NRC/State Working Group on Event Reporting
Meeting Summary
June 20 - 21, 2000
Texas Department of Health
Austin, TX

Working Group Members

Robert Dansereau*	NYS/DOH	518-402-7590	red07@health.state.ny.us
Kevin Hsueh	NRC/OSP	301-415-2598	kph@nrc.gov
Harriet Karagiannis	NRC/RES	301-415-6377	hxk@nrc.gov
Linda McLean	NRC/RIV	817-860-8116	mlm1@nrc.gov
Kevin Ramsey*	NRC/NMSS	301-415-7887	kmr@nrc.gov
Steve Sandin	NRC/IRO	301-415-6826	sss@nrc.gov
Agi Seaton**	CSC	301-921-3193	aes@nrc.gov
Mark Sitek	NRC/NMSS	301-415-5799	mas3@nrc.gov
Helen Watkins	TX/BRC	512-834-6688	helen.watkins@tdh.state.tx.us

* Co-Chairman
** Facilitator

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

1. The status of the group's charter was discussed. The charter has been approved by Division level management in NMSS and submitted to NMSS Office Director for approval. (The Directors of NMSS and STP must approve the final charter.) Changes requested by the NMSS Office Director include splitting Task 1 into two tasks -- one to improve understandings among stakeholders, and one to address how the process can add value to essential activites (i.e., support identification of problems and weaknesses). In addition, Task 4 (renumbered to Task 5) was reworded to address the quality of NMED data from all sources. The working group drafted a revised charter.

2. The working group revised and consolidated questions submitted by each member into a single list of questions for the Regions and Agreement States. The list is attached. It was agreed that Helen Watkins would place the list in a questionnaire format and that Kevin Ramsey would draft a transmittal letter.

3. The working group member discussed the status of work in each task area and prepared a draft outline of the final report. The draft outline is attached.

ACTION ITEMS

- ☐ Identify reference document for Agreement State requirement to report (Kevin H)
- ☐ Insert objective above each set of questions (Helen)
- ☐ Decide manner in which to conduct survey - mail, phone, etc. (Kevin/Kevin)
- ☐ Get specific NMED input problems from Sam Pettijohn for inclusion in report as well as recommendations for improvement (Mark)
- ☐ Get copy of AEA (Linda)
- ☐ Add to survey - does state response to compatibility item exist - implementing event reporting to NRC (Helen/Linda)
- ☐ Need to determine if clear requirement exists in compatibility policy statement to report events to NRC (Same as first)
- ☐ Add to NMED reporting some consistent way to enter "don't know" on event report data fields (Steve/Mark)
- ☐ NMED p36 need to know denominator (%) for numbers to be more meaningful (KH)
- ☐ GAP open items - need to clarify why pending (KH)
- ☐ Find NUREG regarding reporting requirements for Licensee Guidance section (Linda/ Kevin R)

NEXT STEPS

Questionnaire

Helen to draft Questionnaire	6/30
Team to review Questionnaire	7/7
Draft Transmittal Letter	7/7
Team to review Transmittal Letter	7/14
OSTP to issue TBD	7/21

Report

Team Leaders to start drafting sections

Next Meetings

Teleconference	7/18 2-4 PM
Group Meeting in Rockville, Md	9/6-7

Attachment 1

Questions for Questionnaire

			THESE QUESTIONS RELATE TO ASSESSMENT/EVALUATION	Q
A	T-2	26.	Are you aware of the NRC program for screening all event reports to identify generic issues (the NMSS Generic Issues Program)?	
A	T-2	30.	For significant events, NMSS may request additional information immediately. For routine events, how long should NMSS wait before it requests additional information (after initial report to NRC/State)? 30 days 60 days Other _____.	
A	T-2	27.	Have you received requests from NMSS for additional information concerning event reports within the last 12 months? If so, approximately how many requests did you receive?	
A	T-2	28.	Are the requests reasonable? If not, why not (i.e., redundant, insignificant issues, etc.)?	
A	T-2	29.	Does NMSS handle the information well? If not, why not?	
A	T-2	New	NMSS holds a monthly operational events briefing for the NMSS Office Director. Have you participated in this briefing? If yes, did you find the discussion useful? Do you have any concerns about the questions asked at the briefings?	
A	T-4	43.	Have you used NMED on the Internet?	
A	T-3	39.	Do you use NMED to analyze event data? If yes, is the information useful to you? Why or why not?	A
A	T-1	22.	For Agreement States - Do you perform an evaluation of events that have occurred in your jurisdiction for generic implications?	Y/N
A	T-1	24.	For Agreement States - Does the attached flowchart reflect your event review process? If not, please explain differences.	

