

SUMMARY REPORT

DOE QUALITY ASSURANCE WORKSHOPS

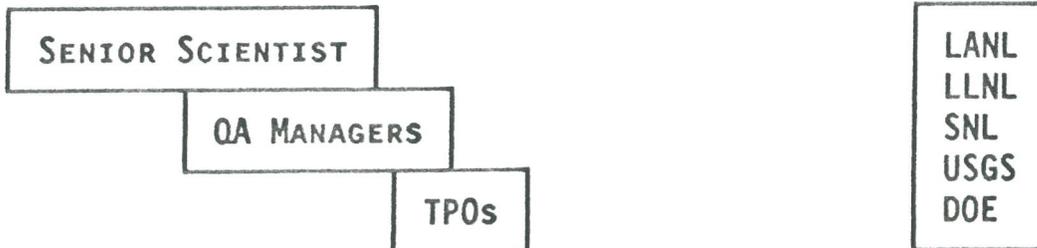
DENVER AND LAS VEGAS

AUGUST 7, OCTOBER 10-12 AND 25,
1990

BRING SCIENTIFIC RESEARCH AND THE QUALITY ASSURANCE PROGRAM
TOGETHER AND PROVIDE WORKABLE RECOMMENDATIONS FOR MANAGEMENT ACTION

(WORKSHOP CHARTER)

PARTICIPANTS



OBSERVERS

NRC

EEI

NYE COUNTY
(PARTIAL)

INTRODUCTION

DOE MANAGEMENT AND QUALITY ASSURANCE
HAVE BEEN LISTENING TO THE
SCIENTIFIC COMMUNITY.

WE HAVE EMBARKED UPON A SERIES OF
WORKSHOPS DESIGNED TO BRING FORTH
THE SCIENTISTS' CONCERNS AND PROVIDE
ACCEPTABLE SOLUTIONS.

ISSUES IDENTIFICATION - DENVER

FOUR MAIN AREAS OF CONCERN RESULTED:

- A. LACK OF FLEXIBILITY IN THE APPLICATION OF THE QA PROGRAM DURING SCIENTIFIC RESEARCH, ACCEPTABILITY OF PEER REVIEW, APPLICATION OF DUAL RESEARCH, REQUIRED RESTRICTIVE PREDICTIONS WITHOUT CONSIDERATION FOR UNKNOWNNS, FURTHER DEFINITION OF REQUIREMENTS, AND PROCEDURS COMMENSURATE WITH ACCEPTABLE (GOOD) SCIENTIFIC PRACTICES.

- B. COMPUTER SOFTWARE QA PROGRAM

- C. DATA

- D. COMMUNICATIONS

ISSUE PROCESSING

A SIGNIFICANT START HAS BEEN MADE ON
ISSUE A ABOVE. MY INTRODUCTION
CHARGED:

"BRING SCIENTIFIC RESEARCH AND
THE QUALITY ASSURANCE PROGRAM
TOGETHER AND PROVIDE WORKABLE
RECOMMENDATIONS FOR MANAGEMENT
ACTION."

PARTICIPANTS INCLUDED:

DOE: GEOLOGIST AND A QA CONSULTANT

**LANL/LLNL/SNL/USGS: SEVEN
SCIENTISTS, FIVE QA MANAGERS, FOUR
TPOs**

EEI: ONE QUALITY CONSULTANT

US NRC: TWO OBSERVERS

**REPRESENTATIVE FROM NY COUNTY, NV
(PARTIAL PARTICIPATION)**

AND TWO FACILITATORS.

PROBLEM STATEMENT

PARTICIPANTS DEVELOPED THE FOLLOWING PROBLEM STATEMENT:

- CURRENT YMP QA PROGRAM IS NOT SUITED FOR USE BY R&D PROGRAMS.
- CURRENT QA PROGRAM DOES NOT ADEQUATELY UTILIZE DECADES OF NON-FORMAL QA/QC SCIENTIFIC PRACTICES.
- OVERLY CONSERVATIVE INTERPRETATION OF BASELINE REQUIREMENTS LEADS TO OVERLY RIGOROUS, INAPPROPRIATE AND INEFFECTIVE IMPLEMENTATION.

