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Lockheed Idaho Technologies Company National Environmental Policy Act Guidance -- A Model Process

Bruce M. Angle
Vee Ann T. Lockhart
Barbara D. Serna
Lee C. Tuott

Project Leader
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Idaho National Engineering Laboratory
Lockheed Idaho Technologies Company
Idaho Falls, Idaho 83415

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ABSTRACT

The "Model National Environmental Policy Act (NEPA) Process" includes: references to regulations, guidance documents, and plans; training programs; procedures; and computer databases. Legislative Acts and reference documents from Congress, U. S. Department of Energy, and Lockheed Idaho Technologies Company provide the bases for conducting NEPA at the Idaho National Engineering Laboratory (INEL). Lockheed Idaho Technologies Company (LITCO) NEPA / Permitting Department, the Contractor Environmental Organization (CEO) is responsible for developing and maintaining LITCO NEPA and permitting policies, guidance, and procedures. The CEO develops procedures to conduct environmental evaluations based on NEPA, Council on Environmental Quality (CEQ) regulations, and DOE guidance. This procedure includes preparation or support of environmental checklists, categorical exclusion determinations, environmental assessment determinations, environmental assessments, and environmental impact statements. In addition, the CEO uses this information to train personnel conducting environmental evaluations at the INEL. Streamlining these procedures fosters efficient use of resources, quality documents, and better decisions on proposed actions.

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PREFACE

This document responds to DOE-ID's Cost-Plus-Award-Fee (CPAF) requirement as stated in LITCO's CPAF Action Plan for October 1, 1994 to March 31, 1995, to "create a model NEPA process that is streamlined and cost-effective." To accomplish this, LITCO relied on DOE, DOE-ID, and LITCO reference documents (e.g., NEPA Compliance Manual, Code of Federal Regulations [CFR] 10 CFR 1021, LITCO Environmental Procedure Manual EM-6, adopted by LITCO), and legislative acts and regulations [e.g., NEPA and Council on Environmental Quality (CEQ) Regulations]. In addition, LITCO reviewed DOE's *Programmatic Spent Nuclear Fuel Management and Idaho National Engineering Laboratory Environmental Restoration and Waste Management Programs Environmental Impact Statement* process. The authors have included a few LITCO planning documents in the appendix and cited others but, because of space, reference most DOE guidance and reference documents. The Model NEPA Process (MNP) is a companion to two other INEL documents: the INEL Model Permitting Process and the INEL Implementation Plan. Together, these documents provide guidance for regulatory and permitting activities at the INEL, and the "how to" of carrying out the defined procedures.

INEL's MNP serves as the primary guide to LITCO's NEPA / Permitting Department staff in conducting environmental evaluations at the INEL. This document ensures a consistent approach to environmental evaluations, NEPA document preparation and review, NEPA training, follow-up reviews, and document identification and tracking. The MNP is a quality process, and LITCO's NEPA / Permitting Department is committed to giving DOE a quality product (e.g., environmental evaluations, environmental checklists, categorical exclusions, and environmental assessments).

To reference this report in other documents use the following:

> Irving, J. S., B. M. Angle, V. T. Lockhart, B. D. Serna, and L. C. Tuott, 1995, *Lockheed Idaho Technologies Company National Environmental Policy Act Guidance – A Model Process*, INEL-95/0134, April 1995.

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ACRONYMS

CEO	Contractor Environmental Organization
CEQ	Council on Environmental Quality
CFR	Code of Federal Regulations
CPAF	Cost-Plus-Award Fee
CX	categorical exclusion
DOE	U.S. Department of Energy
DOE-ID	U.S. Department of Energy, Idaho Operations Office
EA	environmental assessment
EIS	environmental impact statement
ESD	Environmental System Database
FONSI	Findings of No Significant Impact
INEL	Idaho National Engineering Laboratory
LITCO	Lockheed Idaho Technologies Company
MNP	Model NEPA Process
NEPA	National Environmental Policy Act
RCRA	Resource Conservation and Recovery Act
ROD	Record of Decision
USC	United States Code

