

TABLE OF CONTENTS

ATTACHMENTS TO EXELON'S ANSWER OPPOSING THE PETITION TO INTERVENE AND HEARING REQUEST FILED BY LOCAL UNION NO. 15, INTERNATIONAL BROTHERHOOD OF ELECTRICAL WORKERS, AFL-CIO

Attachment 1, ComEd, "Continual Behavior Observation Program," Policy No. SY-AA-103-512, Rev. 1 § 3.1 (2000)

Attachment 2, Exelon Nuclear, "Behavior Observation Program," Policy No. SY-AA-103-512, Rev. 4 § 3.1.1 (2003)

Attachment 3, Exelon Nuclear, "Behavior Observation Program," Policy No. SY-AA-103-513, Rev. 7 § 3.2.2.6 (2009)

Attachment 4, Exelon Nuclear, "Behavior Observation Program," Policy No. SY-AA-103-513, Rev. 8 § 2.6.3.C (2010)

ATTACHMENT 1

CONTINUAL BEHAVIORAL OBSERVATION PROGRAM

1. PURPOSE

- 1.1. This procedure provides information and guidance for all individuals who are required to participate in a Continual Behavioral Observation Program (CBOP).
- 1.2. This procedure is applicable to all individuals granted unescorted access to ComEd Nuclear Power Stations, to licensee, vendor, or contractor personnel required to physically report to a facility's Technical Support Center (TSC) or Emergency Operations Facility (EOF) in accordance with ComEd Emergency Plans and Procedures and all individuals responsible for Administering Fitness For Duty Testing Program activities.

2. TERMS AND DEFINITIONS

- 2.1. **Continual Behavioral Observation Program:** A program to comply with 10 CFR Part 26 and 10 CFR 73.56, by which personnel are trained to observe the behavior of others in the workplace and to detect and report behavior or changes in behavior which may reflect negatively on an individual's trustworthiness or reliability.

3. RESPONSIBILITIES

- 3.1. **Individuals** are responsible for the continual behavior observation of all individuals.
 - 3.1.1. Immediate notification to appropriate management personnel whenever there is concern that an employee may be impaired and such impairment could effect safe operation of the plant or the administering of the Access Authorization/Fitness for Duty Programs.
 - 3.1.2. Reporting all arrests in accordance with SY-AA-103-513 (except traffic tickets such as speeding or parking).
 - 3.1.3. Immediate notification to appropriate management personnel, including Human Resources (HR) for ComEd employees, when taking a leave of absence from the company or will be away from the CBOP for greater than 30 days.
- 3.2. **Supervisory/Management personnel** are responsible for the continual behavior observation of all individuals.
 - 3.2.1. Immediate notification to appropriate management personnel, to include NGG Security to suspend or place a hold on an individuals' unescorted access, whenever there is concern that an employee may be impaired and such impairment could effect safe operation of the plant or the administering of the Access Authorization and Fitness for Duty Programs.

- 3.2.2. Immediate notification to appropriate management personnel, including Human Resources (HR) for ComEd employees, when taking a leave of absence from the company or will be away from the CBOP for greater than 30 days.
- 3.3. Human Resource personnel are responsible for the immediate notification to appropriate management personnel, to include NGG Security to suspend or place a hold on an individuals' unescorted access, whenever there is concern that an employee may be impaired and such impairment could effect safe operation of the plant or the administering of the Access Authorization and Fitness for Duty Programs.
 - 3.3.1. Ensuring that site and/or Downers Grove Security/Badging is notified when an individual is on a leave of absence from the company or will be away from the CBOP for greater than 30 days and the information is entered into the HR database.
- 3.4. Occupational Health and Safety (OHS) personnel are responsible for the immediate notification to appropriate management personnel, to include NGG Security, the recommendation to suspend or place a hold on an individuals' unescorted access, whenever there is concern that an employee may be impaired and such impairment could effect safe operation of the plant or the administering of the Access Authorization and Fitness for Duty Programs.
 - 3.4.1. Ensuring that individuals who are on a medical and/or disability leave of absence are reported to NGG Security.
- 3.5. The Medical Review Officer (MRO) is responsible for the immediate notification to appropriate management personnel, to include NGG Security, the recommendation to suspend or place a hold on an individuals' unescorted access, whenever there is concern that an employee may be impaired and such impairment could effect safe operation of the plant or the administering of the Access Authorization and Fitness for Duty Programs.

4. **MAIN BODY**

4.1. **CBOP**

- 4.1.1. After an individual's reliability, stability and trustworthiness has been determined, and the individual has been granted unescorted access to ComEd's nuclear power stations or assigned responsibility for administering Fitness for Duty Program activities, his/her behavior must be observed and evaluated on a continuous basis.
- 4.1.2. The CBOP training presented in ComEd's Fitness For Duty Program satisfies both the Access Authorization Rule and the Fitness For Duty Rule.
- 4.1.3. The CBOP is conducted by supervisors, management personnel and all who are badged and is intended to "detect individual behavioral changes which, if left unattended, could lead to acts detrimental to the public health and safety."

- 4.1.4. The CBOP is not intended to be used as a means of reporting what might be considered inadequate or marginal job performance. Established methods available to supervisors should continue to be used in these cases.
- 4.1.5. ComEd employees who are on a leave of absence and/or are not in a CBOP for greater than 30 days, should have their unescorted access suspended and will be required to complete the appropriate Personnel History Questionnaire (PHQ) and/or any other Access Authorization and Fitness for Duty requirements depending on when the individual returns from the absence, prior to reinstatement of unescorted access.
- 4.2. Record Retention
 - 4.2.1. Records which support the granting of unescorted access to an individual must be retained for as long as that individual has such access and for five years after his/her termination.
 - 4.2.2. Records of denial of unescorted access must be retained for five years after the denial.
 - 4.2.3. Records of audits, resolutions of audit findings and corrective actions must be retained for three years.

5. **DOCUMENTATION** - None

6. **REFERENCES**

- 6.1. Nuclear Regulatory Commission 10CFR 73.56, Access Authorization Program for Nuclear Power Plants.
- 6.2. Nuclear Regulatory Commission 10CFR 26, Fitness For Duty Program.
- 6.3. Nuclear Regulatory Commission Regulatory Guide 5.66, Access Authorization Program for Nuclear Power Plants.
- 6.4. NUMARC 89-01 August 1989, Industry Guidelines for Nuclear Power Plant Access Authorization Programs.
- 6.5. SY-AA-102, ComEd's Nuclear Fitness For Duty Program.
- 6.6. SY-AA-103-513, Policy for Reporting an Arrest.
- 6.7. NEI 95-01 Nuclear Power Plant Access Authorization Standards and Procedures.

7. **ATTACHMENTS** - None

ATTACHMENT 2

BEHAVIORAL OBSERVATION PROGRAM

1. PURPOSE

- 1.1. This procedure provides information and guidance for all individuals who are required to participate in a Behavioral Observation Program (BOP). The BOP is the primary means for determining continued trustworthiness and reliability of individuals with Unescorted Access Authorization (UAA). The objective of the BOP is to detect illegal drug use, alcohol/legal drug abuse and other behavior that may constitute an unreasonable risk to the health and safety of the public, including a potential threat to commit radiological sabotage.
- 1.2. This procedure is applicable to all individuals with UAA and all individuals granted unescorted access (UA) to Exelon Nuclear Power Stations, to licensee, vendor, or contractor personnel required to physically report to a facility's Technical Support Center (TSC) or Emergency Operations Facility (EOF) in accordance with Exelon Emergency Plans and Procedures and all individuals responsible for Administering the Access Authorization Program activities and Fitness For Duty Testing Program activities.

2. TERMS AND DEFINITIONS

- 2.1. **Behavioral Observation Program** – An awareness program that meets requirements of both the access authorization and fitness for duty programs. Personnel are trained in techniques, related to recognition of behaviors adverse to the safe operation and security of the facility, in observing the behavior of others in the workplace and to detect and report aberrant behavior or changes in behavior that might reflect negatively on an individual's trustworthiness or reliability. Integral to the program is the management oversight of employee behavior and the individual's reporting of arrests.

3. RESPONSIBILITIES

- 3.1. **Individuals with Unescorted Access (UA)** are responsible for reporting to their supervisor and security any arrests, criminal charges, convictions or proceedings. Individuals are required to report this on their first day back to work subsequent to any arrests criminal charges, convictions or proceedings in accordance with SY-AA-103-513, Reporting of Arrests.
 - 3.1.1. Reporting to their supervisor when an individual is exhibiting unusual or aberrant behavior that may constitute an unreasonable risk to the health and safety of the public, including a potential threat to commit radiological sabotage.
 - 3.1.2. Reporting to the supervisor when an individual has an unusual interest in or predisposition towards security or operations activities outside the scope of ones normal work assignments, or frequent unexplained absences from work assignments.

- 3.1.3. Immediate notification to appropriate management personnel, including Human Resources (HR) for Exelon employees, when taking a leave of absence from the company or will be away from the BOP for greater than 30 - days.
- 3.1.4. Attending and successfully completing annual Fitness For Duty training.
- 3.2. Individuals with Unescorted Access Authorization (UAA) are responsible for reporting to their supervisor and security any arrests, criminal charges, convictions or proceedings. Individuals are required to report this on their first day back to work subsequent to any arrests criminal charges, convictions or proceedings in accordance with SY-AA-103-513, Reporting of Arrests.
 - 3.2.1. Immediate notification to appropriate management personnel, including Human Resources (HR) for Exelon employees, when taking a leave of absence from the company or will be away from the BOP for greater than 30 - days.
 - 3.2.2. Attending and successfully completing annual Fitness For Duty training.
- 3.3. Supervisors are responsible for familiarizing themselves with their employee's behavior patterns in order to enable the supervisor to recognize when an employee is exhibiting unusual or aberrant behavior that may constitute an unreasonable risk to the health and safety of the public, including a potential threat to commit radiological sabotage.
 - 3.3.1. Acting in a timely manner when an Access Authorization concern has been identified. If someone's behavior is questionable, the supervisor shall immediately remove the person from work activities. The person shall be escorted at all times until the concern is satisfactorily resolved or until the person exits the protected area.
 - 3.3.2. Acting in a timely manner when an individual has an unusual interest in or predisposition towards security or operations activities outside the scope of ones normal work assignments, or frequent unexplained absences from work assignments. The supervisor shall immediately remove the person from work activities. The person shall be escorted at all times until the concern is satisfactorily resolved or until the person exits the protected area.
 - 3.3.3. Notifying the cognizant Department Head in cases of observed aberrant behavior or unusual interest in or predisposition towards security or operations activities outside the scope of ones normal work assignments, or frequent unexplained absences from work assignments.
 - 3.3.4. Immediate notification to Security and appropriate management personnel, including Human Resources (HR) for Exelon employees, when taking a leave of absence from the company or will be away from the BOP for greater than 30 - days.
 - 3.3.5. Referring employees to the Employee Assistance Program (EAP) made available by the applicable employer.
 - 3.3.6. Attending and successfully completing annual Fitness For Duty training.

- 3.4. Management personnel are responsible for observing personnel for behavior traits and patterns that may reflect adversely on their trustworthiness or reliability, be aware of behaviors that might be adverse to safe operation, and reporting those observations to cognizant Department Head and Security.
- 3.4.1. Notifying appropriate station management and security to suspend or place a hold on an individuals' unescorted access, when an employee is exhibiting unusual or aberrant behavior that may constitute an unreasonable risk to the health and safety of the public, including a potential threat to commit radiological sabotage.
- 3.4.2. Notifying appropriate station management and security to suspend or place a hold on an individuals' unescorted access, in cases of observed aberrant behavior or unusual interest in or predisposition towards security or operations activities outside the scope of ones normal work assignments, or frequent unexplained absences from work assignments.
- 3.4.3. Immediate notification to Security and appropriate management personnel, including Human Resources (HR) for Exelon employees, when taking a leave of absence from the company or will be away from the BOP for greater than 30 - days.
- 3.4.4. Attending and successfully completing annual Fitness For Duty training.
- 3.5. Human Resource personnel are responsible for the immediate notification to appropriate management personnel, to include ROG Security to suspend or place a hold on an individuals' unescorted access, whenever there is concern that an employee may be impaired and such impairment could effect safe operation of the plant or the administering of the Access Authorization and Fitness for Duty Programs.
- 3.5.1. Ensuring that site and/or Regional Operating Group (ROG) Security badging offices are notified when an individual is on a leave of absence from the company or will be away from the BOP for greater than 30 days.
- 3.6. Occupational Health and Safety (OHS) personnel are responsible for the immediate notification to appropriate management personnel, to include ROG Security, the recommendation to suspend or place a hold on an individuals' unescorted access, whenever there is concern that an employee may be impaired and such impairment could effect safe operation of the plant or the administering of the Access Authorization and Fitness for Duty Programs.
- 3.6.1. Ensuring that individuals who are on a medical and/or disability leave of absence are reported to applicable ROG Security immediately.
- 3.7. The Medical Review Officer (MRO) is responsible for the immediate notification to appropriate management personnel, to include ROG Security, the recommendation to suspend or place a hold on an individuals' unescorted access, whenever there is concern that an employee may be impaired and such impairment could effect safe operation of the plant or the administering of the Access Authorization and Fitness for Duty Programs.