DESIRED STATE

THE GOAL IS TO DEVELOP AND IMPLEMENT A QA PROGRAM THAT:

- DOCUMENTS THE R&D PRODUCTS FOR USE IN A LEGAL AND REGULATORY ARENAS
- WOULD BE CONSISTENTLY WRITTEN AND INTERPRETED, AND STABLE
- IS NRC ACCEPTABLE
- IS COMPATIBLE WITH SCIENTIFIC METHOD
- FACILITATES R&D ACTIVITIES WITHIN A REGULATED ENVIRONMENT
- KEEPS INITIATIVE AT WORKING LEVEL
- DOES NOT MANAGE LINE ACTIVITIES
- MANAGERS DO NOT USE FOR PURPOSES OTHER THAN ASSURING QA IMPLEMENTATION

ISSUE STUDY

THE PARTICIPANTS IDENTIFIED ISSUES TO BE STUDIED:

GROUP 1: THE QA PROGRAM SET OUT TO DEFINE HOW A SCIENTIST SHOULD WORK, NOT TO INSTITUTE APPROPRIATE CONTROLS WITHIN THE SCIENTIFIC PROCESS.

GROUP 2: INTERMIXING OF QA IMPLEMENTATION AND OTHER POLICY IMPLEMENTATION IN PROCEDURES, WHICH THEN SUBJECTS THE ENTIRE PROCEDURE CONTENT TO QA AUDIT (SPREADING AUDITABILITY CANCER).

GROUP 3: HOW CAN WE HANDLE ALL OF THE OTHER ISSUES?

WORKSHOP RECOMMENDATIONS

GROUP 1

1. ESTABLISH COMMITTEE OF TECHNICAL PERSONNEL TO PARTICIPATE IN QA DECISION MAKING WITH QA PERSONNEL AND MANAGEMENT.
2. ESTABLISH FORUM FOR TECHNICAL QA/MANAGEMENT EXCHANGE.
3. SCHEDULE LICENSING WORKSHOPS.
4. FORMULATE QA PROGRAM THAT MAKES MAXIMUM USE OF SCIENTIFIC PROCESS.

WORKSHOP RECOMMENDATIONS

GROUP 2

1. DOCUMENT REVIEW
2. DOCUMENT HIERARCHY
3. APQ/AP REVIEW
4. APPEALS PROCESS
5. QA RECORD DEFINITION *
6. SUFFICIENT TIME TO TEST PROCEDURES *
7. DEVELOP NRC/DOE
8. WORKSHOPS

* FOR ONGOING WORK AND AT END

WORKSHOP RECOMMENDATIONS

GROUP 3

GIVEN:

- HIGH LEVEL OF INTEREST OF WORKSHOP PARTICIPANTS.
- WE SENSE HIGH LEVEL OF INTEREST BY DOE MANAGEMENT IN SOLVING PROBLEMS.
- THE WORKSHOP PARTICIPANTS UNDERSTAND THE PROBLEMS AND PROCESS.
- THE WORKSHOP PARTICIPANTS HAVE A GOOD COHESIVE AND SUPPORTIVE RELATIONSHIP.

WORKSHOP RECOMMENDATIONS

GROUP 3 (CONT'D)

- MAINTAIN WORK GROUP IN ORDER TO:
 - MAINTAIN TEAM MOMENTUM
GENERATED IN THE WORKSHOP
 - PURSUE THE PROGRESS
TOWARD EFFECTIVE SOLUTIONS

- FOCUS ON PRACTICAL SOLUTIONS FOR
SHORT-TERM ACCOMPLISHMENTS

- FOR EACH OF THE SELECTED ISSUES:
 - PARTICIPANT AND DOE EVALUATE
OWN PROGRAM
 - DISCUSS FINDINGS WITH OTHER
GROUPS
 - DEVELOP ACTION PLAN
 - REVISE YOUR PROGRAM
 - MEET AND EVALUATE
ACCOMPLISHMENTS

INTEGRATED RECOMMENDATIONS

RECOMMENDATION - SHORT TERM

THE WORKSHOP PARTICIPANTS FELT STRONGLY THAT SOME SHORT-TERM SUCCESSES FOR SELECTED ISSUES ARE VERY IMPORTANT.

