



Entergy

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T.R. "Ted" Leonard  
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Waterford 3

W3F1-97-0098

A4.05

PR

May 19, 1997

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

Subject: Waterford 3 SES  
Docket No. 50-382  
License No. NPF-38  
Reporting of Security Incident Report

Gentlemen:

Attached is Security Incident Report (SIR) Number 97-S01-001 for Waterford Steam Electric Station Unit 3. This report documents an occurrence where 10 individuals were improperly authorized access to the Plant Protected Area.

This condition is being reported pursuant to Appendix G to 10CFR73.71(c).

Very truly yours,

T.R. Leonard  
General Manager  
Plant Operations

TRL/GCS/tjs  
Attachment 230045

cc: E.W. Merschoff (NRC Region IV), C.P. Patel (NRC-NRR),  
A.L. Garibaldi, J.T. Wheelock - INPO Records Center,  
R.B. McGehee, N.S. Reynolds, NRC Resident Inspectors Office,  
Administrator - LRPD

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NRC FORM 366 <small>(4-95)</small>		U.S. NUCLEAR REGULATORY COMMISSION		APPROVED BY OMB NO. 3150-0104 EXPIRES 04/30/98 <small>ESTIMATED BURDEN PER RESPONSE TO COMPLY WITH THIS MANDATORY INFORMATION COLLECTION REQUEST: 50.0 HRS. REPORTED LESSONS LEARNED ARE INCORPORATED INTO THE LICENSING PROCESS AND FED BACK TO INDUSTRY. FORWARD COMMENTS REGARDING BURDEN ESTIMATE TO THE INFORMATION AND RECORDS MANAGEMENT BRANCH (T-6 F33), U.S. NUCLEAR REGULATORY COMMISSION, WASHINGTON, DC 20555-0001, AND TO THE PAPERWORK REDUCTION PROJECT (3150 0104), OFFICE OF MANAGEMENT AND BUDGET, WASHINGTON, DC 20503.</small>																								
<h2 style="margin: 0;">LICENSEE EVENT REPORT (LER)</h2> <p style="margin: 0;">(See reverse for required number of digits/characters for each block)</p>																												
FACILITY NAME (1) <b>WATERFORD STEAM ELECTRIC STATION UNIT 3</b>			DOCKET NUMBER (2) <b>05000 382</b>		PAGE (3) <b>1 OF 4</b>																							
TITLE (4) <b>IMPROPERLY AUTHORIZED INDIVIDUALS GRANTED ACCESS TO THE PROTECTED AREA</b>																												
EVENT DATE (5) <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th>MONTH</th> <th>DAY</th> <th>YEAR</th> </tr> <tr> <td style="text-align: center;">04</td> <td style="text-align: center;">18</td> <td style="text-align: center;">97</td> </tr> </table>		MONTH	DAY	YEAR	04	18	97	LER NUMBER (6) <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th>YEAR</th> <th>SEQUENTIAL NUMBER</th> <th>REVISION NUMBER</th> </tr> <tr> <td style="text-align: center;">97</td> <td style="text-align: center;">S01</td> <td style="text-align: center;">00</td> </tr> </table>		YEAR	SEQUENTIAL NUMBER	REVISION NUMBER	97	S01	00	REPORT DATE (7) <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th>MONTH</th> <th>DAY</th> <th>YEAR</th> </tr> <tr> <td style="text-align: center;">05</td> <td style="text-align: center;">19</td> <td style="text-align: center;">97</td> </tr> </table>		MONTH	DAY	YEAR	05	19	97					
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LICENSEE CONTACT FOR THIS LER (12)																												
NAME <b>E.G. BECKENDORF, SECURITY SUPERINTENDENT</b>			TELEPHONE NUMBER (Include Area Code) <b>(504) 739-6340</b>																									
COMPLETE ONE LINE FOR EACH COMPONENT FAILURE DESCRIBED IN THIS REPORT (13)																												
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YES <small>(If yes, complete EXPECTED SUBMISSION DATE).</small>				<input checked="" type="checkbox"/> NO	EXPECTED SUBMISSION DATE (15) <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th>MONTH</th> <th>DAY</th> <th>YEAR</th> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </table>	MONTH	DAY	YEAR																				
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ABSTRACT (Limit to 1400 spaces, i.e., approximately 15 single-spaced typewritten lines) (16) <p>On April 18, 1997, Waterford 3 security personnel determined initially that an unknown number of individuals had been improperly authorized access to the plant protected area (PA). All of the individuals had been issued active keycard badges. Security performed a controlled evacuation of all nonessential personnel from the PA to determine the extent of the problem. The cause of this event is an inadequate work process in that contractors were allowed to obtain unescorted access to the plant while they were conditionally employed prior to completing all requirements for full employment.</p> <p>Following an investigation into this event, it was determined that none of the individuals entered the PA and there was no malevolent intent to gain entry by the parties involved. This event did not compromise the health and safety of the public or plant personnel. This Security Incident Report is being submitted per 10CFR73.71 (c) requirements.</p>																												