4. MAIN BODY

4.1. BOP

- 4.1.1. After an individual's emotional stability, reliability, **and** trustworthiness has been determined, **and** the individual has UAA or has been granted UA to Exelon's nuclear power stations **or** assigned responsibility for administering Fitness for Duty or Access Authorization Program activities, his/her behavior must be observed **and** evaluated not to exceed a 30 day timeframe.
- 4.1.2. The BOP training presented in Exelon's Fitness For Duty Program satisfies both the Access Authorization Rule **and** the Fitness For Duty Rule. This training provides reasonable assurance that individuals have sufficient awareness and sensitivity to detect degradation in performance which may be the result of being under the influence of any substance, legal or illegal, physical or mental impairment which in any way may adversely affect their ability to safely and competently perform their duties.
- 4.1.3. The BOP is conducted by supervisors, management personnel **and** all who are trained **and** is intended to "detect individual behavioral changes which, if left unattended, could lead to acts detrimental to the public health **and** safety."
- 4.1.4. The BOP is **not** intended to be used as a means of reporting what might be considered inadequate **or** marginal job performance. Established methods available to supervisors should continue to be used in these cases.
- 4.1.5. Licensee employees who are on a leave of absence **and/or** are **not** in a BOP for greater than 30 days, should have their unescorted access suspended **and** will be required to complete the appropriate Personnel History Questionnaire (PHQ) **and/or** any other Access Authorization **and** Fitness for Duty requirements depending on when the individual returns from the absence, prior to reinstatement of unescorted access.
- 4.1.6. When it is identified that an individual may be impaired **and** such impairment could affect the safe operation of the plant **or** negatively reflect the individual's trustworthiness **or** reliability, that individual shall be escorted at all times, while within the protected area.

4.2. Record Retention

- 4.2.1. Records which support the granting of unescorted access for an individual must be retained for five years following access termination from the authorizing licensee's program.
- 4.2.2. Records of denial of unescorted access must be retained for five years after the denial.
- 4.2.3. Records of audits, resolutions of audit findings **and** corrective actions must be retained for three years.

5. **DOCUMENTATION** - None

6. **REFERENCES**

6.1. Commitments - None

6.2. User's References

6.2.1. SY-AA-102, Exelon's Nuclear Fitness For Duty Program.

6.2.2. SY-AA-103-513, Policy for Reporting an Arrest.

6.3. Writer's References

6.3.1. Nuclear Regulatory Commission 10CFR 73.56, Access Authorization Program for Nuclear Power Plants.

6.3.2. Nuclear Regulatory Commission 10CFR 26, Fitness For Duty Program.

6.3.3. NRC Compensatory Measure Order, Access Authorization dated January 7, 2003.

6.3.4. NEI 03-01 Nuclear Power Plant Access Authorization Program.

7. **ATTACHMENTS** - None

ATTACHMENT 3

BEHAVIORAL OBSERVATION PROGRAM

1. PURPOSE

- 1.1. This procedure provides information and guidance for all individuals who are required to participate in a Behavioral Observation Program (BOP). The BOP is the primary means for determining continued trustworthiness and reliability of individuals with Unescorted Access Authorization (UAA). The objective of the BOP is to detect illegal drug use, alcohol/legal drug abuse and other behaviors such as fatigue and physical or mental illness that may constitute an unreasonable risk to the health and safety of the public, including a potential threat to commit radiological sabotage.
- 1.2. This procedure is applicable to all individuals with UAA and all individuals granted unescorted access (UA) to Exelon Nuclear Power Stations and Decommissioned Reactors (with spent fuel in the spent fuel pool) and Independent Spent Fuel Storage Installation facilities, to licensee, vendor, or contractor personnel required to physically report to a facility's Technical Support Center (TSC) or Emergency Operations Facility (EOF) in accordance with Exelon Emergency Plans and Procedures and all individuals responsible for administration of the Access Authorization Program activities and Fitness For Duty Testing Program activities.

2. TERMS AND DEFINITIONS

- 2.1. **Annual**—Requirements specified as “annual” should be scheduled at a nominal 12-month periodicity. Performance may be conducted up to 3 months before to 3 months after the scheduled date. The next scheduled date is 12-months from the originally scheduled date, unless a mid-cycle activity is conducted to establish a new scheduled date.
- 2.2. **Annual Supervisor Review** – A supervisory review conducted on a nominal annual basis for each individual with UAA/UA, maintained for 365 consecutive days, by the individual's immediate supervisor.
- 2.3. **Behavioral Observation Program (BOP)**—An awareness program that meets requirements of both the access authorization and fitness-for-duty programs. Personnel are trained to report legal actions; to possess certain Knowledge and Abilities (K&A's) related to drugs and alcohol and the recognition of behaviors adverse to the safe operation and security of the facility by observing the behavior of others in the workplace and detecting and reporting aberrant behavior or changes in

behavior that might adversely impact an individual's trustworthiness or reliability, and undergo an annual supervisory review.

- 2.4. **Critical Group**—Those individuals qualified for and assigned duties as: armed security officers, armed responders, alarm station operators, and response team leaders as defined in the licensee security plan; and reactor operators, senior reactor operators and non-licensed operators. Non-licensed operators include those individuals responsible for the operation of plant systems and components, as directed by a reactor operator or senior reactor operator. Non-licensed operators also monitor plant instrumentation and equipment and principally perform their duties outside of the control room.
- 2.5. **Immediate Supervisor** – The person responsible for behavior observation reviewing and reporting requirements of individuals who directly report to them that have been granted unescorted access authorization (UAA) or UA and has been trained in techniques related to recognition of behaviors adverse to the safe operation and security of the facility in observing the behavior of others in the workplace and to detect and report aberrant behavior or changes in behavior that might reflect negatively on an individual's trustworthiness and reliability.
- 2.6. **Legal Action** -- A formal action taken by law enforcement authority or court of law, including being held, detained, taken into custody, charged, arrested, indicted, fined, forfeited bond, cited, or convicted for a violation of any law, regulation or ordinance (e.g., felony, misdemeanor, traffic or military criminal history, etc.) or the mandated implementation of a plan for treatment or mitigation in order to avoid a permanent record of an arrest or conviction in response to the following activities:
1. The use, sale or possession of illegal drugs;
 2. The abuse of legal drugs or alcohol; or
 3. The refusal to take a drug or alcohol test.
- A. **Arrest** –Any incident such as an arrest, criminal charges, convictions or proceedings where an individual was held, detained, taken into custody, indicted, fined, forfeited bond or cited for a violation of any law, regulation or ordinance. This includes misdemeanors, felonies, summary offenses, military criminal history to include court martial or non-judicial punishment, guilty pleas, nolle contendere, any suspended sentences, pre-trial diversions, dismissals, nolle prosequere or first offender cases and traffic tickets (excluding, city ordinances and citations where a court appearance was not required, and non-injury traffic, speeding, and parking offenses). **ALL drug and alcohol related arrests must be reported.** (CM – 1)

- 2.7. **Observation** – The process used when coming into contact with others, including personal contact, telephone contact (although this is not the preferred method and should not be used to extend an individual's unescorted access when the individual has not been observed in person for a period of 30 days or more), video-conference, monitoring of work output, attendance, and consultation with or feedback from supervisors and co-workers.

3. **RESPONSIBILITIES**

- 3.1. **Individuals who sign a personal history questionnaire** in order to obtain UAA/UA but have not been granted UAA/UA but are in the process, are responsible for reporting to their supervisor and security any legal actions as defined in this procedure. Individuals are required to report this on their first day back to in-processing activities subsequent to any legal action.
- 3.2. **Individuals with UAA/UA** are responsible for reporting to their supervisor and Site Security/Fitness For Duty Lead any legal actions as defined in this procedure. Individuals are required to report this on their first day back to work and subsequent to any legal action.
- 3.2.1. Shall report any observed behavior indicating degradation in performance, impairment or change in behavior to a supervisor. This may include the taking of medication, signs of fatigue, mental stress, illness, or any other condition.
1. Are responsible for evaluating their own personal fitness-for-duty based on impairment from fatigue by:
- A. Managing their work hours consistent with the objective of preventing impairment from fatigue;
 - B. Verifying their work hours are correctly documented regardless of whether they are paid for the hours worked;
 - C. Making a self-declaration of fatigue when fatigue or reduced mental alertness could negatively affect their job performance and discussing these concerns with supervision;
 - D. Monitoring and reporting concerns related to individuals' Fitness-For-Duty (FFD) based on impairment from fatigue (i.e., Behavior Observation Program); and
 - E. Being aware of the total hours worked in the previous 14 days and notifying management if work hour limits will be exceeded if asked to work additional hours.

- 3.2.2. Shall report to their supervisor when an individual is exhibiting unusual or aberrant behavior that may constitute an unreasonable risk to the health and safety of the public, including a potential threat to commit radiological sabotage.
1. Each employee (contractor or Exelon) must rely upon some signs or indications to look for that may indicate their co-workers, employees, or visitors are exhibiting unusual or aberrant behavior. Possible signs of unusual or aberrant behavior, issues or events include:
 2. Unusual interest in or predisposition towards security or operations activities outside the scope of their normal work assignments.
 3. Uncharacteristic absences from work.
 4. Frequent unexplained absence from work assignments.
 5. Unusual or inadequate response when confronted about being in a plant or office location outside of the worker's usual scope of work.
 6. Unusual views or opinions that might be directly or indirectly threatening to a nuclear facility.
 7. A worker in an area outside of their usual scope of activities, who can't provide an appropriate explanation.
 8. Abnormalities such as vandalism and/or tampering. Examples include but are not limited to:
 - A. Misaligned breakers or valves,
 - B. Cut wires or cables,
 - C. Foreign objects in machinery, reservoirs or tanks,
 - D. Inappropriate holes drilled, punched or cuts in pipes, tubes or hoses, and
 - E. Damage to a component such that its safety or security function is impeded.
- 3.2.3. Shall report a leave of absence, or any situation if you are not in a behavior observation program, to your supervisor, Security and Human Resources prior to leaving. Some examples may include:
1. Medical/Personal/Military leave of absence (immediate upon discovery)

2. Extended vacation (Greater than 30 days)
 3. Working remotely (Greater than 30 days)
 4. Training at other work locations-e.g., Supervisory Development Program (Greater than 30 days)
- 3.2.4. Attending and successfully completing annual Fitness For Duty training.
- 3.3. **Supervisors and Management** are responsible for familiarizing themselves with their employee's behavior patterns in order to enable the supervisor to recognize when an employee is exhibiting unusual or aberrant behavioral traits and patterns that may reflect adversely on their trustworthiness or reliability and constitute an unreasonable risk to the health and safety of the public, including a potential threat to commit radiological sabotage. This may include the taking of medication, signs of fatigue, mental stress, illness, or any other condition.
1. Although everyone is trained to the same level, Managers and Supervisors have additional actions to implement parts of the FFD and Behavioral Observation Program. This includes:
 2. Observing assigned individuals' behavior patterns over time.
 3. Documenting behavioral problems.
 4. Acting proactively to address behavior problems.
 5. Conducting and documenting a supervisory review on a nominal annual basis for each individual with unescorted access authorization/unescorted access, maintained for 365 consecutive days.
- 3.3.2. Acting in a timely manner when an Access Authorization or Fitness for Duty concern has been identified. If someone's behavior is questionable, the supervisor shall immediately remove the person from work activities. The person shall be escorted at all times until the concern is satisfactorily resolved or until the person exits the protected area. This may include testing for cause or a determination of fitness.
- 3.3.3. Acting in a timely manner when an individual has an unusual interest in or predisposition towards security or operations activities outside the scope of ones normal work assignments, or frequent unexplained absences from work assignments. The supervisor shall immediately remove the person from work activities. The person shall be escorted at all times until the concern is satisfactorily resolved or until the person exits the protected area. This may include testing for cause or a determination of fitness.
- 3.3.4. Notifying the cognizant Department Head in cases of observed aberrant behavior or unusual interest in or predisposition towards security or operations activities outside

the scope of ones normal work assignments, or frequent unexplained absences from work assignments.