Lockheed Idaho Technologies Company NEPA Guidance -- A Model Process

INTRODUCTION

The Idaho National Engineering Laboratory's (INEL) Model National Environmental Policy Act (NEPA) Process (MNP) outlines procedures for identifying, evaluating, documenting, and tracking, NEPA actions at the INEL. This includes training Lockheed Idaho Technologies Company (LITCO) personnel in complying with NEPA and carrying out Council on Environmental Quality (CEQ) regulations and U. S. Department of Energy (DOE) 10 Code of Federal Regulations (CFR) 1021. The process uses DOE and LITCO plans and guidance documents to develop the best procedures for complying with NEPA. This document will help LITCO personnel ensure cost-effective quality documents for the U. S. Department of Energy, Idaho Operations Office (DOE-ID).

Background

On January 1, 1970, President Nixon signed NEPA into law. In the following years, NEPA has become the basic policy-setting Federal law relating to protection of the environment. NEPA requires federal agencies to consider environmental values and factors in agency planning and decision-making. As stated in DOE regulations 10 CFR 1021, full compliance with the letter and spirit of NEPA is an essential priority for the DOE. NEPA provides a comprehensive method of decision making for government and industry. This method has evolved to include a systematic process of scoping, analysis, evaluation, recommendation, and decision making. Section 102(2)C of NEPA requires that a detailed statement (e.g., environmental assessments [EA] and environmental impact statements [EIS]) shall be "included in every recommendation or report on proposals for legislation and other major Federal actions significantly affecting the quality of the human environment" (NEPA, PL 91-19, 42 USC 4321-4347).

All proposed actions involving any federal agency must undergo a review in accordance with NEPA to identify and evaluate potential environmental impacts. The DOE recognizes the need to provide guidance (see later section) to carry out the mandates of the NEPA and the regulations of the CEQ. Therefore, DOE, through the Office of Environment, Safety and Health, has established a strategic goal to provide quality technical assistance to meet the needs of environmental evaluations. These documents foster sound and efficient environmental decision making. The authors of this document use these and other documents to develop the MNP for the INEL.

Over the past two decades, DOE and site contractors have provided environmental evaluations for major federal actions at the INEL. Since October 1994, LITCO has provided this service as the primary contractor for the INEL. These evaluations include documents ranging from categorical exclusions (CXs) to EISs. LITCO's Cost Plus Award Fee Action Plan requires the NEPA/Permitting Department to develop a Model NEPA Process. It is the goal of LITCO to a) "develop a streamlined and cost-effective Model NEPA process" and b) continue giving DOE-ID quality environmental evaluations and documents. This document gives specific guidance and procedures to achieve these goals.

Contractor Environmental Organization

The NEPA/Permitting Department of LITCO's Regulatory Affairs Department serves as the Contractor Environmental Organization (CEO) for the DOE-ID. The CEO is responsible for developing and maintaining LITCO NEPA and permitting policies, guidance, and procedures. This includes the preparation of appropriate NEPA documents and permits. The mission of the

Regulatory Affairs Division is to a) develop and maintain LITCO regulatory policy and guidance and b) minimize and eliminate barriers to doing business at the INEL. In addition, the Department acts as the point-of-contact and lead negotiator with DOE-ID and outside regulatory agencies.

Regulatory Affairs, organized around key functional areas, has two main thrusts: NEPA/Permitting and Regulatory Policy & Guidance (see Figure 1). Regulatory Affairs maintains a core group of scientists with a cross-section of disciplines ranging from ecology to land use planning. Also, personnel are highly trained, with many years of experience in NEPA and Regulatory/Permitting areas.