1. FOCUS ON PRACTICAL SOLUTIONS FOR SHORT-TERM ACCOMPLISHMENTS

AREAS SELECTED WERE:

- A. TECHNICAL PUBLICATIONS:
REQUIREMENTS, STREAMLINE AND TRAIN
- B. EFFECTIVENESS OF TRAINING
- C. SIMPLIFICATION AND FLEXIBILITY OF PROCEDURES
- D. CLARIFY, SIMPLIFY AND ADD TRACEABILITY TO THE DOCUMENT HIERARCHY

OTHER RECOMMENDATIONS

2. ESTABLISH A TECHNICAL ADVISORY GROUP ON QA TO PARTICIPATE WITH QA PERSONNEL AND MANAGEMENT IN QA DECISION MAKING.
3. ESTABLISH A FORUM FOR TECHNICAL/ QA/MANAGEMENT EXCHANGE.
4. DEVELOP DOE/NRC INTERACTIONS, INCLUDING LICENSING WORKSHOPS.
5. ENSURE THAT THE QA PROGRAM MAKES MAXIMUM USE OF THE SCIENTIFIC METHOD.
6. ESTABLISH AN APPEALS PROCESS.

KEY POINTS FOR PRESENTATION

THE PARTICIPANTS LISTED THEIR KEY POINTS THAT THEY FELT WERE IMPORTANT FOR PEOPLE TO HEAR:

- **NEED FOR SCIENTIFIC INVOLVEMENT**
- **AGREEMENT ON PROBLEM, GOAL**
- **MANY PROBLEMS ARE GLOBAL PROBLEMS**

WHAT WE WANT MANAGEMENT TO DO:

- REVIEW PROBLEMS AND RECOMMENDATIONS.
- WE ARE COMMITTED TO FOLLOWING THROUGH ON THESE RECOMMENDATIONS (LONG-TERM COMMITMENT), BUT WE NEED SUPPORT.
- SCIENTISTS, ALL OF US, MUST SEE PROGRESS, AND THEN WE'LL BECOME VERY INVOLVED.
- ENSURE COMMUNICATION BACK TO GROUP.
- INITIATE SAME PROCESS FOR SOFTWARE.

THE FOLLOWING STATEMENT IS A MESSAGE THAT I HAVE CONVEYED TO THE PARTICIPANTS AND TO YOU:

I WOULD LIKE TO TELL YOU HOW OPTIMISTIC I AM. WE NOW HAVE AN ENTHUSIASTIC CORE GROUP OF SCIENTISTS, QA PEOPLE AND TPOs WILLING TO WORK TOGETHER TO RESOLVE OUR DIFFERENCES.

THEY HAVE GIVEN US SIX WORKABLE SOLUTIONS AND THEIR OVERWHELMING SUPPORT FOR CONTINUING THE PROBLEM SOLVING PROCESS.

I AM VERY PLEASED WITH THEIR RESULTS; NOT ONLY THEIR SOLUTIONS, BUT MORE IMPORTANT, THEIR SYNERGISTIC TEAM SPIRIT.

I BELIEVE WE HAVE A MOMENTUM NOW THAT WILL BRING US CONTINUING GOOD NEWS IN THE FUTURE.

PARTICIPANT LIST - OCTOBER 10-12

DOE

1. Susan Jones, Geologist
2. Joe Caldwell, QA Consultant
MACTEC (Workshop Leader/Organizer)

LANL

3. Ned Patera, Tech. Coordinator
4. Steve Bolivar, QA Manager
5. Henry Nunes, QA Liaison
6. Dick Herbst, TPO

LLNL

7. Dale Wilder, Tech. Area Leader
8. Richard Van Konynenburg, Principal Investigator
9. David Short, QA Manager
10. Leslie Jardine, TPO

SNL

11. Ron Price, Sr. Mbr. Tech. Staff
12. Bob Richards, QA Manager
13. Tom Blejwas, TPO
14. Joe Schelling, Sr. Mbr. Tech. Staff

USGS

15. John Stuckless, Geologist
16. Bill Steinkampf, Hydrologist
17. Davel Appel, Manager, QA Office
18. Tom Chaney, Assoc. Ch., QA Office
19. Larry Hayes, TPO

EEI

20. Tom Calandrea, Quality Consultany

FACILITATORS

21. Herb Worsham
22. Cathie Martin

OBSERVERS

US NRC

23. John Gilray, Sr. Site Rep.
24. Paul Prestholt, Sr. Site Rep.

Nye County

25. Short time, 10/25 only,
Phillip Niedzielski-Eichner

VISITORS

26. Don Horton
27. Carl Gertz