- 3.3.5. Ensuring that individuals report all legal actions as defined in this procedure to Site Security/Fitness For Duty Lead and the local Human Resources Department for Exelon employees or to the cognizant Exelon manager for contractor employees.
- 3.3.6. You must report a leave of absence, or any situation if you are not in a behavior observation program, to your supervisor, Security and Human Resources prior to leaving. Some examples may include:
 - 1. Medical/Personal/Military leave of absence (immediate upon discovery)
 - 2. Extended vacation (Greater than 30 days)
 - 3. Working remotely (Greater than 30 days)
 - 4. Training at other work locations-e.g., Supervisory Development Program (Greater than 30 days)
- 3.3.7. Referring employees to the Employee Assistance Program (EAP) made available by the applicable employer.
 - 1. If the employee continues to show signs of behavior changes or problems, contact EAP staff to make a supervisor referral. The supervisor should continue to document changes in the employee's current performance.
 - 2. If behavior continues to deteriorate, contact Security and the Medical Review Officer (MRO).
 - 3. Advise your management of the steps you have taken and the documentation collected.
- 3.3.8. If you are upgraded or promoted to a supervisory position you are **obligated** to carry out the supervisory responsibilities as defined in the Exelon Fitness for Duty Program.
- 3.3.9. If you have any concerns or are in doubt about handling a Fitness For Duty concern, call Station Security.
- 3.3.10. Attending and successfully completing annual Fitness For Duty training.
- 3.4. **Fitness for Duty Personnel** in coordination with access authorization personnel are responsible for the adjudication of potentially disqualifying information to determine if an individual is trustworthy and reliable.
 - 3.4.1. Oversees and assures satisfactory quality performance of the laboratory contracted to conduct specimen testing.

- 3.4.2. Maintains confidentiality of the Access Authorization and Fitness For Duty Records.
- 3.4.3. Assists in coordinating Appeals to the Appeal Reviewer.
- 3.5. **Human Resource personnel** are responsible for the immediate notification to appropriate management personnel, to include Exelon Corporate Nuclear Security to suspend or place a hold on an individual's unescorted access, whenever there is concern that an employee may be impaired and such impairment could affect safe operation of the plant or the administration of the Access Authorization and Fitness for Duty Programs. This may include the taking of medication, signs of fatigue, mental stress, illness, or any other condition.
 - 3.5.1. Serving as the confidential communication link between Exelon Nuclear Security and Company employees for Access and Fitness For Duty issues.
 - 3.5.2. Promptly report any Access and Fitness For Duty concerns or program violations to Station Security and Station Management.
 - 3.5.3. Ensuring that employees notify Site Security Access/Fitness For Duty Lead when the employee makes them aware of a legal action.
 - 3.5.4. Ensuring that Site Security Badging offices and/or Exelon Corporate Nuclear Security are notified when an individual is on a leave of absence from the company or will be away from the BOP for greater than 30 days.
 - 3.5.5. Notify Security when an employee has been terminated "For Cause" so Security can make an evaluation concerning the individual's trustworthiness and reliability. This includes situations when an employee is allowed to resign prior to termination.
- 3.6. **Occupational Health and Safety (OHS) Personnel** are responsible for the immediate notification to appropriate management personnel, to include Exelon Corporate Nuclear Security, the recommendation to place a hold on an individual's unescorted access, whenever there is concern that an employee may be impaired and such impairment could effect safe operation of the plant or the administration of the Access Authorization and Fitness for Duty Programs. This may include the taking of medication, signs of fatigue, mental stress, illness, or any other condition.
 - 3.6.1. Ensuring that individuals who are on a medical and/or disability leave of absence are reported to applicable Site Security immediately.

- 3.6.2. **The Medical Review Officer (MRO)** is responsible for the immediate notification to appropriate management personnel, to include Exelon Corporate Nuclear Security, the recommendation to deny or place a hold on an individual's unescorted access, whenever there is concern that an employee may be impaired and such impairment could effect safe operation of the plant or the administration of the Access Authorization and Fitness for Duty Programs. Reviewing reported legal action, medical assessments and supervisory reviews, when appropriate, and make recommendations for any needed requirements and/or to deny or place a hold on an individual's unescorted access, whenever there is concern that an employee may be impaired and such impairment could effect safe operation of the plant or the administration of the Access Authorization and Fitness for Duty Programs. This may include the taking of medication, dietary conditions, signs of fatigue, mental stress, illness, or any other condition.
1. Interviews donors with laboratory confirmed positive test results to determine if a positive test could have resulted from over-the-counter and/or legally prescribed medication or dietary condition.
 2. Authorizes re-analysis of the original specimen by a Health and Human Services (HHS) Certified Laboratory.
 3. Evaluates the need for testing of individuals as identified in the Testing For Cause procedure.
 4. Identifies any issues associated with collecting and testing specimens, and advises and assists the FFD program management in planning and overseeing the overall FFD program.
 5. Recommends individuals to the EAP.
 6. Evaluates documentation provided by EAP and Access Authorization group to recommend to Security if an individual can be considered trustworthy and reliable for the purpose of granting and/or maintaining unescorted access authorization.
 7. Recommends follow-up testing and reviews the treatment plan as a result of a positive drug or alcohol test or for any other concern to verify continued abstinence from the use of substances.
 8. Directs the MRO Staff and their activities while they are performing those functions.
- 3.7. **EAP Staff** is responsible for providing confidential assessment, short-term counseling, referral services and treatment monitoring for FFD related issues.
- 3.7.1. Provide early intervention for individuals who may have problems that could adversely affect their ability to safely perform their duties.

- 3.7.2. Notify company management (even if individual is a self-referral) if they determine that an individual's condition constitutes a hazard to themselves or to others, or have been impaired as a result of using drugs or alcohol while in a work status and have a continuing substance abuse disorder as required by 10CFR Part 26.
- 3.7.3. The following EAP services are available to receive confidential help in dealing with any of the following concerns or possibly other problems that may be troubling an individual:
- | | |
|-----------------------------------|-----------------------------|
| •Dealing with Change / Transition | •Stress |
| •Family / Relationship Concerns | •Depression |
| •Dual Careers | •Anxiety |
| •Job Burnout | •Workplace Problems |
| •Marital / Relationship | •Work / Life Balance |
| •Fitness For Duty | •Alcohol / Drug Problems |
| •Compulsive Gambling | •Aging Parents / Elder Care |
| •Death / Dying | •Financial Concerns |
| •Sexual Problems | •Retirement Concerns |
| •Eating Disorder Problems | •Physical Abuse |
- 3.7.4. Only Exelon employees are eligible for the EAP. Employees may request assistance from the EAP (self-referral) or be referred by their Supervisor, Security, the MRO or the company Medical staff. Contractors can check with their supervision on the availability of an EAP in their company.
- 3.7.5. For additional information on the company's EAP, see your Supervisor, Human Resources or the company Medical staff. To obtain information or get help, contact the EAP staff directly.
- 3.8. **Exelon Nuclear Security Individuals** are responsible for ensuring that the annual supervisor review is completed.
4. **MAIN BODY**
- 4.1. **Behavior Observation Program**
- 4.1.1. After an individual's emotional stability, reliability, **and** trustworthiness has been determined so that they can safely and competently perform assigned duties, **and**

the individual has UAA or has been granted UA to Exelon's nuclear power stations **or** assigned responsibility for administration of the Fitness for Duty or Access Authorization Program activities, his/her behavior must be observed **and** evaluated not to exceed a 30 day timeframe.

- 4.1.2. Individuals are required to be fit-for-duty by getting sufficient rest to ensure they are not subject to fatigue. Individuals who make choices that result in less than adequate sleep to remain alert and avoid fatigue are not meeting their obligations to safely and competently perform assigned duties.
- 4.1.3. Methods used to manage fatigue include training, behavioral observation, fatigue countermeasures and work hour limitations.
- 4.1.4. The BOP shall include behavioral observation training, a legal action reporting program, and annual supervisory reviews. To maintain UAA/UA an individual must be covered under a BOP.
- 4.1.5. The BOP is conducted by supervisors, management personnel **and** all who are trained **and** is intended to "detect individual behavioral changes which, if left unattended, could lead to acts detrimental to the public health **and** safety."
- 4.1.6. The BOP is **not** intended to be used as a means of reporting what might be considered inadequate **or** marginal job performance. Established methods available to supervisors should continue to be used in these cases.
- 4.1.7. Individuals who are on a leave of absence **and/or** are **not** in a BOP for greater than 30 days, shall have their unescorted access terminated **and** will be required to complete the appropriate Personnel History Questionnaire (PHQ) **and/or** any other Access Authorization **and** Fitness for Duty requirements depending on when the individual returns from the absence, prior to reinstatement of unescorted access.
- 4.1.8. If unusual behavior, suspected drug use, the detected odor of alcohol, or any conditions adverse to station safety for any individuals **escorted** and **unescorted** is observed, notify your supervisor and/or department head, and Security immediately.
- 4.1.9. If the sale, use, or possession of drugs in the station or on company property is observed, report this IMMEDIATELY to your supervisor and Security.
- 4.1.10. When it is identified that an individual may be impaired **and** such impairment could affect the safe operation of the plant **or** negatively reflect the individual's trustworthiness **or** reliability, that individual shall be escorted at all times, while within the protected area.
- 4.1.11. Although the BOP is the primary methodology for determining continued trustworthiness and reliability, clinical interviews may be used to provide added assurance.

4.2. **Training**

- 4.2.1. The BOP training presented in Exelon's Fitness For Duty Program satisfies both the Access Authorization Rule **and** the Fitness For Duty Rule. This training provides reasonable assurance that individuals have sufficient awareness and sensitivity to detect degradation in performance which may be the result of being under the influence of any substance, legal or illegal, fatigued, physical or mental impairment which in any way may adversely affect their ability to safely and competently perform their duties.
- 4.2.2. The program also provides techniques related to recognition of behaviors adverse to the safe operation and security of the facility, e.g., unusual interest in or predisposition towards security or operations activities outside the scope of ones normal work assignments, or frequent unexplained absence from work assignments. Individuals will be trained to the supervisory level on their responsibilities for remaining trustworthy and reliable.
- 4.2.3. The program also includes; recognition that changes in emotional state can happen quickly; typical conditions which trigger behavioral anomalies; the need for early intervention after recognition of changes in behavior which typically indicate changes in emotional state; the recognition of uncharacteristic deviations in collegial interactions, uncharacteristic absences from work, or uncharacteristic inattention to detail, or suspected alcohol or drug abuse; and the need to report the above conditions to the employee's assigned supervisor or fitness-for-duty program manager.
- 4.2.4. Personnel are trained to possess the following Knowledge and Abilities (K&A's):
 - 1. Knowledge of the policy and procedures that apply to the individual, the methods that will be used to implement them, and the consequences of violating the policy and procedures;
 - 2. Knowledge of the individual's role and responsibilities under the FFD program;
 - 3. Knowledge of the roles and responsibilities of others, such as the MRO and the human resources, FFD, and EAP staffs;
 - 4. Knowledge of the EAP services available to the individual;
 - 5. Knowledge of the personal and public health and safety hazards associated with abuse of illegal and legal drugs and alcohol;
 - 6. Knowledge of the potential adverse effects on job performance of prescription and over-the-counter drugs, alcohol, dietary factors, illness, mental stress, and fatigue;

7. Knowledge of the prescription and over-the-counter drugs and dietary factors that have the potential to affect drug and alcohol test results;
8. Ability to recognize illegal drugs and indications of the illegal use, sale, or possession of drugs;
9. Ability to observe and detect performance degradation, indications of impairment, or behavioral changes;
10. Knowledge of the individual's responsibility to report an FFD concern and the ability to initiate appropriate actions, including referrals to the EAP and person(s) designated by the licensee or other entity to receive FFD concerns;
11. Knowledge of the contributors to worker fatigue, circadian variations in alertness and performance, indications and risk factors for common sleep disorders, shift-work strategies for obtaining adequate rest, and the effective use of fatigue countermeasures; and
12. Ability to identify symptoms of worker fatigue and contributors to decreased alertness in the workplace.

4.3. **Worker Stress**

4.3.1. Individuals should be knowledgeable of causes of worker stress in the workplace.

1. Daily stress is normal.
2. Stress is derived from events that occur throughout life e.g., marriage and family life, job changes, job performance, etc.
3. Chronic stress the worker is at risk for adverse impact on day-to-day living, e.g., behavior changes.

4.3.2. Contributors to worker stress may include:

1. Increased irritability, feelings of depression, chronic fatigue (fatigue that has set in over several weeks or months), overreacting to any single situation, impulsiveness, excessive use of alcohol or drugs, and constant sense of worry.

4.3.3. Worker fatigue can also have an adverse effect on job performance.

4.4. **Dietary Factors**

4.4.1. Certain available food products such as poppy seeds, hemp oil, energy drinks containing alcohol, marijuana-flavored lollipops and coca leaf tea, some liquid or inhalant cold and cough preparations containing alcohol or codeine although not all inclusive, may cause positive test results.