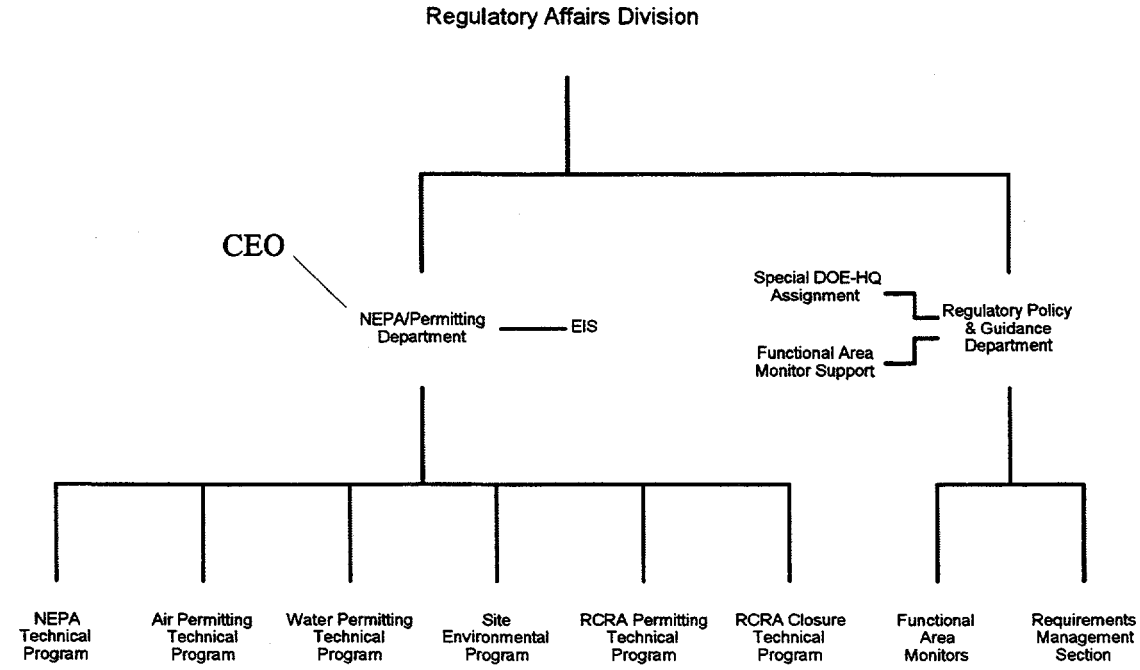


Figure 1. Lockheed Idaho Technologies Company's Regulatory Affairs Division structure.

REGULATIONS, GUIDANCE, AND PLANS

Regulations

The CEO must ensure that LITCO, as a DOE contractor, complies with all applicable federal, state, and local regulations in its daily NEPA and permitting activities. The following documents have established federal and DOE NEPA regulations:

- NEPA of 1969, as amended (42 USC 4321-4347), declared a national policy of greater environmental awareness by requiring a systematic, interdisciplinary review of major Federal actions and established the CEQ as the implementing agency. This act required the preparation of new environmental documentation or the review of existing documentation. This environmental documentation must assess the environmental impacts of the action; propose and assess alternatives to the action, if any; and state any irreversible and irretrievable commitments of resources involved in the proposed action, should it be carried out. Also required is consultation with federal, state, and local agencies with jurisdiction over or an interest in the proposed action.

- CEQ regulations (40 CFR 1500) published general guidelines for the preparation of environmental impact statements, environmental assessments, and categorical exclusions.

- DOE NEPA implementing regulations (10 CFR 1021) apply the general guidance in the CEQ regulations to substantive DOE projects and tasks.

- DOE Orders 5400.1 and 5400.1E identify the assignments and responsibilities for DOE officials and departments.

- DOE-ID Supplemental Directive 5440.1, "Implementation of the National Environmental Policy Act" provides supplemental guidance for DOE-ID officials and departments.

Guidance

The CEO depends on the following guidance documents prepared by DOE, LITCO, and other entities to ensure quality NEPA documents:

- *Environmental Compliance Planning Manual at the Idaho National Engineering Laboratory*, DOE/ID-10166, Rev. 3, April 1993. Appendix A, "NEPA Compliance Planning, Review, and Documentation Process," provides guidance on making NEPA determinations.

- DOE NEPA Compliance Guide, Volumes I and II.

- *Style, Content, and Format Guide for Preparing Environmental Assessments for the Department of Energy - Draft*, SAND94-0220. Summarizes and illustrates guidance on how to prepare EAs as one step to comply with NEPA.