			THE FOLLOWING QUESTIONS ADDRESS THE COLLECTION OF	
C	T-1	1.	Document X requires the NRC to have a generic issues program. SA-200, Compatibility Categories and Health and Safety Identification for NRC Regulations and Other Program Elements, makes agreement state reporting to NRC a matter of compatibility. Are you aware of these requirements?	Y/N
C	T-1,4	2.	For Agreement States Do you and necessary program staff have available and have you reviewed the STP procedure SA-300 "Reporting Material Events" (February 20, 1998)?	Y/N
C	T-1	3.	Have you implemented the procedure? Fully Partially Not If not fully, please explain . . .	Mult Narr
C	T-1/4	4.	Are you aware that this is a part of the IMPEP reviews (ref Management Directive 5.6)?	Y/N
C	T-1/4	5.	Do you have concerns with these requirements? If yes, please explain briefly.	Y/N Narr
C	T-1/4	6.	Are there any restrictions or obstacles [e.g., laws - can't include any identifiers, can't release certain types of information, or agency reviews] that prevent you from reporting complete or timely data to NRC? If yes, please explain briefly	Y/N Narr
C	T-1	7.	Reporting of some incidents (reportable events) are required and some are voluntary to be reported. What types of incidents do you report? Required only Required and some voluntary All None	Mult
C	T-1	8.	Do you know how promptly the data is requested to be reported?	Y/N
C	T-1	9.	How do you submit your report to the NRC for entry into NMED? electronic submittal to NMED contractor hard copy telephone FAX e-mail don't report	
C	T-5	10.	For NRC regions and Agreement States - What guidance on event reporting do you provide to licensees when the license is issued? References to regulations Guidance documents Other, please specify None	

	T-5		What guidance do you provide when inspections are performed? References to regulations Guidance documents Verbal Other, please specify None	
	T-5		What other means do you use to provide guidance on event reporting to licensees? (e.g., workshops, bulletins, website)	
C	T-5	11.	For NRC regions and Agreement States - Is there any existing reporting guidance or regulations that need improvement to achieve more complete event reports from licensees? If yes, please explain briefly	Y/N Narr

			THESE QUESTIONS ADDRESS NMED DATA ENTRY and electronic data systems used	
E	T-1	17.	Have you or current members of your staff attended a training workshop on use of the NMED?	
E	T-1/4	12.	At what frequency do you report data for NMED? Commensurate with licensee reporting requirements, e.g., 24 hrs, 30 days. monthly annually no specific time frame other	
E	T-1/4	13.	Do you provide updated reports and close-outs to NMED? If not, please explain briefly.	
E	T-3	41.	Should NMED include information on the resolution of an event or state that all information has been collected and all regulatory actions have been completed?	
E	T-1	18.	Is the NMED system (check all that apply): a useful tool for reporting data? easy to use/user friendly? difficult to use/not user friendly? too prescriptive? more work than furnishing hard copies? additional data fields needed? too labor intensive?	
E	T-3	32.	What method do you use to track follow-up actions and close out of event reports? Computer tracking system - please specify if custom or off-the-shelf, type of application (e.g., Excel, Access, FoxPRO, etc.) Hard copy/paper tracking system Other - please specify _____ Please provide a contact name for the system.	
E	T-3	New	If NMED were modified to include tracking capabilities (including followup, inspections, and closeout) would you use it instead of your current system to track your events? (This could include non-AEA material events.)	
E/A	T-3	33.	For NRC Regions - If NMED is not modified, should one tracking system be used by NRC or should the current practice of separate	
E	T-3		For Agreement States ? Do you generate state event reports similar to NRC event reports (i.e., PNs, ENs, MRs)? If yes, what software do you use?	