- 4.4.2. Marijuana-flavored lollipops have such names as *Purple Haze*, *Acapulco Gold* and *Rasta*. They are legal because they are made with hemp oil, a common ingredient in some health food, beauty supplies and other household products. The oil imparts marijuana's grassy taste but not the high. Merchants are calling them as a harmless novelty item for adults. Health food stores are also selling more and more products made from hemp. Though consuming products containing hemp oil create no psychoactive effect, they will cause a positive urinalysis test for marijuana. The Medical Review Officer will not accept hemp product ingestion as an alternative medical explanation for a positive marijuana test.
- 4.4.3. There is an herb named Kava Kava that is found in health food stores and has been used, like valerian root, as an over the counter "prescription" for stress relief and can make you appear impaired.
- 4.4.4. Energy drinks containing alcohol are prohibited while on company property. Individuals who consume these drinks are impaired because of the alcohol in their system. These drinks contain alcohol in quantities sufficient to cause a positive test for alcohol and the MRO **will not** accept an energy drink product ingestion as an alternative medical explanation for a positive alcohol test.
- 4.4.5. Coca leaf tea contains cocaine in quantities sufficient to cause a positive test for cocaine, and the MRO **will not** accept coca leaf product ingestion as an alternative medical explanation for a positive cocaine test.
- 4.4.6. It is an employee's responsibility to maintain fitness for duty and be aware of the effects of each drink, food, or drug you ingest. Although a substance, food, or health supplement is reported "safe" for you and is legal, it does not mean it is wise or safe to ingest these items because they can result in a positive alcohol or drug test. Remember to read labels and ask questions before you purchase and use a new product.
- 4.5. **Illegal Drugs**
- 4.5.1. Some of the drugs which are illegal under federal, state, or local laws include, among others, marijuana, heroin, hashish, cocaine and hallucinogens. Depressants, stimulants, and other controlled substances not prescribed for current personal treatment by an accredited physician also fall under this rule.
- 4.5.2. Drugs can have a significant impact on job performance. Those individuals using drugs or other chemicals can have:
1. Impaired judgment and vision;
 2. Changes in reflexes; and
 3. Reduced analytical ability
- 4.5.3. Common drugs that may be used are:

1. **Cannabis:** Cannabis (e.g., marijuana, THC) is brilliant green in color with an odd number of saw-tooth edged leaves. Some signs of Cannabis use include:
 - A. Bloodshot eyes, dilated (wide) pupils
 - B. Appearance of intoxication or disorientation
2. **Stimulants:** Stimulates the central nervous system. Some examples of stimulants include: caffeine, nicotine, amphetamines, methamphetamine, some over-the-counter diet pills, and cocaine. Some signs of Stimulant use include:
 - A. Increased alertness or excitation
 - B. Euphoria
3. **Depressant:** Depresses the central nervous system. Some examples of depressants include: barbiturates, Valium, Quaaludes, and alcohol.
 - A. Some signs of Depressant use include:
 - B. Slurred speech
 - C. Odor on breath (alcohol)
4. **Narcotic:** Used medically to relieve pain and to treat diarrhea. Some examples include: opium, heroin, codeine, morphine, and paregoric.
 - A. Some signs of Narcotic use include:
 - B. Constricted or narrow pupils of the eyes
 - C. Nausea
5. **Hallucinogen:** Synthetic or natural drugs that distort the perception of objective reality. Use may lead to delusions and visual hallucinations. Some examples of hallucinogens include: psilocybin, LSD, phencyclidine (PCP) and mescaline.
 - A. Some signs of Hallucinogen use include:
 - B. Blank stare or rapid eye movement
 - C. Delusions and visual hallucinations

4.6. **Principle Factors that Contribute to Worker Fatigue**

- 4.6.1. Individuals should be knowledgeable of causes and the impact of fatigue in the workplace as well as the effective use of counter measures. Knowledge of these topics is necessary to ensure that individuals are able to:

1. Self-manage fatigue that is caused by shift work and factors other than work hours;
2. Take actions to maintain their alertness at work; and
3. Recognize and seek treatment for sleep disorders that might be creating fatigue or making their own fatigue more severe.

4.6.2. **Physical Fatigue is Present:**

1. When an individual's diminished physical capability is due to overexertion; or
2. Excessive time of exertion; or
3. A brief physical workload that is excessive and the resulting fatigue degrades physical task performance.

4.6.3. **Circadian Variations in Alertness and Performance:**

1. The normal, inherent, unavoidable, 24-hour rhythms in human information processing and physical performance.
2. Most of these circadian rhythms fluctuate between a high point late in the day to a low point in the pre-dawn hours and are mostly exemplified by:
 - A. Night work; and
 - B. Shift work

4.6.4. **Acute Fatigue** – can either be physical or mental and builds up normally and unavoidably within one waking period.

4.6.5. **Cumulative Fatigue** – can either be physical or mental and builds up across major waking periods when there is inadequate recovery (due to inadequate sleep) between the waking periods.

4.6.6. **Chronic Fatigue** – may set in after several weeks or months of cumulative fatigue. Its symptoms are similar to those of Chronic Fatigue Syndrome (CFS):

1. The desire to sleep;
2. Apathy;
3. Substantial impairment in short-term memory or concentration;
4. Muscle pain;
5. Multi-joint pain without swelling or redness;

6. Headaches of a new type, pattern or severity;
7. Un-refreshing sleep; and
8. Post-exertional malaise lasting more than 24 hours.

4.6.7. **Physiological Changes that Follow a Daily Pattern**

1. An individual's ability to perform and remain alert is influenced by physiological changes that follow a daily pattern.
2. Humans are hard-wired with a genetically-determined biological need for sleep and with a circadian pacemaker that programs us to sleep at night and to be awake during the day, on a 24-hour schedule.
3. Sleep is a complex, active physiological state that is vital to human survival.
4. When an individual is deprived of sleep, the response is sleepiness, which is the brain's signal to prompt an individual to obtain sleep.
5. When deprived of sleep (acutely or chronically), the human brain can spontaneously, in an uncontrolled fashion, shift from wakefulness to sleep in order to meet its physiological need for sleep.
6. Twenty-four hour operations challenge these basic physiological principles.
7. Individuals may be trying to work when the brain is programmed to be asleep, during the circadian low-point in alertness and performance capacity.
8. Conversely, individuals may be trying to sleep when the brain is programmed to be awake; leading to sleep loss and poor sleep quality, which further degrades alertness and performance capacity.
9. Shift work, altered and changing work schedules, crossing time zones, long hours of continuous wakefulness, and sleep loss can create sleep and circadian disruptions that degrade waking function.
10. This results in fatigue and sleepiness while driving, monitoring equipment; degraded vigilance and decision making; and a wide range of other performance effects that can erode the safety margin in operational settings.

4.6.8. **Two Common Sleep Disorders:**

1. Sleep Apnea - A temporary suspension of breathing occurring repeatedly during sleep that often affects overweight people or those having an obstruction in the breathing tract, an abnormally small throat opening, or a neurological disorder.

2. Insomnia - Chronic inability to fall asleep or remain asleep for an adequate length of time.

4.6.9. **Indications and Risk Factors for Common Sleep Disorders:**

1. Extended work and/or Commuting Periods;
2. Split-Shift Work Schedules
3. Sleep/Work Periods Conflicting with Circadian Rhythms;
4. Changing or Rotating Work Schedules;
5. Lack of Rest or Nap Periods;
6. Sleep Disruptions;
7. Inadequate Exercise Opportunities;
8. Poor Diet; and
9. Environmental Stressors

4.6.10. **Shift-Work Strategies to Optimize Sleep Periods to Obtain Adequate Rest:**

1. Minimize sleep loss; it is important not to begin a new work schedule with an existing sleep debt (normally requires 2 nights of unrestricted sleep);
2. Take naps; minimize to 30 minutes (only allowed during non-paid work time in designated areas when in a work status);
3. Develop good sleep habits; a regular pre-sleep routine can condition relaxation in preparation for falling asleep (physical and mental relaxation techniques such as meditation, yoga and progressive muscle relaxation can be used); and
4. Understand the affects of food, alcohol and exercise; being hungry or eating too much may interfere with falling asleep as well as the use of nicotine or caffeine; alcohol produces easily disrupted, lighter sleep and suppresses REM (rapid eye movement); regular exercise may enhance deep sleep but avoid strenuous exercise within 6 hours of going to bed.

4.6.11. **Countermeasures that can be used at Home:**

1. Adequate Sleep is the best way to prevent or resolve fatigue;
2. Create a comfortable sleep environment at home; get a comfortable mattress; adjust heating and cooling as needed and get in habit of sleeping 8 hours per night;

3. Napping (only allowed during non-paid work time in designated areas) and should be less than 30 minutes. Longer naps produce sleep inertia, which is counterproductive;
4. Anchor sleep is 4 hours of sleep at the same time each day used when a normal 8-hour sleep cannot be achieved (effect when changing from shift to shift); and
5. Being mindful of effects of medications

4.6.12. **Countermeasures that can be used at Work:**

1. Strategic caffeine use to help work through decreased alertness;
2. Social interaction and active involvement in conversation;
3. Physical activity such as stretching and isometric exercises; and
4. Consume well-balanced meals and plan ahead for nutritious snack food (simple carbohydrates can cause “sugar highs” followed by lows that cause decreased alertness)

4.6.13. **Symptoms of fatigue include:**

1. Yawning
2. Red eyes
3. Prolonged/excessive blinking
4. Irritability
5. Sleepiness
6. Difficulty concentrating
7. Apathy
8. Feeling of isolation
9. Annoyance
10. Increased reaction time to stimulus
11. Slowing of higher level mental functioning
12. Decreased vigilance
13. Memory problems

14. Increased errors while performing tasks

4.6.14. **Contributors to Decreased Alertness and Increased Worker Fatigue:**

1. Task demands such as:
 - A. Repetitiveness
 - B. High cognitive demands
 - C. High level of required attention
 - D. Sedentary
 - E. Lack of social interaction
2. Environmental conditions such as:
 - A. High heat and humidity
 - B. Poor lighting
 - C. Low frequency noise

4.7. **Legal Action Reporting**

- 4.7.1. Any individual who signs a personal history questionnaire in order to obtain UAA/UA but has not been granted UAA/UA and individuals with UAA/UA who have had any legal action, as defined in this procedure, are required to report this on their first day back to work subsequent to the incident. Any incident involving drugs or alcohol **must** be reported. If there is any question as to whether an incident is reportable, individuals should contact their Supervisor, Department Head, and/or Site Security Access/Fitness For Duty Lead for a determination.
- 4.7.2. The Supervisor, **or** Department Head shall ensure the individual reports the incident to Site Security Access/Fitness For Duty Lead and the local Human Resources Department for Exelon employees
- 4.7.3. The Site Security Access/Fitness For Duty Lead shall complete Attachment 1, Exelon Legal Action Self-Reporting Form, page 1, Section 1.
- 4.7.4. The Site Security Access/Fitness For Duty Lead shall immediately request the individual reporting the legal action to complete Attachment 1, page 2. The narrative shall include specific details of the ongoing legal action. When section 1 of page 1 and page 2 of Attachment 1 are completed, immediately forward to Exelon Nuclear Corporate Security along with any supporting documentation (court order, copies of tickets, etc).

- 4.7.5. Exelon Nuclear Corporate Security will review Attachment 1 and track legal action until closure.
- 4.7.6. When the employee notifies Exelon Site Security Access/Fitness For Duty Lead, Human Resources **or** the cognizant Exelon manager will be included in the notification process if required or if requested by the employee.
1. As a minimum, the employee should be prepared to provide the date of the incident, the charge, final disposition **and/or** court date, if known.
- 4.7.7. Failure to report any legal action could result in unescorted access being denied. In addition to the potential denial of unescorted access, Exelon personnel who fail to report an incident could receive disciplinary action up to **and** including termination. Exelon Corporate Nuclear Security will discuss the legal action with the individual **and** evaluate the incident for appropriate action. The reporting of any legal action may result in unescorted access being placed on temporary hold pending further review. A decision regarding the status of his/her unescorted access will be made **and** the employee advised.
- 4.7.8. Upon receipt of information of a felony conviction of a licensed operator, Exelon Corporate Nuclear Security will notify Human Resources. The site has 30 days to notify the Nuclear Regulatory Commission about the Operator's conviction for a felony per the requirements of 10CFR 55.53(g).
- 4.7.9. Upon receipt of information of a domestic violence legal action on a member of the Security organization, Site Security Access/Fitness For Duty Lead will notify the Security Manager.
- 4.7.10. Upon receipt of a drug or alcohol-related legal action for a critical group individual, the Site Access/Fitness for Duty Lead shall immediately notify the station nurse.
- 4.7.11. It is imperative that this information be kept confidential **and** all individuals **and** departments involved are responsible for maintaining confidentiality.
- 4.7.12. Exelon Corporate Nuclear Security will notify the individual in writing of the final disposition. Human Resources will also be notified for Exelon employees.
- 4.8. **Supervisor Review**

CAUTION

If the annual supervisory review is not completed by the expiration date, UAA/UA will be terminated.