- *Recommendations for the Preparation of Environmental Assessments and Environmental Impact Statement*, DOE Office of NEPA Oversight, May 1993 ("Green Book"). Provides guidance for the DOE's preparation of EAs and environmental impact statements under NEPA.

- DOE Environmental Assessment Checklist (see Appendix D). The Environmental Checklist is an aid in preparing and reviewing DOE EAs prepared pursuant to NEPA.

- *Effective Public Participation under the National Environmental Policy Act*, Office of NEPA Policy and Assistance, DOE, December 1994. Provides guidance to DOE for involving the public effectively and meaningfully.

Plans

The following documents carry out the requirements for contractors to have processes in place to provide delegation of authority for approval of environmental assessments (EAs) to the Field Offices (Secretary of Energy in the June 13, 1994 *Memorandum for Secretarial Officers and Heads of Field Elements*). Where possible, these documents incorporate the concepts of corresponding DOE-ID documents prepared in response to the EA delegation authority (see Appendix A).

- Contractor Environmental Organization *Internal Scoping Procedures for Environmental Assessments at the Idaho National Engineering Laboratory*
- Contractor Environmental Organization *Public Involvement Plan for Environmental Assessments at the Idaho National Engineering Laboratory*
- Contractor Environmental Organization *Quality Program Plan for Environmental Assessments at the Idaho National Engineering Laboratory.*

The NEPA CEO uses these documents to ensure commitment to excellence, the pursuit of quality, full public participation, and adequate scoping of all NEPA activities. These plans are dynamic documents that, through revisions, respond to "lessons learned" and new information and requirements.

Internal Scoping Procedures. The purpose of internal scoping for DOE-ID EAs is to develop quality and timely EAs to support better decisions. This is accomplished by focusing on the issues of concern and by designing the scope, schedule, and content of each EA early in the decision-making process. The internal scoping process fosters a common understanding between DOE and the LITCO regarding the following: the action to be evaluated; the project decisions supported by the NEPA process; the scope and content of the EA; the depth of analysis; environmental issues; and the schedule.

Public Involvement Plan. The success of the NEPA process at DOE-ID depends on a strong and serious commitment to public involvement. Guidance for enhanced public involvement is identified in the DOE Secretary's July 1994 *Guidance on Implementation of the Department's Public Participation Policy.* In the August 1994 *Public Involvement Plan for the Implementation of the National Environmental Policy Act at the Idaho National Engineering Laboratory*, DOE-ID stated that NEPA activities would meet the full intent of this policy and the requirements set forth by CEQ and DOE-ID's Office of Communications.

The CEO will amend the Public Involvement Plan as necessary to meet the evolving requirements of the public participation process and environmental justice policies as outlined in Executive Order 12898. The order calls for agencies to identify and address, ". . . disproportionately high and adverse human health or environmental effects of its programs, policies, and activities on minority populations and low-income populations in the United States . . ."

Quality Program Plan. LITCO's Quality Program Plan (QPP) and the QPP for the Spent Nuclear Fuel (SNF) and INEL Environmental Restoration & Waste Management (ER&WM) EIS Project state the CEO Quality Assurance Program requirements for NEPA. This program conforms to the requirements for compliance with NEPA for all proposed DOE activities affecting the quality of the environment. In addition, LITCO's QPP is used with the Internal Scoping Procedures and the Public Participation Plan for NEPA at the DOE-ID.

TRAINING

LITCO Regulatory Affairs is committed to provide quality environmental evaluations and documents cost-effectively. To maintain this level of quality, the Regulatory Affairs Department requires annual training of NEPA/Permitting personnel and other LITCO program personnel doing environmental evaluations at the INEL. In addition, CEO personnel responsible for NEPA evaluations and compliance regularly attend DOE-sponsored NEPA training meetings. Also, the CEO requires certification, through an approved NEPA course (e.g., Shipley's) or 10 years of experience in environmental evaluations, for personnel working on environmental assessments and environmental impact statements. To expand their knowledge of regulatory requirements and issues, CEO personnel often participate in other training programs (e.g., RCRA, air, and water regulations). Table 1 shows the NEPA training level classifications required to do different types of environmental evaluations (e.g., environmental checklists, categorical exclusion, environmental assessment) at the INEL.

