

**NRC/State Working Group on Event Reporting
April 4-5, 2000
Meeting Summary**

Working Group Members

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Guests

John Hickey	NRC/NMSS	301-415-7231	jwh1@nrc.gov
Scott Moore	NRC/NMSS	301-415-7875	swm@nrc.gov
Samuel Pettijohn	NRC/NMSS	301-415-6822	slp@nrc.gov
Brian Smith	NRC/NMSS	301-415-5723	bws1@nrc.gov

* Co-Chairman

** Facilitator

*** Primary OSP member, but didn't attend this meeting.

The objectives of this first meeting were:

1. to agree on the charter of the working group
2. review the background and provide an overview of related materials and systems
3. decide on a course of action to include next steps and assignments.

The meeting agenda is attached (ML003711543).

Extensive discussions were held in accordance with the agenda items and schedule.

1. The group's charter was reviewed, changes recommended, and the revised charter was prepared (ML003711570).
2. The background for this effort was introduced by several NMSS representatives. Related policy and guidelines and documentation were discussed and distributed. The NMSS Issues and Events Tracking System (IETS), and three versions of the Nuclear Materials Events Database (NMED) were reviewed with the team.

Management expectations of team recommendations were discussed. The Working Group was provided guidance to look at the whole process. The group was empowered to recommend any alternative from retaining the status quo to radical reengineering. The group was tasked to focus on effectiveness and efficiency of the process and support systems. Scoping was discussed to include all aspects of event reporting and assessment, excluding the incident response area.

During discussions and brainstorming sessions, recommendations/concerns and parking lot items were recorded.

3. The working group organized their efforts into the following outline, and members volunteered to lead and participate on various teams. Parking lot items and brainstorming recommendations and concerns were grouped under the appropriate areas under "Issues" for consideration by the team members.

The subject area and topics to be addressed, next steps, associated issues derived from group member recommendations/concerns, and team members and leaders are provided in the following table. Certain items were placed on hold. Actions on these items was deferred until after the next meeting.

1. Communicate to Internal and External Stakeholders	
Topics	<ul style="list-style-type: none"> ▶ why data is required ▶ how data satisfies Agency goals ▶ how data is used ▶ how to add value to Region and Agreement State activities
Next Steps	<ul style="list-style-type: none"> • update "as-is" diagram of NRC process (Ramsey) • develop "as-is" diagram of NY state process (Dansereau) • develop "as-is" diagram of TX state process (Watkins) • develop communications strategy • develop questionnaire
Issues	<ul style="list-style-type: none"> <input type="checkbox"/> consider use of RAD-RAP list server <input type="checkbox"/> sell GAP <input type="checkbox"/> Review IMPEP guidance (Management Directive 5.6) for consistency of findings (event reports are for assessing safety issues, <u>not</u> for assessing State performance) <input type="checkbox"/> continue "timely" quarterly NMED reports <input type="checkbox"/> address issue of providing information to public <input type="checkbox"/> communicate NRC need for (health and safety) info on "30 day report" events in a timely manner

Team Members	Kevin Ramsey (Team Lead) Agi Seaton Robert Dansereau Helen Watkins
2. Review GAP/Generic Issues Program for lessons learned	
Topics	<ul style="list-style-type: none"> < resources required > safety and health significant issue focus < duplication > coordination < lost/misdirected information > response tools <p>Recommend improvements: analyze trends and precursor events</p>
Next Steps	<ul style="list-style-type: none"> • determine current resource levels • identify safety and health criteria (Dansereau, Watkins, Karagiannis) consider AEOD thresholds (Proc. 3.3) • develop process diagram (Ramsey) • use NMSS Policy and Procedures Letters 1-55 and 1-57
Issues	<ul style="list-style-type: none"> <input type="checkbox"/> include resolution of "safety" as well as "regulatory" issues <input type="checkbox"/> streamline process for requesting additional information (minimize/modify/consolidate info requested) <input type="checkbox"/> NMED contractor/Regional Coordinator (GAP) asking for same info from A/S
Team	Bob Dansereau (Team Lead) Harriet Karagiannis Linda McLean Kevin Ramsey Helen Watkins
3. Review Software Systems	
Topics	<ul style="list-style-type: none"> > how comprehensive > ease of use < duplication of effort
Next Steps	<ul style="list-style-type: none"> • identify state view of problems with web posting of Event Reports • identify software systems, users, types of information, inputs, and outputs • survey users for problems with NMED data entry • review policy with regard to public access to NMED • review need/practicality of NMED public access

