

TENNESSEE VALLEY AUTHORITY

NUCLEAR POWER GROUP

APPROVED CONTRACTOR

TVA LOCATION: Browns Ferry Sequoyah Watts Bar
 Corporate Bellefonte

Name: _____

SSN: _____

Employer: _____

Today's Date: _____

If you have never held unescorted access, or your last access was over 3 years ago; or if your last unescorted access was denied or terminated unfavorably, check here: **INITIAL**

If your last unescorted access ended over 365 days ago, but less than 3 yrs, check here: **UPDATE**

If your last unescorted access ended over 30 days ago, but less than 365 days, check here: **R1Y**

****NOTE:** If your last unescorted access ended less than 31 days ago, or if you currently hold unescorted access at another nuclear power plant, please see Plant Access for different paperwork.

TVA USE ONLY: Date hired: <input type="checkbox"/> Scanned to NAS <input type="checkbox"/> Faxed to NAS	DATE FINGERPRINTS SUBMITTED:
Critical Group <input type="checkbox"/> YES <input type="checkbox"/> NO	

SECTION I - PERSONAL DATA

Provide personal information in blanks provided. Ensure that the telephone number you provide is current in the event you need to be contacted for clarification or for additional information, if necessary. **Write legibly please.**

Name: _____
Last First Middle Sr,Jr,III

Other Names Used: _____
(Maiden, previous marriages, aliases, nicknames, etc.)

US SSN (Social Security): _____ - _____ - _____ Birth Date: _____ / _____ / _____

Permanent Address: _____
Number and Street City State Zip

Temporary Address: _____
(If applicable) Number and Street City State Zip

Home Phone: (_____) _____ Cell Phone: (_____) _____

Daytime/Local Phone: (_____) _____ E-Mail Address: _____

Birth Place: City: _____ State: _____ Country: USA Other: _____

PERSONAL DESCRIPTION:

_____ Eye Color Hair Color Height (ft./inch) Weight (lbs) Sex: M/F Race

Are you a U.S. citizen? Yes No
If No, what is your country of citizenship? _____

If you were NOT born in the United States, provide the applicable information specified below:

Date and Port of Entry into US: _____ / _____ / _____
Date of Entry Port of Entry (City) (State)

_____ Name at time of entry Alien Registration Number Naturalization Number

_____ Visa Type Visa Number Expiration Date

If you don't have a US SSN, provide alternate valid (not expired) government-issued identification:
_____ Identification Number/Type Source (e.g., Passport)

U.S. DRIVER'S LICENSE INFORMATION

If no valid license, explain: _____

Driver's License No.: _____ State: _____

Issued Date: _____ / _____ / _____ Expiration Date: _____ / _____ / _____

NOTIFICATION OF LEGAL ACTION

Individuals applying for, certified for, granted or maintaining Unescorted Access Authorization (UAA), or Unescorted Access (UA), or Fitness-for-Duty Authorization (FFDA) at nuclear power plants must report legal actions from the time the individual signs the Personal History Questionnaire (PHQ) up to and including the time that the individual UAA/UA/FFDA is terminated. Legal actions will be judged based upon the potential to impact upon your trustworthiness. This is part of the Behavioral Observation Program (BOP).

To comply with regulatory requirements, you are required to report ANY legal action (you may omit **non-injury traffic or parking offenses of less than \$200** but you **must include any alcohol/drug-related traffic offenses regardless of amount of fine**) in writing, to Nuclear Access Services Plant Access or Nuclear Access Services Corporate and your supervisor no later than the next business day after the legal action occurred. You must also report any legal actions from the time you complete this PHQ until granted Unescorted Access. You are also required to report any changes in the status of any legal action by the next business day (i.e., changes in court date, charges dropped, arrest resulting in conviction, placed on probation, parole, work release, or subject to any other control of the court.)