LITCO's goal is to provide environmental evaluations and documents that are concise, timely, technically accurate, and cost-effective. Training allows personnel the opportunity to remain familiar with NEPA and CEQ regulations; DOE regulations, orders, and guidelines; and LITCO policies and standards. Besides annual training, personnel hold frequent (at least bimonthly) staff meetings to discuss issues related to procedure, regulatory interpretation, and individual documents. This ensures the most recent application of NEPA and CEQ regulations for the INEL.

A secondary goal of the training program consists of educating project managers and other project personnel in the use of NEPA as an environmental planning tool. The objective is to get project managers to integrate NEPA into project planning to foster early application of the MNP to help better define the proposed action, identify potential alternatives, and comply with permits and approvals. The CEO provides this training on an as needed basis.

Table 1. NEPA Authorization Levels.

NEPA Authorization Level	Description	Requirements
NEPA I	Routine Maintenance without conditions	Annual training and certification by LITCO's NEPA/Permitting Department
NEPA II	Environmental Checklists, Approved Categorical Exclusion (e.g., generic & sitewide), Categorical Exclusion Determinations, & NEPA I Authorized Documents	Same as NEPA I plus specific training related to generic & sitewide categorical exclusion, categorical exclusion determinations, & annual DOE-ID training. Requires CEO approval.
NEPA III	Environmental Assessment, Environmental Impact Statement Support, & NEPA I & II Authorized Documents	Same as NEPA I & II plus completion of approved NEPA course (e.g., Shipley) or 10 years experience in environmental evaluations. Requires CEO approval.

PROCEDURES

Crosscutting Program Execution Guidance

DOE-ID has developed guidance for those activities that have a global impact on INEL programs. LITCO Regulatory Affairs incorporated this guidance in the processes described in the subsequent subsections. To carry out the 1994 Secretarial NEPA Policy Statement fully, the following are adopted as part of the LITCO's MNP:

- Consider NEPA early and take into account environmental, natural resource and land use issues, and programmatic requirements in the planning process. This assumes and requires a formal comprehensive long-range planning process.

- Use an interdisciplinary team, reflecting technical, environmental, or natural resource disciplines, to prepare, discuss, address, or analyze NEPA documents.

- Formal transmittal to DOE-ID under the contractor's letterhead and signed by a contractor official with responsibility for contractor NEPA compliance is formal assurance of the adequacy of the document in every respect, i.e., reflects the contractor's best effort.

- Project/actions will not be funded or undertaken that commit DOE-ID to a single course of action before the appropriate review and approval of associated NEPA documentation.

EC Preparation, Review, and Analysis

Proposed actions involving any federal agency must undergo a review in accordance with NEPA to identify and evaluate potential environmental impacts. Project managers are required to contact the CEO, to coordinate NEPA analysis for INEL activities. This review process uses a sliding-scale approach to NEPA analysis based on the spectrum of significance of environmental impact. Sliding-scale means that proposed actions with clearly small environmental impacts require less depth and breadth of analysis and review. The depth and breadth of analysis and personnel training requirements increase, as proposed actions get increasingly closer to the other end of the scale. This approach embodies instruction that CEQ provides in 40 CFR 1502.1 and 1502.2.

Environmental evaluations begin with preparation and submittal of an Environmental Checklist (EC) (Figure 2 and Appendix B and C). The EC identifies the proposed action, its purpose and need, and related actions, so that cumulative impacts can be properly addressed. This helps to minimize the number of documents that are prepared and reviewed. The CEO uses the EC to a) identify environmental impacts, b) identify regulatory requirements, and c) decide the level of NEPA analysis for a proposed action. Potential decisions include:

- Continuation of ongoing operations (not a new action)

- Coverage by an existing CX Determinations, EA, or EIS

- 10 CFR 1021, Appendix A, to subpart D, CX applicable to general agency actions

- 10 CFR 1021, Appendix B, to subpart D, CXs applicable to specific agency actions

- 10 CFR 1021, Appendix C to subpart D -- Classes of actions that normally require EAs but not necessarily EISs (These actions may have potentially significant environmental impacts and the preparation of an EA is warranted to decide whether an EIS should be prepared.)