			THESE QUESTIONS RELATE TO FOLLOW-UP	
F	T-2	31.	For Agreement States - Which NRC communications related to event reporting do you receive? And do you find them useful? (very useful, useful, not useful, unfamiliar with) Information Notices NMED quarterly reports NMSS Licensee Newsletter Do you provide them to State licensees? Y/N	
F	T-1	3.	Are you aware that NMED data is used to measure NRC/Agreement State performance with respect to strategic goals reported to Congress?	
F	T-3	34.	The NRC is considering participating in the IAEA International Reporting System on Unusual Radiation Events (RADEV). Would you have any concerns with your data being shared with IAEA? If so, please explain briefly.	
F	T-3	35.	Would NRC delay of the posting of reports submitted to the NRC Operations Center on the external NRC website be useful? If so, for how long (i.e. 24 hours, a week, never) and why?	

Attachment 2

Report of the
Working Group on Event Reporting
Findings and Recommendations
Draft Outline

Executive Summary (highlight recommendations)

Introduction (Steal from Kevin Hsueh p.7 re: exchange of information)
- Background
- Purpose and Scope (cover process description)
- Issues and Concerns

Improve Understanding of Internal and External Stakeholders Bob Dansereau
- Event Review Process Description
  - Figures 1(NRC) & 2 (AS) and short explanation Kevin Ramsey
    - include brief generic issues analysis/evaluation - point to Task 2
- Discuss Need/Importance to Stakeholders (add refs)
  - Why data is required
    - partners in custodianship of public health and safety
    - applicable regulations
- Survey Results
- Recommendations Communications Program Description
  - Distribute Information about NRC Event Reporting Process to stakeholders
  - Need to promulgate clear guidance -i.e., copy of SRM -Commission statement regarding requirement for State reporting (is it a compatibility issue?)
  - Briefing at OAS Meeting - Oct. 2000

Generic Issues Program Lessons Learned Kevin Ramsey
- Purpose Harriet Karagiannis
- Introduction
- Inputs
- Process
  - Daily Screening and Regional Calls
  - Event Follow up
  - Weekly Assessment of Generic Issues Harriet
  - Generic Followup Harriet
  - Monthly Operational Events Briefing
- Outputs
  - Issues and Events Tracking System Database
  - NMED
  - NMED Quarterly Report
  - Generic Communications
  - Regulatory Guidance
  - Regulations

[Use Figure 3 and NMSS Generic Issues Program Lessons Learned]
- Survey Results - include state generic issues programs and interface to NRC

Recommendations - fix lessons learned "areas for improvement"

Software Systems Review — Steve Sandin/ Mark Sitek

- Input Reports -Event Notification Process
  - NRC (EN, MR, PN)
  - State Reports
- Describe NMED - Data Archive
- Action Tracking Systems
- Issues
  - Internet Posting
  - Consolidated Tracking System
  - Public Access to NMED
  - IAEA Interface
- Survey Results (AS tracking systems, NMED feedback)
- Recommendations

Enhance NMED Reporting — Kevin Hsueh Bob, Helen, Linda

- Current Event Reporting Process
  - NRC
  - A/S
- Review of Event Information Provided to NMED
  - NRC
  - A/S
- Review IMPEP Guidance for Consistency of Findings
- Survey Results
- Recommendations
  - Quantity
  - Quality recommend feedback from NMED to IMPEP reviewers to improve data, increase completeness (reduce need to go back for more info)
  - Timeliness
  - Consistency

Licensee Guidance Helen Watkins

- Review Guidance Provided — Kevin R & Linda
  - initial and periodic
  - with license
  - during inspection
  - during consultation
- Violations of Reporting Requirements
- Survey Results
- Recommendations
  - potential reissue of reporting requirements summary (NUREG)
  - Share best practices among inspectors — Harriet

Event Reporting Program Goals and Benefits Kevin R/Bob D.

- Summarize recommendations
  - How event reporting data satisfies Agency goals (strategic goals)
  - How to add value to Region and Agreement State programs

Appendix A - Working Group Charter
Appendix B - Survey Questionnaire
Appendix C - Acronyms and Abbreviations
Appendix D - Reference Documents