- 4.8.1. A supervisory review shall be conducted on a nominal annual basis for each individual in the critical group with UAA/UA, utilizing the Behavior Observation Program – Annual Supervisory Review form in Appendix G, of NEI 03-04, Guideline for Plant Access Training, or equivalent including an electronic process or form.
- 4.8.2. A supervisory review shall be conducted on a nominal annual basis for all other individuals with UAA/UA, maintained for 365 consecutive days. Supervisory reviews are not required for an individual where UAA/UA is terminated prior to the anniversary date of granting UAA/UA. The status of supervisory reviews is not required to be provided to other licensees.
- 4.8.3. The review shall be conducted by the individual's immediate supervisor. The review shall be based on interactions with the individual over the review period, is not intended to be face to face or replace daily responsibilities as discussed within this procedure and shall include:
 - 1. A description of any condition that may have resulted in the employee acting or behaving in an unconventional manner;
 - 2. Any circumstances which may indicate the need to refer the employee for additional medical or psychological review; and any information developed over the review period, regarding the behavioral characteristics of the employee supervised. This information would typically include behavioral norm deviations which have been reported to the supervisor through implementation of the BOP, as well as those behavioral norm deviations personally observed by the supervisor.
- 4.8.4. For Exelon employees, in cases where the individual's position is one of the highest ranking positions of authority, or the individual does not physically report to the same permanent work location as the individuals immediate supervisor, the supervisory review may be completed by another supervisor who works directly with the individual on a regular basis and is aware/trained on their responsibilities for behavior observation.
- 4.8.5. The supervisory review shall be evaluated by an access authorization program reviewing official to determine if additional action is required concerning the individual's trustworthiness, reliability, and fitness for duty. The completed review shall be included as part of the licensee's access authorization files.
- 4.9. **Record Retention**
- 4.9.1. Annual Supervisor Reviews and Legal action Reporting documentation for an individual must be retained for a minimum of five years following access termination from the authorizing licensee's program.

5. **DOCUMENTATION**

6. **REFERENCES**

6.1. Commitments

6.1.1. (CM-1) Exelon East – CR# 127643 – 06 (Step 2.6)

6.2. User's References

6.2.1. SY-AA-102, Exelon's Nuclear Fitness For Duty Program

6.3. Writer's References

6.3.1. Nuclear Regulatory Commission 10CFR 73.56, Access Authorization Program for Nuclear Power Plants

6.3.2. Nuclear Regulatory Commission 10CFR 26, Fitness For Duty Program

6.3.3. Nuclear Regulatory Commission, 10CFR 55.53, Operator Licenses

6.3.4. NRC Compensatory Measure Order, Access Authorization dated January 7, 2003

6.3.5. NEI 03-01, Nuclear Power Plant Access Authorization Program

6.3.6. NEI 03-04, Guideline for Plant Access Training

7. **ATTACHMENTS**

7.1 Attachment 1 - Exelon Legal Action Self Reporting Form

ATTACHMENT 1

EXELON LEGAL ACTION SELF-REPORTING FORM

PAGE 1 OF 2

Section 1: (To be completed by Site Security Access/Fitness For Duty Lead/Designee)

NAME: (Individual making self-report): _____

ADDRESS: _____

S.S.#: _____

STATION: _____

COMPANY/DEPT: _____

DATE OF SELF-REPORT: _____

DATE OF LEGAL ACTION: _____ **CURRENT CHARGES: _____

COURT DATE: _____

Please attach copies of any supporting documentation (court order, tickets, etc.)

PREVIOUS LEGAL ACTIONS :

Are you a Supervisor?	<input type="checkbox"/> YES	<input type="checkbox"/> NO	*Are you a Licensed Operator?	<input type="checkbox"/> NO	<input type="checkbox"/> YES
Site Human Resources Notified?	<input type="checkbox"/> YES	<input type="checkbox"/> NO	**Are you an Armed Security Officer/Responder?	<input type="checkbox"/> NO	<input type="checkbox"/> YES
Immediate Supervisor Notified?	<input type="checkbox"/> YES	<input type="checkbox"/> NO	***Is the charge drug or alcohol related?	<input type="checkbox"/> NO	<input type="checkbox"/> YES
Site Nurse Notified?	<input type="checkbox"/> YES	<input type="checkbox"/> NO	***Are you a member of the Critical Group?	<input type="checkbox"/> NO	<input type="checkbox"/> YES

On page 2 of this attachment, request individual to provide a statement with a detailed narrative description of the events leading up to, during and following the Legal Action (who, what, when, why, how and where). For a DUI/DWI/DWAI etc., list the Blood Alcohol Concentration or write, "**Refused**" if the Breathalyzer or blood test was refused. Ensure the individual signs, prints and dates the attachment.

Site Security Access/FFD Lead: _____ Date: _____

Section 2: Immediately forward to Corporate Security

LOG NUMBER: _____

DATE LETTER SENT PREPARED BY: _____

DATE LETTER SENT: _____ PREPARED BY: _____

TEMP HOLD: _____

DENIED: _____ REVIEWED BY: _____

HOLD/DENIED REMOVED: _____ CLOSED DATE: _____

COMMENTS: _____

* SY-AA-103-513 Section 4.7.8: IF FELONY CONVICTION, REVIEW IF CHARGE MEETS 10 CFR 55.53(g)

**SY-AA-103-513 Section 4.7.9: REVIEW IF ARREST INVOLVES DOMESTIC VIOLENCE TO MEET FEDERAL GUN CONTROL ACT (TITLE 18-ARTICLE 922.(g)(9).

***SY-AA-103-513 Section 4.7.10: IF THE CHARGE IS ALCOHOL OR DRUG RELATED FOR A MEMBER OF THE CRITICAL GROUP, THEN NOTIFY THE STATION NURSE.

SIGNATURE: _____ DATE: _____

ATTACHMENT 4

BEHAVIORAL OBSERVATION PROGRAM

1. PURPOSE

- 1.1. This procedure provides information and guidance for all individuals who are required to participate in a Behavioral Observation Program (BOP). The BOP is the primary means for determining continued trustworthiness and reliability of individuals with Unescorted Access Authorization (UAA). The objective of the BOP is to detect illegal drug use, alcohol/legal drug abuse and other behaviors such as fatigue and physical or mental illness that may constitute an unreasonable risk to the health and safety of the public, including a potential threat to commit radiological sabotage.
- 1.2. This procedure is applicable to all individuals with UAA and all individuals granted unescorted access (UA) to Exelon Nuclear Power Stations and Decommissioned Reactors (with spent fuel in the spent fuel pool) and Independent Spent Fuel Storage Installation facilities, to licensee, vendor, or contractor personnel required to physically report to a facility's Technical Support Center (TSC) or Emergency Operations Facility (EOF) in accordance with Exelon Emergency Plans and Procedures and all individuals responsible for administration of the Access Authorization Program activities and Fitness For Duty Testing Program activities (Including critical group individuals).

2. TERMS AND DEFINITIONS

- 2.1. **Annual** – A twelve (12) month cycle.
- 2.2. **Annual Supervisor Review** – A supervisory review conducted on a nominal annual basis for each individual with UAA/UA, maintained for 365 consecutive days, by the individual's immediate supervisor.
- 2.3. **Behavioral Observation Program (BOP)**—An awareness program that meets requirements of both the access authorization and fitness-for-duty programs. Personnel are trained to report legal actions; to possess certain Knowledge and Abilities (K&A's) related to drugs and alcohol and the recognition of behaviors adverse to the safe operation and security of the facility by observing the behavior of others in the workplace and detecting and reporting aberrant behavior or changes in behavior that might adversely impact an individual's trustworthiness or reliability, and undergo an annual supervisory review.

2.4. **Critical Group** – Individuals:

1. Who have extensive knowledge of defensive strategies and design and/of implementation of the plant's defense strategies. The positions include:
 - A. Site security supervisors,
 - B. Site security managers,
 - C. Security training instructors,
 - D. Corporate security managers;
2. In a position to grant an applicant unescorted access or unescorted access authorization, including site access authorization managers;
3. Assigned a duty to search for contraband or other items that could be used to commit radiological sabotage (i.e., weapons, explosives, incendiary devices). The positions include:
 - A. Security personnel who have been trained to perform that task.
4. Who have access and extensive knowledge, or administrative control over plant digital computer and communication systems and networks as identified in 10 CRR 73.54. Those responsible for implementing the 73.54 program and IT personnel possessing access and extensive knowledge, or administrative control, over plant digital, computer and communications systems and networks would be considered and included, as necessary, by March 31, 2010. If additional individuals are identified during the implementation of 73.54, they shall be placed in the critical group in a timely manner (e.g., 30 days). For this section access, extensive knowledge and administrative control are defined as:
 - A. Access – Access is defined as having electronic access and having the ability to change the configuration of a Critical Digital Asset (CDA), or to remove the security controls in place for a CDA, in a manner that would cause an adverse impact to the CDA's ability to perform its function.
 - B. Extensive Knowledge – having expert-level knowledge of the CDA and knowledge of the cyber security controls in place for the CDA, and how the configuration of the CDA and the cyber security controls can be modified in a manner that could result in an adverse impact to the CDA's ability to perform its function.
 - C. Administrative control – A person with administrative control has the electronic access and authorization to independently change

both the configuration of a CDA and the cyber security controls in place for a CDA, in a manner that could result in an adverse impact to the CDA's ability to perform its function.

The positions may include:

1. Members of Cyber Security Assessment Team (CSAT) and Computer Incident Response Team (CIRT).
2. Plant network system administrators that meet the requirements above.
5. Qualified for and assigned duties as: armed security officers, armed responders, alarm station operators, and response team leaders, and armorers as defined in the licensee's Physical Security Plan; and reactor operators, senior reactor operators and non-licensed operators. Non-licensed operators include those individuals responsible for the operation of plant systems and components, as directed by a reactor operator or senior reactor operator. A non-licensed operator also includes individuals who monitor plant instrumentation and equipment and principally perform their duties outside of the control room.

2.5. **Immediate Supervisor** – The person responsible for behavior observation reviewing and reporting requirements of individuals who directly report to them that have been granted unescorted access authorization (UAA) or UA and has been trained in techniques related to recognition of behaviors adverse to the safe operation and security of the facility in observing the behavior of others in the workplace and to detect and report aberrant behavior or changes in behavior that might reflect negatively on an individual's trustworthiness and reliability.

2.6. **Legal action** - A formal action taken by a law enforcement authority or court of law, including being held, detained, taken into custody, charged, arrested, indicted, fined, forfeited bond, cited, or convicted for a violation of any law, regulation or ordinance. This includes felony, misdemeanor, summary offenses, serious traffic offenses, serious civil charges or military charges to include court martial or non-judicial punishment, guilty pleas, nolle contend ere, any suspended sentences, pre-trial diversions, dismissals, nolle prosequere or first offender cases and traffic tickets and includes the mandated implementation of a plan for treatment or mitigation in order to avoid a permanent record of an arrest or conviction in response to the following activities:

1. The use, sale or possession of illegal drugs;
2. The abuse of legal drugs or alcohol; or
3. The refusal to take a drug or alcohol test.

A. ALL drug and alcohol related arrests must be reported.

- B. This **does not include** minor misdemeanor charges such as parking tickets, non-injury traffic and speeding tickets or minor civil actions such as zoning violations, city ordinances and citations or minor traffic violations such as moving violations when the individual was not physically taken into custody and a court appearance is not required.
- C. Examples of serious civil charges, that must be reported includes, but is not limited to, a summons to appear in court; filing for bankruptcy; claims of negligence, wrongful death, discrimination or harassment; any claim with intentional or willful conduct as a component; and any civil claim or action in which a party seeks a judgment against you of at least (or the damages to be awarded could amount to at least) \$40,000.00.
- D. Examples of minor civil actions that do not need to be reported includes, but is not limited to, zoning violations, small claims actions, garnishments, child support payments, property disputes, and other civil actions where the money, debt, or damages sought is less than \$40,000 and divorce actions/decrees (unless the divorce action or decree seeks or includes a restraining order or requires the employee or contractor to pay at least \$40,000 out of pocket).