A legal action is defined as:

- **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, serious traffic offenses, serious civil charges or military charges but does not include minor misdemeanors such as parking tickets or minor civil actions such as zoning violations or minor traffic violations such as moving violations when the individual was not taking physically taken into custody,**
- **It also includes the mandated implementation of a plan for treatment or mitigation in order to avoid a permanent record of an arrest or convictions in response to the following:**
 - (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.**
- **This does not include minor misdemeanors such as parking tickets, minor civil actions, such as zoning violations, or minor traffic violations such as moving violations when the individual was not physically taken into custody, provided the legal action did not include use. Sale, or possession of illegal drugs; abuse of legal drugs or alcohol; or refusal to take a drug or alcohol test.**

Failure to report a legal action as required may result in denial, suspension, revocation, or withdrawal of UAA/UA or FFDA, and disciplinary action up to and including discharge.

By my signature below, I certify that I have read this notification and understand my obligation to report legal actions from the signing of this document until authorization is terminated.

Applicant's Full Printed Name

Social Security Number

Applicant's Signature

Date

AUTHORIZATION, CONSENT, AND ACKNOWLEDGMENT

I hereby acknowledge that in order for me to work within the protected and/or vital areas of a Tennessee Valley Authority Nuclear Power Group (TVANPG) site, I am subject to a background investigation to determine my trustworthiness and reliability, and consent to such an investigation by TVANPG, its investigative agents, or its approved contractors/vendors (C/Vs). This investigation may include, but is not limited to, a verification of identity, self-disclosure data, employment/unemployment history (including military service and/or education in lieu of employment), criminal history, credit history, character references, residences, and fitness for duty history, as well as a medical/psychological evaluation. This information may be obtained through contact with federal, state, and local governmental agencies, educational institutions, previous and current employers, institutions and individuals, and others, whether or not specifically mentioned herein, as may have records or personal knowledge relating to me or my activities. I authorize TVA, its investigative agents, or its approved C/Vs to release all information obtained concerning me to any nuclear facility or the U.S. Nuclear Regulatory Commission (NRC) for their determination of my eligibility for unescorted access.

I acknowledge the information collected/transferred concerning me pursuant to this process is considered confidential and is protected from unauthorized disclosure. Disclosure is authorized under the following conditions: other licensees, C/Vs or their authorized representatives seeking the information for UAA determinations; NRC representatives; appropriate law enforcement officials under court order; myself or my representative, who I have designated in writing; those licensee representatives or C/Vs who have a need to have access to the information in performing assigned duties including audits of licensee, contractor, or vendor programs, except where specifically excluded by regulation; persons deciding matters on review or appeal; or, other persons pursuant to court order or otherwise in accordance with applicable law. These will be reviewed on a case-by-case basis. I acknowledge that the results of this investigation will be maintained by TVANPG or its C/Vs through my period of employment and for at least five years following termination of my unescorted access.

I acknowledge that, upon my proper request, I have the right to review the information collected during the background investigation process and maintained at the TVA Nuclear Access Services office to ensure its accuracy and completeness.

I hereby authorize any person, agency, organization, or institution to release to TVANPG, its investigative agents, or approved C/Vs such information as may be requested about me, based on a determination that the information is necessary or appropriate in connection with investigating me for unescorted access. This authorization specifically includes release of any and all information by my present and previous employers, law enforcement agencies, educational institutions, teachers, professors, landlords, friends, family members, and others, whether or not specifically mentioned herein. The information covered by this authorization may include, but is not limited to, academic, residential, achievement, performance, attendance, disciplinary, financial, arrest and conviction records, and records relating to my moral character and mental stability.

I hereby waive any and all claims against the United States, TVA, their employees, their C/Vs, their authorized investigative agents, TVA's approved C/Vs, and any person, agency, organization, or institution (including record custodians) which provides information to TVA, TVA's employees, or authorized investigative agents, for loss or damage of whatever kind or nature which may at any time result on account of compliance, or any attempts to comply, with this authorization.

I acknowledge that disclosure of information is voluntary and that I may withdraw my authorization/consent at any point; but, in doing so, I will not be eligible for unescorted access.

I acknowledge my responsibility to report any legal actions, including legal actions which occur between signing this form and being granted UAA/unescorted access, to Nuclear Access Services Plant Access or Corporate Nuclear Access Services, as well as my supervisor, the next business day after any such legal action.

I have read and understand all of the terms contained in this Authorization, Consent, and Acknowledgment.

