and the public can help the TVA OIG fulfill its mission and make a difference at TVA by reporting any suspicions about fraud, waste and abuse to the OIG hotline system, known as Empowerline.

### 3.1 Roles and Responsibilities

#### 3.1.1 Senior Vice President, Human Resources and Communications

- A. Provide programs that educate the workforce and promote a work environment where employees can truly express their views and concerns.



|                                     |  |  |
|-------------------------------------|--|--|
| TVA Standard Programs and Processes | Cooperation with the Office of the Inspector General | TVA-SPP-11.8.5<br>Rev. 0003<br>Page 6 of 8 |
|-------------------------------------|--|--|

- B. Ensure that procedures are in place that document employee's responsibilities for reporting issues/concerns to their supervisors and the OIG.
- C. Ensure that procedures are in place that document employee obligations for cooperating with audits, investigations, special projects, or any activity performed by the OIG if requested to do so.

### 3.1.2 Office of the Inspector General

- A. Promote economy and efficiency while preventing and detecting fraud, waste and abuse.
- B. Conduct and supervise audits, evaluations, and investigations relating to TVA programs and operations.
- C. Keep the TVA Board and Congress fully and currently informed concerning fraud and other serious problems, abuses and deficiencies relating to TVA programs and operations.
- D. Recommend corrective actions concerning problems, abuses and deficiencies, and report on the progress made in implementing such actions.
- E. Assure work performed by nonfederal auditors complies with Government Auditing Standards.
- F. Issue semi-annual reports to the TVA Board and Congress.

### 3.1.3 All TVA Organizations

- A. Provide any information, documents, support or other assistance requested by the OIG.
- B. Cooperate fully with OIG staff.

### 3.1.4 TVA Managers

Ensure that known or suspected violations of law, or waste, fraud, abuse or other matters within the OIG's jurisdiction are immediately reported to the OIG and other appropriate TVA officials.

### 3.1.5 TVA Employees

- A. Employees are responsible for reporting immediately - either to the OIG or to their supervisor - any instances of known or suspected waste, fraud and abuse or violation of the law.
- B. With few exceptions, TVA employees are required to cooperate with any OIG audit, investigation, special project or other activity performed by the OIG if requested to do so. An employee is not entitled to have a representative or witness present during an OIG investigation interview.

|  |   |   |
|--|---|---|
| <b>TVA Standard Programs and Processes</b> | <b>Cooperation with the Office of the Inspector General</b> | <b>TVA-SPP-11.8.5<br/>Rev. 0003<br/>Page 7 of 8</b> |
|--|---|---|

### **3.2 Program Elements**

Empowerline is a confidential connection for reporting fraud, waste or abuse affecting TVA. Employees may report a concern by calling toll free (855) 882-8585 or report a concern via the web at [www.OIGempowerline.com](http://www.OIGempowerline.com).

### **4.0 RECORDS**

#### **4.1 QA Records**

None

#### **4.2 Non-QA Records**

None

### **5.0 DEFINITIONS**

**Fraud** - An act of deceiving or misrepresenting.

**Government Audit Standards** - Standards for audits of government organization, programs, activities, and functions, and of government assistance received by contractors, nonprofit organizations, and other nongovernment organizations. The standards pertain to auditors' professional qualifications, the quality of audit effort, and the characteristics of professional and meaningful audit reports.

|  |   |   |
|--|---|---|
| <b>TVA Standard Programs and Processes</b> | <b>Cooperation with the Office of the Inspector General</b> | <b>TVA-SPP-11.8.5<br/>Rev. 0003<br/>Page 8 of 8</b> |
|--|---|---|

**Source Notes  
(Page 1 of 1)**

| <b>Requirements Statement</b>  | <b>Source Document</b>               | <b>Implementing Statement</b> |
|--|--------------------------------------|-------------------------------|
| <p>Created by the TVA Board of Directors in 1985, the TVA OIG became statutory under the Inspector General Act Amendments of 1988 (IG Act). The authority to appoint the TVA Inspector General (IG) was transferred to the President in November 2000 by Public Law No. 106-422.</p> | <p>Inspector General Act of 1978</p> | <p>C.1</p>                    |