2.7. **Nominal** - The limited flexibility that is permitted in meeting a scheduled due date for completing a recurrent activity that is required under this part, such as the nominal annual 12-month frequency required for FFD refresher training in 10 CFR 26.29(c)(2) and the nominal annual 12-month frequency required for certain audits in 10 CFR 26.41(c)(1). Completing a recurrent activity at a nominal frequency means that the activity may be completed within a period that is 25 percent longer or shorter than the period required in this part. The next scheduled due date would be no later than the current scheduled due date plus the required frequency for completing the activity.

2.8. **Observation** – The process used when coming into contact with others, including personal contact, telephone contact (although this is not the preferred method and should not be used to extend an individuals unescorted access when the individual has not been observed in person for a period of 30 days or more), video-conference, monitoring of work output, attendance, and consultation with or feedback from supervisors and co-workers.

3. **RESPONSIBILITIES**

3.1. **Individuals who sign a personal history questionnaire** in order to obtain UAA/UA but have not been granted UAA/UA but are in the process, are responsible for reporting to their supervisor and security any legal actions as defined in this procedure. Individuals are required to report this on their first day back to in-processing activities subsequent to any legal action.

- 3.2. **Individuals with UAA/UA** are responsible for reporting to their supervisor and Site Security/Fitness For Duty Lead any legal actions as defined in this procedure. Individuals are required to report this on their first day back to work and subsequent to any legal action.
- 3.2.1. Shall report any observed behavior indicating degradation in performance, impairment or change in behavior to a supervisor. This may include the taking of medication, signs of fatigue, mental stress, illness, or any other condition.
1. Are responsible for evaluating their own personal fitness-for-duty based on impairment from fatigue by:
 - A. Managing their work hours consistent with the objective of preventing impairment from fatigue;
 - B. Verifying their work hours are correctly documented regardless of whether they are paid for the hours worked;
 - C. Making a self-declaration of fatigue when fatigue or reduced mental alertness could negatively affect their job performance and discussing these concerns with supervision;
 - D. Monitoring and reporting concerns related to individuals' Fitness-For-Duty (FFD) based on impairment from fatigue (i.e., Behavior Observation Program); and
 - E. Being aware of the total hours worked in the previous 14 days and notifying management if work hour limits will be exceeded if asked to work additional hours.
- 3.2.2. Shall report to their supervisor when an individual is exhibiting unusual or aberrant behavior that may adversely affect the safety or security of a licensee facility, or that may constitute an unreasonable risk to the health and safety of the public or the common defense and security, including a potential threat to commit radiological sabotage.
1. Each employee (contractor or Exelon) must rely upon some signs or indications to look for that may indicate their co-workers, employees, or visitors are exhibiting unusual or aberrant behavior. Possible signs of unusual or aberrant behavior, issues or events include:
 2. Unusual interest in or predisposition towards security or operations activities outside the scope of their normal work assignments.
 3. Uncharacteristic absences from work.
 4. Frequent unexplained absence from work assignments.

5. Unusual or inadequate response when confronted about being in a plant or office location outside of the worker's usual scope of work.
6. Unusual views or opinions that might be directly or indirectly threatening to a nuclear facility.
7. A worker in an area outside of their usual scope of activities, who can't provide an appropriate explanation.
8. Abnormalities such as vandalism and/or tampering. Examples include but are not limited to:
 - A. Misaligned breakers or valves,
 - B. Cut wires or cables,
 - C. Foreign objects in machinery, reservoirs or tanks,
 - D. Inappropriate holes drilled, punched or cuts in pipes, tubes or hoses, and
 - E. Damage to a component such that its safety or security function is impeded.

3.2.3. Shall report a leave of absence, or any situation if you are not in a behavior observation program, to your supervisor, Security and Human Resources prior to leaving. Some examples may include:

1. Medical/Personal/Military leave of absence (immediate upon discovery)
2. Extended vacation (Greater than 30 days)
3. Working remotely (Greater than 30 days)
4. Training at other work locations-e.g., Supervisory Development Program (Greater than 30 days)

3.2.4. Attending and successfully completing annual Fitness For Duty training.

3.3. **Supervisors and Management** are responsible for familiarizing themselves with their employee's behavior patterns in order to enable the supervisor to recognize when an employee is exhibiting unusual or aberrant behavioral traits and patterns that may reflect adversely on their trustworthiness or reliability and constitute an unreasonable risk to the health and safety of the public, including a potential threat to commit radiological sabotage. This may include the taking of medication, signs of fatigue, mental stress, illness, or any other condition.

1. Although everyone is trained to the same level, Managers and Supervisors have additional actions to implement parts of the FFD and Behavioral Observation Program. This includes:

- A. Observing assigned individuals' behavior patterns over time.
 - B. Documenting behavioral problems.
 - C. Acting proactively to address behavior problems.
 - D. Conducting and documenting a supervisory review on a nominal annual basis for each individual with unescorted access authorization/unescorted access, maintained for 365 consecutive days.
- 3.3.2. Acting in a timely manner when an Access Authorization or Fitness for Duty concern has been identified. If someone's behavior is questionable, the supervisor shall immediately notify security and remove the person from work activities. The person shall be escorted at all times until the concern is satisfactorily resolved or until the person exits the protected area. This may include testing for cause or a determination of fitness.
- 3.3.3. Acting in a timely manner when an individual has an unusual interest in or predisposition towards security or operations activities outside the scope of ones normal work assignments, or frequent unexplained absences from work assignments. The supervisor shall immediately remove the person from work activities. The person shall be escorted at all times until the concern is satisfactorily resolved or until the person exits the protected area. This may include testing for cause or a determination of fitness.
- 3.3.4. Notifying the cognizant Department Head in cases of observed aberrant behavior or unusual interest in or predisposition towards security or operations activities outside the scope of ones normal work assignments, or frequent unexplained absences from work assignments.
- 3.3.5. Ensuring that individuals report all legal actions as defined in this procedure to Site Security/Fitness For Duty Lead and the local Human Resources Department for Exelon employees or to the cognizant Exelon manager for contractor employees.
- 3.3.6. Act as the primary person to report a leave of absence, or any situation if you or any of your direct reports are not in a behavior observation program, to your supervisor, Security and Human Resources as soon as possible and prior to leaving. Some examples may include:
- 1. Medical/Personal/Military leave of absence (immediate upon discovery)
 - 2. Extended vacation (Greater than 30 days)
 - 3. Working remotely (Greater than 30 days)
 - 4. Training at other work locations-e.g., Supervisory Development Program (Greater than 30 days)

- 3.3.7. Referring employees to the Employee Assistance Program (EAP) made available by the applicable employer.
1. If the employee continues to show signs of behavior changes or problems, contact EAP staff to make a supervisor referral. The supervisor should continue to document changes in the employee's current performance.
 2. If behavior continues to deteriorate, contact Security and the Medical Review Officer (MRO).
 3. Advise your management of the steps you have taken and the documentation collected.
- 3.3.8. If you are upgraded or promoted to a supervisory position you are **obligated** to carry out the supervisory responsibilities as defined in the Exelon Fitness for Duty Program.
- 3.3.9. If you have any concerns or are in doubt about handling a Fitness For Duty concern, call Station Security.
- 3.3.10. Attending and successfully completing annual Fitness For Duty training.
- 3.4. **Fitness for Duty Personnel** in coordination with access authorization personnel are responsible for the adjudication of potentially disqualifying information to determine if an individual is trustworthy and reliable.
- 3.4.1. Oversees and assures satisfactory quality performance of the laboratory contracted to conduct specimen testing.
 - 3.4.2. Maintains confidentiality of the Access Authorization and Fitness For Duty Records.
 - 3.4.3. Assists in coordinating Appeals to the Appeal Reviewer.
- 3.5. **Human Resource personnel** are responsible for the immediate notification to appropriate management personnel, to include Exelon Corporate Nuclear Security to suspend or place a hold on an individual's unescorted access, whenever there is concern that an employee may be impaired and such impairment could affect safe operation of the plant or the administration of the Access Authorization and Fitness for Duty Programs. This may include the taking of medication, signs of fatigue, mental stress, illness, or any other condition.
- 3.5.1. Serving as the confidential communication link between Exelon Nuclear Security and Company employees for Access and Fitness For Duty issues.
 - 3.5.2. Promptly report any Access and Fitness For Duty concerns or program violations to Station Security and Station Management.
 - 3.5.3. Ensuring that employees notify Site Security Access/Fitness For Duty Lead when the employee makes them aware of a legal action.

- 3.5.4. Ensuring that Site Security Badging offices and/or Exelon Corporate Nuclear Security are notified when an individual is on a leave of absence from the company or will be away from the BOP for greater than 30 days.
- 3.5.5. Notify Security when an employee has been terminated “For Cause” so Security can make an evaluation concerning the individual’s trustworthiness and reliability. This includes situations when an employee is allowed to resign prior to termination.
- 3.6. **Occupational Health and Safety (OHS) Personnel** are responsible for the immediate notification to appropriate management personnel, to include Exelon Corporate Nuclear Security, the recommendation to place a hold on an individual’s unescorted access, whenever there is concern that an employee may be impaired and such impairment could effect safe operation of the plant or the administration of the Access Authorization and Fitness for Duty Programs. This may include the taking of medication, signs of fatigue, mental stress, illness, or any other condition.
 - 3.6.1. Ensuring that individuals who are on a medical and/or disability leave of absence are reported to applicable Site Security immediately.
 - 3.6.2. **The Medical Review Officer (MRO)** is responsible for the immediate notification to appropriate management personnel, to include Exelon Corporate Nuclear Security, the recommendation to deny or place a hold on an individual’s unescorted access, whenever there is concern that an employee may be impaired and such impairment could effect safe operation of the plant or the administration of the Access Authorization and Fitness for Duty Programs. Reviewing reported legal action, medical assessments and supervisory reviews, when appropriate, and make recommendations for any needed requirements and/or to deny or place a hold on an individual’s unescorted access, whenever there is concern that an employee may be impaired and such impairment could effect safe operation of the plant or the administration of the Access Authorization and Fitness for Duty Programs. This may include the taking of medication, dietary conditions, signs of fatigue, mental stress, illness, or any other condition.
 - 1. Interviews donors with laboratory confirmed positive test results to determine if a positive test could have resulted from over-the-counter and/or legally prescribed medication or dietary condition.
 - 2. Authorizes re-analysis of the original specimen by a Health and Human Services (HHS) Certified Laboratory.
 - 3. Evaluates the need for testing of individuals as identified in the Testing For Cause procedure.
 - 4. Identifies any issues associated with collecting and testing specimens, and advises and assists the FFD program management in planning and overseeing the overall FFD program.
 - 5. Recommends individuals to the EAP.

6. Evaluates documentation provided by EAP and Access Authorization group to recommend to Security if an individual can be considered trustworthy and reliable for the purpose of granting and/or maintaining unescorted access authorization.
 7. Recommends follow-up testing and reviews the treatment plan as a result of a positive drug or alcohol test or for any other concern to verify continued abstinence from the use of substances.
 8. Directs the MRO Staff and their activities while they are performing those functions.
- 3.7. **EAP Staff** is responsible for providing confidential assessment, short-term counseling, referral services and treatment monitoring for FFD related issues.
- 3.7.1. Provide early intervention for individuals who may have problems that could adversely affect their ability to safely perform their duties.
 - 3.7.2. Notify company management (even if individual is a self-referral) if they determine that an individual's condition constitutes a hazard to themselves or to others, or have been impaired as a result of using drugs or alcohol while in a work status and have a continuing substance abuse disorder as required by 10CFR Part 26.
 - 3.7.3. The following EAP services are available to receive confidential help in dealing with any of the following concerns or possibly other problems that may be troubling an individual:

•Dealing with Change / Transition	•Stress
•Family / Relationship Concerns	•Depression
•Dual Careers	•Anxiety
•Job Burnout	•Workplace Problems
•Marital / Relationship	•Work / Life Balance
•Fitness For Duty	•Alcohol / Drug Problems
•Compulsive Gambling	•Aging Parents / Elder Care
•Death / Dying	•Financial Concerns
•Sexual Problems	•Retirement Concerns
•Eating Disorder Problems	•Physical Abuse
 - 3.7.4. Only Exelon employees are eligible for the EAP. Employees may request assistance from the EAP (self-referral) or be referred by their Supervisor, Security, the MRO or the company Medical staff. Contractors can check with their supervision on the availability of an EAP in their company.

- 3.7.5. For additional information on the company's EAP, see your Supervisor, Human Resources or the company Medical staff. To obtain information or get help, contact the EAP staff directly.
- 3.8. **Exelon Nuclear Security Individuals** are responsible for ensuring that the annual supervisor review is completed.
- 3.9. **Reviewing Official** – will evaluate any notification of observed behaviors or conditions identified in this procedure to determine continued UAA/UA.
- 3.9.1. If the Reviewing Official has a reason to believe that the reported individual's trustworthiness or reliability is questionable, the reviewing official shall either administratively withdraw or terminate the individual's unescorted access or unescorted access authorization while completing the re-evaluation or an investigation.