Issues	<ul style="list-style-type: none"> <input type="checkbox"/> investigate external web site posting of A/S information <input type="checkbox"/> consider separate vs. consolidated (NMSS and Regions) tracking system <input type="checkbox"/> consider public access to NMED and associated conditions/restrictions <input type="checkbox"/> What do states want in NMED? <input type="checkbox"/> modify NMED to accommodate A/S and non-A/S needs <input type="checkbox"/> include resolution information in NMED <input type="checkbox"/> Consider whether to include tracking data in NMED or a centralized tracking system <input type="checkbox"/> include reference/id numbers from other systems (e.g., ST-YR-####) <input type="checkbox"/> consolidate tracking systems - consider making IETS available to regions and use as one tracking database <input type="checkbox"/> modify NMED to be user-friendly <input type="checkbox"/> continue "timely" quarterly NMED reports <input type="checkbox"/> address issue of providing information to public <input type="checkbox"/> modify NMED input software, print and fax to Emergency Response Center <input type="checkbox"/> NMED input cumbersome <input type="checkbox"/> issue of configuration control of NMED versions <p>HOLD consider participation in IAEA database</p> <p>HOLD define threshold for IAEA data interchange</p>
Team Members	<p>Steve Sandin (Team Lead) Doug Weaver Kevin Hsueh/Pat Larkins Linda McLean Bob Dansereau Helen Watkins</p>
4. Enhance Agreement State Reporting	
Topics	<ul style="list-style-type: none"> ▶ Review current reporting ▶ Recommend quantity and quality improvements
Next Steps	HOLD until next meeting

Issues	<input type="checkbox"/> What do states want in NMED? <input type="checkbox"/> OSP Event Reporting Handbook - make changes to regulatory authority, NMED references, and Reportable Events definition <input type="checkbox"/> Review IMPEP guidance (Mgt. Directive 5.6) for consistency of findings <input type="checkbox"/> A/S event reports to be submitted in NMED record format (p.4 of OSP Handbook) <input type="checkbox"/> continue "timely" quarterly NMED reports <input type="checkbox"/> reiterate request for input in NMED format - implementing process available at A/S level <input type="checkbox"/> submission format for NRC Operations Center - prefer fax with phone verification of receipt <input type="checkbox"/> NMED input cumbersome
Team Members	TBD
5. Licensee Guidance	
Topics	<ul style="list-style-type: none"> ▶ Is guidance available and adequate? ▶ Are licensees aware of guidance? <p>HOLD Will improving guidance improve data? HOLD Are changes required to regulations?</p>
Next Steps	<ul style="list-style-type: none"> ▶ What is provided when license is issued? ▶ What is provided by inspectors?
Issues	<input type="checkbox"/> need for guidance documents to licensees <input type="checkbox"/> improve "cause" reporting in NMED HOLD consolidate reporting requirements in one part of regulations
Team Members	Kevin Hsueh (Team Lead) Linda McLean Kevin Ramsey

Next Meetings:

May 23 Video or Teleconference to discuss progress of assigned teams, exact time and format TBD

June 20-22 Two and ½ day meeting to review progress on efforts, identify areas requiring further effort/resources, and refine next steps; tentatively planned for Texas

Open Items:

- ➔ Determine time and format of May conference call, and notify members (Ramsey)
- ➔ Investigate potential use of Lotus Notes to serve as collaborative tool for working group document preparation (Seaton)
- ➔ Prepare Meeting Summary and distribute (Ramsey/Seaton)
- ➔ Use business process modeling tool being selected within NMSS for modeling of event reporting process (Seaton)