Applicant's Full Printed Name

Social Security Number

Applicant's Signature

Date

Privacy Act Statement

Subsection (e) (3) of 5 U.S.C. § 552a (Section 3 of the Privacy Act)) requires that TVA inform you of its authority to request information and the uses which TVA may make of the information requested. That subsection further requires TVA to inform you of the effects of not providing any or all the requested information.

TVA's authority to request the information you will provide is derived from the TVA Act (16 U.S.C. §§ 831-831 ee), Executive Order No. 10450, the Atomic Energy Act of 1954, as amended, and a number of other statutes and Presidential Executive orders. Information provided on this form may be furnished to people, agencies, organizations, or institutions in order to obtain information regarding you in connection with an investigation to determine: (1) fitness for TVA employment; (2) clearance to perform services for TVA under personal services, consultant, or other contracts; or (3) security clearance or clearance for access to TVA installations.

Furnishing the requested information is voluntary; however, failure to provide all or part of the information may result in a lack of further consideration for employment, clearance or access, or in the termination of your employment.

Information provided on this form is normally used only to determine fitness for employment or security clearance for access to TVA installations. Information obtained on this form may be furnished to third parties as authorized by law. For example, should a dispute arise or a congressional inquiry be made regarding TVA employment practices, the information may be made available outside of TVA in the course of that dispute or inquiry. Further, information provided may be provided to another federal agency if relevant to a decision to be made by that agency. In addition, information on this form may be made available to law enforcement agencies in the exercise of their duties, or to a prospective employer or TVA contractor upon proper request.

PERSONNEL ACCESS DATA SYSTEM (PADS) CONSENT

The Tennessee Valley Authority (TVA) has my consent to:

- a. Collect personal information about me in order to verify the information's accuracy;
- b. Conduct a background investigation (BI) in accordance with U. S. Nuclear Regulatory Commission (NRC) regulations to verify information I have provided on a Personal History Questionnaire and other information, as necessary;
- c. Take my fingerprints and associated biographic identifiers to conduct a check of the criminal history information records contained within the Federal Bureau of Investigation's (FBI's) Integrated Automated Fingerprint Information System (IAFIS).
- d. Retain personal information provided for investigation; and
- e. Transfer information from other licensees, as necessary, including: (i) information pertaining to the denial of unescorted access authorization (UAA) or unescorted Access (UA), or denial of access to a nuclear power plant under construction, to determine whether to certify UAA, grant UA to a U. S. NRC-licensed facility and to allow me to maintain such access; or (ii) information pertaining to denial of access to Safeguards Information.

With the exception of criminal history record information (CHRI) collected under 10CFR 73.57, the information collected will only be used for the purposes of determining UAA/ UA in accordance with 10 CFR 73.56, *Personnel Access Authorization Requirements for Nuclear Power Plants*, separate fitness-for-duty (FFD) authorization in accordance with 10 CFR Part 26, *Fitness for Duty Programs*, access to a nuclear power plant under construction, and/or access to Safeguards Information in accordance with 10 CFR 73.21, 73.22 or 73.23, *Protection of Safeguards Information*, unless I provide a separate release to the licensee for another purpose. CHRI may only be used for the purposes of determining whether a person is suitable for unescorted access to a nuclear power plant or for access to Safeguards Information, and may not be used for any other purpose. I understand that evidence of criminal conduct detected during the conduct of a BI must be reported to the appropriate law enforcement agency by the licensee or contractor/vendor (C/V). I authorize the use of signed copies of this consent to be used in place of an originally signed consent document. The NRC requires that the information collected be used in determining that an individual is trustworthy, reliable, and fit for duty prior to certifying UAA, granting UA, while maintaining UAA/UA; granting access to a nuclear power plant under construction; and before granting access to safeguards information. The results of this determination must be available to other NRC licensed facilities.