4. **MAIN BODY**

4.1. **Behavior Observation Program**

- 4.1.1. After an individual's emotional stability, reliability, **and** trustworthiness has been determined so that they can safely and competently perform assigned duties, **and** the individual has UAA or has been granted UA to Exelon's nuclear power stations **or** assigned responsibility for administration of the Fitness for Duty or Access Authorization Program activities, this must be maintained and his/her behavior must be observed **and** evaluated not to exceed a 30 day timeframe.
- 4.1.2. Individuals are required to be fit-for-duty by getting sufficient rest to ensure they are not subject to fatigue. Individuals who make choices that result in less than adequate sleep to remain alert and avoid fatigue are not meeting their obligations to safely and competently perform assigned duties.
- 4.1.3. Methods used to manage fatigue include training, behavioral observation, fatigue countermeasures and work hour limitations.
- 4.1.4. The BOP shall include behavioral observation training, a legal action reporting program, and annual supervisory reviews. To maintain UAA/UA an individual must be covered under a BOP and is required to comply with access authorization and fitness for duty program policies and procedures.
- 4.1.5. The BOP is conducted by supervisors, management personnel **and** all who are trained **and** is intended to "detect individual behavioral changes which, if left unattended, could lead to acts detrimental to the public health **and** safety."

- 4.1.6. The BOP is **not** intended to be used as a means of reporting what might be considered inadequate **or** marginal job performance. Established methods available to supervisors should continue to be used in these cases.
- 4.1.7. Individuals who are on a leave of absence **and/or** are **not** in a BOP for greater than 30 days, shall have their unescorted access terminated **and** will be required to complete the appropriate Personnel History Questionnaire (PHQ) **and/or** any other Access Authorization **and** Fitness for Duty requirements depending on when the individual returns from the absence, prior to reinstatement of unescorted access.
- 4.1.8. If unusual behavior, suspected drug use, the detected odor of alcohol, or any conditions adverse to station safety for any individuals **escorted** and **unescorted** is observed, notify your supervisor and/or department head, and Security immediately.
- 4.1.9. If the sale, use, or possession of drugs in the station or on company property is observed, report this IMMEDIATELY to your supervisor and Security.
- 4.1.10. When it is identified that an individual may be impaired **and** such impairment could affect the safe operation of the plant **or** negatively reflect the individual's trustworthiness **or** reliability, that individual shall be escorted at all times, while within the protected area.
- 4.1.11. Although the BOP is the primary methodology for determining continued trustworthiness and reliability, clinical interviews may be used to provide added assurance.
- 4.2. **Training**
 - 4.2.1. The BOP training presented in Exelon's Fitness For Duty Program satisfies both the Access Authorization Rule **and** the Fitness For Duty Rule. This training provides reasonable assurance that individuals have sufficient awareness and sensitivity to detect degradation in performance which may be the result of being under the influence of any substance, legal or illegal, fatigued, physical or mental impairment which in any way may adversely affect their ability to safely and competently perform their duties.
 - 4.2.2. The program also provides techniques related to recognition of behaviors adverse to the safe operation and security of the facility, e.g., unusual interest in or predisposition towards security or operations activities outside the scope of ones normal work assignments, or frequent unexplained absence from work assignments. Individuals will be trained to the supervisory level on their responsibilities for remaining trustworthy and reliable.

- 4.2.3. The program also includes; recognition that changes in emotional state can happen quickly; typical conditions which trigger behavioral anomalies; the need for early intervention after recognition of changes in behavior which typically indicate changes in emotional state; the recognition of uncharacteristic deviations in collegial interactions, uncharacteristic absences from work, or uncharacteristic inattention to detail, or suspected alcohol or drug abuse; and the need to report the above conditions to the employee's assigned supervisor or fitness-for-duty program manager.
- 4.2.4. The training program shall address the knowledge and abilities necessary to detect behavior or activities that have the potential to constitute an unreasonable risk to the public health and safety and common defense and security, including the potential to commit radiological sabotage.
- 4.2.5. Personnel are trained to possess the following Knowledge and Abilities (K&A's):
1. Knowledge of the policy and procedures that apply to the individual, the methods that will be used to implement them, and the consequences of violating the policy and procedures;
 2. Knowledge of the individual's role and responsibilities under the FFD program;
 3. Knowledge of the roles and responsibilities of others, such as the MRO and the human resources, FFD, and EAP staffs;
 4. Knowledge of the EAP services available to the individual;
 5. Knowledge of the personal and public health and safety hazards associated with abuse of illegal and legal drugs and alcohol;
 6. Knowledge of the potential adverse effects on job performance of prescription and over-the-counter drugs, alcohol, dietary factors, illness, mental stress, and fatigue;
 7. Knowledge of the prescription and over-the-counter drugs and dietary factors that have the potential to affect drug and alcohol test results;
 8. Ability to recognize illegal drugs and indications of the illegal use, sale, or possession of drugs;
 9. Ability to observe and detect performance degradation, indications of impairment, or behavioral changes;
 10. Knowledge of the individual's responsibility to report an FFD concern and the ability to initiate appropriate actions, including referrals to the EAP and person(s) designated by the licensee or other entity to receive FFD concerns;
 11. Knowledge of the contributors to worker fatigue, circadian variations in alertness and performance, indications and risk factors for common sleep disorders, shift-

work strategies for obtaining adequate rest, and the effective use of fatigue countermeasures; and

12. Ability to identify symptoms of worker fatigue and contributors to decreased alertness in the workplace.

- 4.2.6. All individuals identified herein shall undergo initial BOP training. The initial training shall include a comprehensive examination addressing these requirements. BOP Refresher training shall be completed on a nominal annual basis and shall be documented as required by licensee or C/V procedures. In lieu of refresher training a comprehensive examination may be administered.
- 4.2.7. Remedial training and re-testing are required for individuals who fail to satisfactorily complete the comprehensive examination.
- 4.2.8. Initial and refresher training may be delivered using a variety of media (including, but not limited to, classroom lectures, required reading, video, or computer-based training systems). The licensee or C/V shall monitor the completion of training.

4.3. **Worker Stress**

- 4.3.1. Individuals should be knowledgeable of causes of worker stress in the workplace.
 1. Daily stress is normal.
 2. Stress is derived from events that occur throughout life e.g., marriage and family life, job changes, job performance, etc.
 3. Chronic stress the worker is at risk for adverse impact on day-to-day living, e.g., behavior changes.
- 4.3.2. Contributors to worker stress may include:
 1. Increased irritability, feelings of depression, chronic fatigue (fatigue that has set in over several weeks or months), overreacting to any single situation, impulsiveness, excessive use of alcohol or drugs, and constant sense of worry.
- 4.3.3. Worker fatigue can also have an adverse effect on job performance.

4.4. **Dietary Factors**

- 4.4.1. Certain available food products such as poppy seeds, hemp oil, energy drinks containing alcohol, marijuana-flavored lollipops and coca leaf tea, some liquid or inhalant cold and cough preparations containing alcohol or codeine although not all inclusive, may cause positive test results.
- 4.4.2. Marijuana-flavored lollipops have such names as *Purple Haze*, *Acapulco Gold* and *Rasta*. They are legal because they are made with hemp oil, a common ingredient in some health food, beauty supplies and other household products. The oil imparts marijuana's grassy taste but not the high. Merchants are calling them as a harmless

novelty item for adults. Health food stores are also selling more and more products made from hemp. Though consuming products containing hemp oil create no psychoactive effect, they will cause a positive urinalysis test for marijuana. The Medical Review Officer will not accept hemp product ingestion as an alternative medical explanation for a positive marijuana test.

- 4.4.3. There is an herb named Kava Kava that is found in health food stores and has been used, like valerian root, as an over the counter “prescription” for stress relief and can make you appear impaired.
- 4.4.4. Energy drinks containing alcohol are prohibited while on company property. Individuals who consume these drinks are impaired because of the alcohol in their system. These drinks contain alcohol in quantities sufficient to cause a positive test for alcohol and the MRO **will not** accept an energy drink product ingestion as an alternative medical explanation for a positive alcohol test.
- 4.4.5. Coca leaf tea contains cocaine in quantities sufficient to cause a positive test for cocaine, and the MRO **will not** accept coca leaf product ingestion as an alternative medical explanation for a positive cocaine test.
- 4.4.6. It is an employee’s responsibility to maintain fitness for duty and be aware of the effects of each drink, food, or drug you ingest. Although a substance, food, or health supplement is reported “safe” for you and is legal, it does not mean it is wise or safe to ingest these items because they can result in a positive alcohol or drug test. Remember to read labels and ask questions before you purchase and use a new product.

4.5. **Illegal Drugs**

- 4.5.1. Some of the drugs which are illegal under federal, state, or local laws include, among others, marijuana, heroin, hashish, cocaine and hallucinogens. Depressants, stimulants, and other controlled substances not prescribed for current personal treatment by an accredited physician also fall under this rule.
- 4.5.2. Drugs can have a significant impact on job performance. Those individuals using drugs or other chemicals can have:
 - 1. Impaired judgment and vision;
 - 2. Changes in reflexes; and
 - 3. Reduced analytical ability
- 4.5.3. Common drugs that may be used are:
 - 1. **Cannabis**: Cannabis (e.g., marijuana, THC) is brilliant green in color with an odd number of saw-tooth edged leaves. Some signs of Cannabis use include:
 - A. Bloodshot eyes, dilated (wide) pupils

- B. Appearance of intoxication or disorientation
- 2. **Stimulants:** Stimulates the central nervous system. Some examples of stimulants include: caffeine, nicotine, amphetamines, methamphetamine, some over-the-counter diet pills, and cocaine. Some signs of Stimulant use include:
 - A. Increased alertness or excitation
 - B. Euphoria
- 3. **Depressant:** Depresses the central nervous system. Some examples of depressants include: barbiturates, Valium, Quaaludes, and alcohol.
 - A. Some signs of Depressant use include:
 - B. Slurred speech
 - C. Odor on breath (alcohol)
- 4. **Narcotic:** Used medically to relieve pain and to treat diarrhea. Some examples include: opium, heroin, codeine, morphine, and paregoric.
 - A. Some signs of Narcotic use include:
 - B. Constricted or narrow pupils of the eyes
 - C. Nausea
- 5. **Hallucinogen:** Synthetic or natural drugs that distort the perception of objective reality. Use may lead to delusions and visual hallucinations. Some examples of hallucinogens include: psilocybin, LSD, phencyclidine (PCP) and mescaline.
 - A. Some signs of Hallucinogen use include:
 - B. Blank stare or rapid eye movement
 - C. Delusions and visual hallucinations

4.6. **Principle Factors that Contribute to Worker Fatigue**

- 4.6.1. Individuals should be knowledgeable of causes and the impact of fatigue in the workplace as well as the effective use of counter measures. Knowledge of these topics is necessary to ensure that individuals are able to:
 - 1. Self-manage fatigue that is caused by shift work and factors other than work hours;
 - 2. Take actions to maintain their alertness at work; and

3. Recognize and seek treatment for sleep disorders that might be creating fatigue or making their own fatigue more severe.

4.6.2. **Physical Fatigue is Present:**

1. When an individual's diminished physical capability is due to overexertion; or
2. Excessive time of exertion; or
3. A brief physical workload that is excessive and the resulting fatigue degrades physical task performance.

4.6.3. **Circadian Variations in Alertness and Performance:**

1. The normal, inherent, unavoidable, 24-hour rhythms in human information processing and physical performance.
2. Most of these circadian rhythms fluctuate between a high point late in the day to a low point in the pre-dawn hours and are mostly exemplified by:
 - A. Night work; and
 - B. Shift work

4.6.4. **Acute Fatigue** – can either be physical or mental and builds up normally and unavoidably within one waking period.

4.6.5. **Cumulative Fatigue** – can either be physical or mental and builds up across major waking periods when there is inadequate recovery (due to inadequate sleep) between the waking periods.