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

## REPORTABLE OCCURRENCE

Due to errors in the process of completing the Area Access Request (AAR) forms, ten improperly authorized individuals could have gained access into the Protected Area (PA). This event is being reported pursuant to Appendix G to 10CFR 73.71(c) which states that any failure, degradation, or the discovered vulnerability in a safeguards system that could allow unauthorized access to the protected area is reportable. On April 18, 1997, a one hour report of this event was issued per the same requirement.

## INITIAL CONDITIONS

During this occurrence, Waterford 3 was in Mode 5 (Cold Shutdown). No structures, systems or components were inoperable that contributed to this event.

## EVENT DESCRIPTION

On April 18, 1997, Waterford 3 security personnel determined an unknown number of individuals had been improperly authorized to access the PA. All of the individuals had been issued active keycard badges. This condition was discovered when a contract individual informed an Entergy Director that she was in possession of an active keycard badge but was not actively working for a contract company. This information was provided to the Security department who began to investigate this matter. Security performed a controlled evacuation of all nonessential personnel from the PA to determine the extent of the problem. Further investigation determined that ten contract individuals had been improperly authorized to access the PA. None of the individuals entered the PA.

## CAUSAL FACTORS

A Root Cause Analysis (RCA) team has been formed to investigate this event. Preliminary results indicate the cause of this event is an inadequate work process in that contractors were allowed to obtain unescorted access to the plant prior to

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completing all requirements for full employment. Any significant changes to preliminary causal factors and or corrective actions will be submitted as a revision to this Security Incident Report.

The requirements for obtaining unescorted access are completion of General Employee Training (GET) I, a background investigation, Fitness for Duty drug screening, and having a need for plant access. The need for access for an applicant is determined by their supervision and is communicated by the submittal of an AAR to in-processing personnel. The process that was in place encouraged the expeditious submittal of AARs to facilitate the granting of unescorted plant access. AARs were submitted prior to the individual being in a full employment status. Upon receipt of the AAR by in-processing personnel, it was understood that the individual had met the requirement for need for plant access.

All ten of the individuals were conditionally employed by the supervisors because their employment was contingent upon successful completion of GET II training. Since these individuals were only conditionally employed, there was no need to gain access to the PA. In consequence, unescorted plant access was inappropriately provided to the ten individuals who had completed background checks, successfully completed Fitness for Duty drug screening, completed GET I training, and had AARs submitted without a true need for plant access.

## CORRECTIVE MEASURES

Keycard badges were inactivated for all individuals identified as not fully employed.

An evacuation of the plant of non-essential personnel was performed and their current employment status and need for unescorted access was verified.

Security performed a 100% verification of employment and need for unescorted access for all badged individuals.

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A letter was issued by the Manager, Materials, Purchasing and Contracts to all Contract Managers emphasizing the importance of not requesting unescorted access for an individual until all company required elements have been satisfied and the individual is fully employed by a contract company.

An interim checklist was created that requires verification of employment status prior to releasing a keycard to the primary access point (PAP).

A procedure will be issued providing guidance to plant personnel on the proper in-processing and out-processing of individuals and the correct use of the AAR.

## SAFETY SIGNIFICANCE

This event did not compromise the health and safety of the public or plant personnel. With the exception of the need for access due to individuals being conditionally employed, all requirements to gain unescorted access to the PA (i.e. background check, fingerprinting, alcohol and drug testing, and psychological evaluation) were completed.

## SIMILAR EVENTS

There have been no similar events reported as SIRs at Waterford 3.