Any of the following actions related to the providing and sharing of personal information is sufficient cause for denial or unfavorable termination of UAA/UA, access to a nuclear power plant under construction, and/or access to Safeguards Information:

- a. Refusal to provide written consent for the background investigation and/or suitable inquiry;
- b. Refusal to provide information or the falsification of any personal information required under 10 CFR 73.56, *Personnel Access Authorization Requirements for Nuclear Power Plants*, 10 CFR 26, *Fitness-for-Duty Programs*, and/or 10 CFR 73.21, 73.22 or 73.23, *Protection of Safeguards Information*, including, but not limited to, the failure to report any previous denial or unfavorable termination of authorization;
- c. Refusal to provide written consent for the sharing of personal information with other licensees or other entities required under 10 CFR 73.56, *Personnel Access Authorization Requirements for Nuclear Power Plants*, 10 CFR 26, *Fitness-for-Duty Programs*, and/or 10 CFR 73.21, 73.22 or 73.23, *Protection of Safeguards Information*; and
- d. Failure to report any legal actions in accordance with 10 CFR 73.56(g).

I understand that the domestic commercial nuclear industry uses a computerized, restricted-access data system, the Personnel Access Data System (PADS), to share information necessary to process applications of workers for UAA/UA to nuclear facilities, access to nuclear facilities, access to a nuclear power plant under construction, and/or access to Safeguards Information. I further understand that this system is intended to permit nuclear facility licensees and their accepted contractors/vendors to meet regulatory requirements mandating that certain information be available to any facility licensee by retaining certain access information in a central computer database.

I understand that the information may be transferred, electronically or otherwise, to other licensees and contractor/vendors or the agents of each. This information will include, but is not limited to:

- a. Name and Social Security Number;
- b. Place of birth and physical characteristics;

PERSONNEL ACCESS DATA SYSTEM (PADS) CONSENT (continued)

- c. Dates when any of the following are completed: background investigation, psychological evaluation, fitness-for-duty testing, suitable inquiry checks;
- d. Dates when UAA/UA, access to a nuclear power plant construction site, and/or access to Safeguards Information has been authorized or terminated;
- e. Date of any denial of UAA/UA, access to a nuclear power plant under construction, and/or access to Safeguards Information and the company holding the relevant information;
- f. Dates associated with FFD testing (pre-access, post-event, for cause and follow-up) and treatment;
- g. Annual radiation exposure history;
- h. Respiratory equipment qualification/fit testing;
- i. Medical qualification for respirator use;
- j. Data concerning training required for UAA/UA, access to a nuclear power plant construction site, access to Safeguards Information and work qualification; and
- k. Direction to seek additional information directly from another licensee.

I authorize any individual, organization, institution, or entity that now has, or obtains in the future, access-related information about me (examples of which are provided in the above paragraph), whether or not such information is included in the PADS database, to release any such information in order to perform the investigation and evaluation required for UAA/UA, access to a nuclear power plant construction site and/or access to Safeguards Information.

I understand that information contained within an FBI criminal history record will be restricted to the NRC, nuclear licensee facilities regulated by the NRC, and myself, and that the criminal history information will not be released to contractor/vendors or their agents.

I authorize the entry into the PADS computer database of any information collected for the purpose of processing my application for, or continued maintenance of, UAA/UA, access to a nuclear power plant construction site, and/or access to Safeguards Information. I authorize the transfer of such information, electronically or otherwise, to other NRC nuclear facility licensees and contractors/vendors. I authorize such licensees and contractors/vendors to use the database information for the purpose of determining my eligibility for UAA/UA, for access to a nuclear power plant construction site, and/or for access to Safeguards Information.

I understand that information obtained pursuant to this Consent shall be treated as confidential. The release of access-related information about me shall be limited to regulatory agencies and such employees of NRC facility licensees and their contractors/vendors who have been designated as having a "need to know" the information in order to do their jobs. The following is a listing of individuals that may access information without my consent in order to perform their official duties:

- a. Myself or my representative, when I have designated the representative in writing for specified UAA/UA, nuclear power plant construction site access, safeguards information access and/or FFD matters;
- b. Assigned Medical Review Officers (MROs) and MRO staff;
- c. NRC representatives;
- d. Appropriate law enforcement officials under court order;
- e. licensee, contractor/vendor, or their agents who have a need to have access to the information to perform their assigned duties under the UAA/UA, nuclear power plant construction site access, safeguards access, and/or FFD programs, including determinations of fitness, access authorization or FFD program audits, and some human resources functions;
- f. The presiding officer in a judicial or administrative proceeding that is initiated by the subject individual;
- g. Persons deciding matters under access authorization or FFD program appeal process; and
- h. Other persons pursuant to court order.