4.6.6. **Chronic Fatigue** – may set in after several weeks or months of cumulative fatigue. Its symptoms are similar to those of Chronic Fatigue Syndrome (CFS):

1. The desire to sleep;
2. Apathy;
3. Substantial impairment in short-term memory or concentration;
4. Muscle pain;
5. Multi-joint pain without swelling or redness;
6. Headaches of a new type, pattern or severity;
7. Un-refreshing sleep; and

8. Post-exertional malaise lasting more than 24 hours.

4.6.7. **Physiological Changes that Follow a Daily Pattern**

1. An individual's ability to perform and remain alert is influenced by physiological changes that follow a daily pattern.
2. Humans are hard-wired with a genetically-determined biological need for sleep and with a circadian pacemaker that programs us to sleep at night and to be awake during the day, on a 24-hour schedule.
3. Sleep is a complex, active physiological state that is vital to human survival.
4. When an individual is deprived of sleep, the response is sleepiness, which is the brain's signal to prompt an individual to obtain sleep.
5. When deprived of sleep (acutely or chronically), the human brain can spontaneously, in an uncontrolled fashion, shift from wakefulness to sleep in order to meet its physiological need for sleep.
6. Twenty-four hour operations challenge these basic physiological principles.
7. Individuals may be trying to work when the brain is programmed to be asleep, during the circadian low-point in alertness and performance capacity.
8. Conversely, individuals may be trying to sleep when the brain is programmed to be awake; leading to sleep loss and poor sleep quality, which further degrades alertness and performance capacity.
9. Shift work, altered and changing work schedules, crossing time zones, long hours of continuous wakefulness, and sleep loss can create sleep and circadian disruptions that degrade waking function.
10. This results in fatigue and sleepiness while driving, monitoring equipment; degraded vigilance and decision making; and a wide range of other performance effects that can erode the safety margin in operational settings.

4.6.8. **Two Common Sleep Disorders:**

1. Sleep Apnea - A temporary suspension of breathing occurring repeatedly during sleep that often affects overweight people or those having an obstruction in the breathing tract, an abnormally small throat opening, or a neurological disorder.
2. Insomnia - Chronic inability to fall asleep or remain asleep for an adequate length of time.

4.6.9. **Indications and Risk Factors for Common Sleep Disorders:**

1. Extended work and/or Commuting Periods;

2. Split-Shift Work Schedules
3. Sleep/Work Periods Conflicting with Circadian Rhythms;
4. Changing or Rotating Work Schedules;
5. Lack of Rest or Nap Periods;
6. Sleep Disruptions;
7. Inadequate Exercise Opportunities;
8. Poor Diet; and
9. Environmental Stressors

4.6.10. **Shift-Work Strategies to Optimize Sleep Periods to Obtain Adequate Rest:**

1. Minimize sleep loss; it is important not to begin a new work schedule with an existing sleep debt (normally requires 2 nights of unrestricted sleep);
2. Take naps; minimize to 30 minutes (only allowed during non-paid work time in designated areas when in a work status);
3. Develop good sleep habits; a regular pre-sleep routine can condition relaxation in preparation for falling asleep (physical and mental relaxation techniques such as meditation, yoga and progressive muscle relaxation can be used); and
4. Understand the affects of food, alcohol and exercise; being hungry or eating too much may interfere with falling asleep as well as the use of nicotine or caffeine; alcohol produces easily disrupted, lighter sleep and suppresses REM (rapid eye movement); regular exercise may enhance deep sleep but avoid strenuous exercise within 6 hours of going to bed.

4.6.11. **Countermeasures that can be used at Home:**

1. Adequate Sleep is the best way to prevent or resolve fatigue;
2. Create a comfortable sleep environment at home; get a comfortable mattress; adjust heating and cooling as needed and get in habit of sleeping 8 hours per night;
3. Napping (only allowed during non-paid work time in designated areas) and should be less than 30 minutes. Longer naps produce sleep inertia, which is counterproductive;
4. Anchor sleep is 4 hours of sleep at the same time each day used when a normal 8-hour sleep cannot be achieved (effect when changing from shift to shift); and
5. Being mindful of effects of medications

4.6.12. Countermeasures that can be used at Work:

1. Strategic caffeine use to help work through decreased alertness;
2. Social interaction and active involvement in conversation;
3. Physical activity such as stretching and isometric exercises; and
4. Consume well-balanced meals and plan ahead for nutritious snack food (simple carbohydrates can cause “sugar highs” followed by lows that cause decreased alertness)

4.6.13. Symptoms of fatigue include:

1. Yawning
2. Red eyes
3. Prolonged/excessive blinking
4. Irritability
5. Sleepiness
6. Difficulty concentrating
7. Apathy
8. Feeling of isolation
9. Annoyance
10. Increased reaction time to stimulus
11. Slowing of higher level mental functioning
12. Decreased vigilance
13. Memory problems
14. Increased errors while performing tasks

4.6.14. Contributors to Decreased Alertness and Increased Worker Fatigue:

1. Task demands such as:
 - A. Repetitiveness
 - B. High cognitive demands
 - C. High level of required attention

- D. Sedentary
 - E. Lack of social interaction
2. Environmental conditions such as:
- A. High heat and humidity
 - B. Poor lighting
 - C. Low frequency noise

4.7. **Legal Action Reporting**

- 4.7.1. Any individual who signs a personal history questionnaire in order to obtain UAA/UA but has not been certified UAA or granted UA and individuals with UAA/UA who have had any legal action, as defined in this procedure, are required to report this on their first day back to work subsequent to the incident. Any incident involving drugs or alcohol **must** be reported. If there is any question as to whether an incident is reportable, individuals should contact their Supervisor, Department Head, and/or Site Security Access/Fitness For Duty Lead for a determination.
- 4.7.2. The Supervisor, **or** Department Head shall ensure the individual reports the incident to Site Security Access/Fitness For Duty Lead and the local Human Resources Department for Exelon employees.
- 4.7.3. The Site Security Access/Fitness For Duty Lead shall complete Attachment 1, Exelon Legal Action Self-Reporting Form, page 1, Section 1, and promptly forward the information to the corporate reviewing official.
- 4.7.4. The Site Security Access/Fitness For Duty Lead shall immediately request the individual reporting the legal action to complete Attachment 1, page 2. The narrative shall include specific details of the ongoing legal action. When section 1 of page 1 and page 2 of Attachment 1 are completed, immediately forward to Exelon Nuclear Corporate Security along with any supporting documentation (court order, copies of tickets, etc).
- 4.7.5. Exelon Nuclear Corporate Security will review Attachment 1 on the day that the report is received and shall evaluate the circumstances related to the reported legal action(s) and re-determine trustworthiness and reliability and track legal action until closure.
- 4.7.6. When the employee notifies Exelon Site Security Access/Fitness For Duty Lead, Human Resources **or** the cognizant Exelon manager will be included in the notification process if required or if requested by the employee.
 - 1. As a minimum, the employee should be prepared to provide the date of the incident, the charge, final disposition **and/or** court date, if known.

- 4.7.7. Failure to report any legal action could result in unescorted access being denied. In addition to the potential denial of unescorted access, Exelon personnel who fail to report an incident could receive disciplinary action up to **and** including termination. Exelon Corporate Nuclear Security will discuss the legal action with the individual **and** evaluate the incident for appropriate action. The reporting of any legal action may result in unescorted access being placed on temporary hold pending further review. A decision regarding the status of his/her unescorted access will be made **and** the employee advised.
- 4.7.8. Upon receipt of information of a felony conviction of a licensed operator, Exelon Corporate Nuclear Security will notify Human Resources. The site has 30 days to notify the Nuclear Regulatory Commission about the Operator's conviction for a felony per the requirements of 10CFR 55.53(g).
- 4.7.9. Upon receipt of information of a domestic violence legal action on a member of the Security organization, Site Security Access/Fitness For Duty Lead will notify the Security Manager.
- 4.7.10. Upon receipt of a drug or alcohol-related legal action for a critical group individual, the Site Access/Fitness for Duty Lead shall immediately notify the station nurse.
- 4.7.11. It is imperative that this information be kept confidential **and** all individuals **and** departments involved are responsible for maintaining confidentiality.
- 4.7.12. Exelon Corporate Nuclear Security will notify the individual in writing of the final disposition. Human Resources will also be notified for Exelon employees.

4.8. **Supervisor Review**

CAUTION

If the annual supervisory review is not completed by the expiration date, UAA/UA will be terminated.

- 4.8.1. A supervisory review shall be conducted on a nominal annual basis for each individual in the critical group with UAA/UA, utilizing the Behavior Observation Program – Annual Supervisory Review form in Appendix G, of NEI 03-04, Guideline for Plant Access Training, or equivalent including an electronic process or form.
- 4.8.2. A supervisory review shall be conducted on a nominal annual basis for all other individuals with UAA/UA, maintained for 365 consecutive days. Supervisory reviews are not required for an individual where UAA/UA is terminated prior to the anniversary date of granting UAA/UA. The status of supervisory reviews is not required to be provided to other licensees.
- 4.8.3. The review shall be conducted by the individual's immediate supervisor. The review shall be based on interactions with the individual over the review period, is not

intended to be face to face or replace daily responsibilities as discussed within this procedure and shall include:

1. A description of any condition that may have resulted in the employee acting or behaving in an unconventional manner;
2. Any circumstances which may indicate the need to refer the employee for additional medical or psychological review; and any information developed over the review period, regarding the behavioral characteristics of the employee supervised. This information would typically include behavioral norm deviations which have been reported to the supervisor through implementation of the BOP, as well as those behavioral norm deviations personally observed by the supervisor.

4.8.4. If the supervisor does not have the frequent interaction with the individual throughout the review period needed to form an informed and reasonable opinion regarding the individual's behavior, trustworthiness, and reliability, the individual is also subject to a supervisory interview in accordance with the requirements of the licensee's or C/V's BOP.

4.8.5. For Exelon employees, in cases where the individual's position is one of the highest ranking positions of authority, or the individual does not physically report to the same permanent work location as the individual's immediate supervisor, the supervisory review may be completed by another supervisor who works directly with the individual on a regular basis and is aware/trained on their responsibilities for behavior observation.

4.8.6. When potential disqualifying information is identified, the Annual Supervisory Review shall be evaluated by an access authorization program reviewing official to determine if additional action is required concerning the individual's trustworthiness, reliability, and fitness for duty. The completed review shall be included as part of the licensee's access authorization files.

4.9. **Record Retention**

4.9.1. Annual Supervisor Reviews and Legal action Reporting documentation for an individual must be retained for a minimum of five years following access termination from the authorizing licensee's program.

5. **DOCUMENTATION**

6. **REFERENCES**

6.1. Commitments - None

6.2. User's References

6.2.1. SY-AA-102, Exelon's Nuclear Fitness For Duty Program

6.3. Writer's References

- 6.3.1. Nuclear Regulatory Commission 10CFR 73.56, Access Authorization Program for Nuclear Power Plants
- 6.3.2. Nuclear Regulatory Commission 10CFR 26, Fitness For Duty Program
- 6.3.3. Nuclear Regulatory Commission, 10CFR 55.53, Operator Licenses
- 6.3.4. NRC Compensatory Measure Order, Access Authorization dated January 7, 2003
- 6.3.5. NEI 03-01, Nuclear Power Plant Access Authorization Program
- 6.3.6. NEI 03-04, Guideline for Plant Access Training

7. **ATTACHMENTS**

- 7.1 Attachment 1 - Exelon Legal Action Self Reporting Form

ATTACHMENT 1
EXELON LEGAL ACTION SELF-REPORTING FORM
PAGE 1 OF 2

Section 1: (To be completed by Site Security Access/Fitness For Duty Lead/Designee)

NAME: (Individual making self-report): _____

PHONE NUMBER: _____

ADDRESS: _____

S.S.#: _____

STATION: _____

COMPANY/DEPT: _____

DATE OF SELF-REPORT: _____

DATE RETURNED TO WORK: _____

DATE OF LEGAL ACTION: _____

**CURRENT CHARGES: _____

COURT DATE: _____

Please attach copies of any supporting documentation (court order, tickets, etc.)

PREVIOUS LEGAL ACTIONS :

Are you a Supervisor? ☐ YES ☐ NO *Are you a Licensed Operator? ☐ YES ☐ NO

Site Human Resources Notified? ☐ YES ☐ NO **Are you an Armed Security Officer/Responder? ☐ YES ☐ NO

Immediate Supervisor Notified? ☐ YES ☐ NO ***Is the charge drug or alcohol related? ☐ YES ☐ NO

Site Nurse Notified? ☐ YES ☐ NO ***Are you a member of the Critical Group? ☐ YES ☐ NO

On page 2 of this attachment, request individual to provide a statement with a detailed narrative description of the events leading up to, during and following the Legal Action (who, what, when, why, how and where). For a DUI/DWI/DWAI etc., list the Blood Alcohol Concentration or write, **"Refused"** if the Breathalyzer or blood test was refused. Ensure the individual signs, prints and dates the attachment.

Site Security Access/FFD Lead: _____ Date: _____

Section 2: Immediately forward to Corporate Security

LOG NUMBER: _____

TEMP HOLD: _____

DENIED: _____

REVIEWED BY: _____

CLOSED DATE: _____

COMMENTS: _____

SIGNATURE: _____ DATE: _____