I understand that all information about me in the database will be maintained as securely as reasonably practicable for a period of at least 5 years after UAA/UA, access to a nuclear power plant construction site, and/or access to Safeguards Information is last terminated. The types of records maintained include documentation collected during the administration of the access authorization and FFD programs. All documents pertaining to a 5 year or permanent denial

PERSONNEL ACCESS DATA SYSTEM (PADS) CONSENT (continued)

of UAA/UA required by 10 CFR 26 will be retained by a licensee making the denial or unfavorable termination of UAA/UA for 40 years or the NRC determines that the records are no longer needed. The records of FFD training and examinations conducted under 10 CFR 26 and 10 CFR 73.21, 73.22, or 73.23 will be maintained for at least 3 years. Records identified are normally maintained at the TVA Nuclear Access Services office.

I understand that if I determine that in accordance with 28 CFR 16.34, *Procedure to obtain change, correction or updating of identification records*—If, after reviewing my identification record, I believe that it is incorrect or incomplete in any respect and wish changes, corrections or updating of the alleged deficiency, I may make application directly to the agency which contributed the questioned information. I may also direct my challenge as to the accuracy or completeness of any entry on your record to the FBI, Criminal Justice Information Services (CJIS) Division, ATTN: SCU, Mod. D-2, 1000 Custer Hollow Road, Clarksburg, WV 26306. The FBI will then forward the challenge to the agency which submitted the data requesting that agency to verify or correct the challenged entry. Upon the receipt of an official communication directly from the agency which contributed the original information, the FBI CJIS Division will make any changes necessary in accordance with the information supplied by that agency.

I understand that I have a right to review information collected and maintained by TVA to assure it is accurate and complete and to correct any inaccurate or incomplete information. I understand that, upon my written request to TVA, and at no cost to me, I will be provided, within 10 business days, with a printed copy of the information about me which is recorded in the database. If, after my review of such information, I can show that any of the information is incorrect or incomplete, such information will be corrected and/or completed as soon as is reasonably practical.

I understand that at any time and upon written notice to TVA, I may withdraw this Consent, but this will also constitute a withdrawal of my request for access. I understand that any processing activities that were initiated before receipt of my withdrawal of consent shall continue and the resulting information will be retained in the database. No new inquiries shall be initiated after receipt of my withdrawal of consent. Thereafter, PADS participants are not permitted to retrieve information from the database other than my name, date of birth, identification number, and the fact that my consent has been withdrawn, unless I provide a currently valid Consent or the information sought is required by NRC regulation.

I hereby release TVA, other PADS participants, NEI, and the officers, employees, representatives, agents, and records custodians of each as well as the officers, employees, representatives, agents, and records custodians of any entity or individual supplying or using such information from any and all liability based on their authorized receipt, disclosure, or use of the information obtained pursuant to this Consent and to determine my eligibility for UAA/UA to nuclear facilities, access to a nuclear power plant under construction, and/or access to Safeguards Information.

I understand that this Consent is not intended to and does not affect any right or responsibility that I, my employer (if not TVA), or TVA may have under Section 211 of the Energy Reorganization Act of 1974, as amended. I further understand that nothing herein (1) affects my right or my responsibility to bring potential safety concerns to my employer (if not TVA), TVA, or the NRC; or (2) prohibits me from participating in any proceeding or investigation regarding such a potential safety concern.

I have read and understand this Consent and authorize TVA to take such actions as are described herein or specified by PADS procedures. While I understand that UAA/UA, access to a nuclear power plant construction site and/or access to Safeguards Information is dependent upon my accepting the regulatory requirements of this program, the statements made by me in this Consent and my decision to sign this Consent are voluntary. The statements were not induced by any promise nor have I been subjected to any threat, duress or coercion to sign this Consent.

Applicant's Full Printed Name

Social Security Number

Applicant's Signature

Date