- 10 CFR 1021, Appendix D to subpart D -- Classes of actions that normally require EISs

- EIS as a major federal action (based on CEQ/DOE requirements)

- Actions not found in 10 CFR 1021, Appendix A, B, C, or D to subpart D — Requires an environmental assessment determination (EAD)

Timely development of an EC ensures that INEL activities receive cost-effective NEPA analysis. This analysis is conducted by CEO personnel with assistance provided from technical subject matter experts (e.g., air, water, hazardous substances). Upon completion of NEPA documentation, field follow-up occurs to ensure that the action takes place as described in the NEPA documentation. Besides the documentation identified in the section, "Reference Documents," the following documents are used to develop ECs:

- DOE-ID Environmental Checklist (electronic version)

- LITCO NEPA/Permitting "Guidance for Preparation of Environmental Checklists"

- LITCO Environmental Protection "Multimedia Follow-through Evaluations"

- LITCO INEL Model Permitting Process.

EA Process

An EA identifies those classes of actions that normally require preparation of EAs but not necessarily EISs. An EA is prepared following CEQ regulations (40 CFR 1500-1508), DOE regulations and guidance documents, and LITCO procedures (see Appendix D). An EA provides information to decision makers on whether to prepare a Finding of No Significant Impact (FONSI) or EIS. The CEO prepares EAs under the direction of DOE-ID Document Managers and is responsible for:

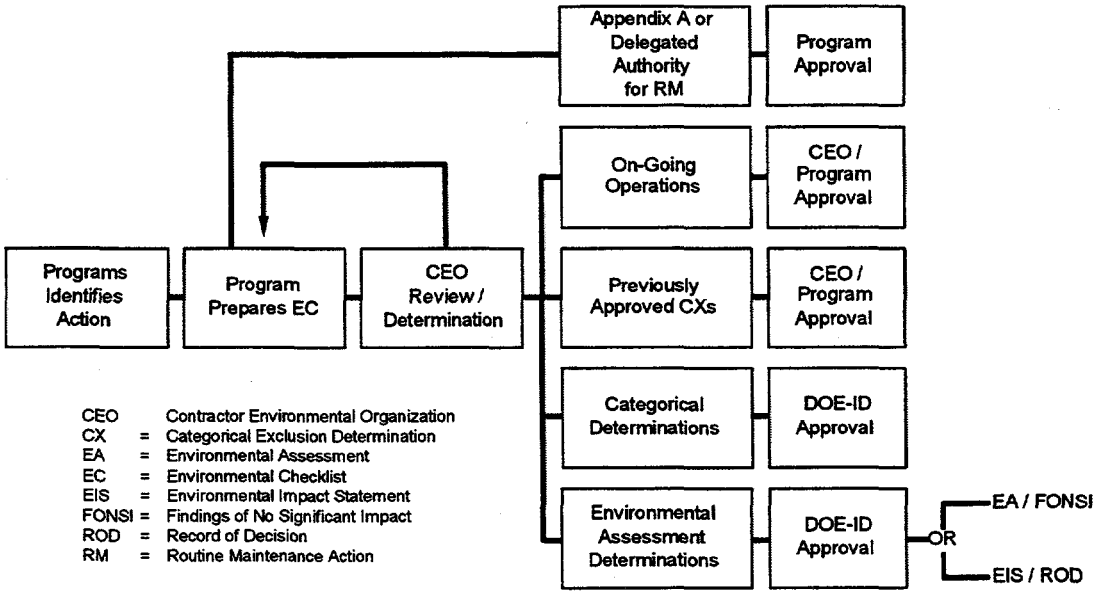


Figure 2. Environmental Assessment Process.

- Identifying and evaluating, in detail, the affected environmental resources (significant issues)
  - Eliminating nonsignificant or previously discussed issues
  - Developing an appropriate public involvement strategy
  - Maintaining a planning record and quality document record
  - Fulfilling the review and consultation requirements of applicable and relevant environmental laws
  - Documenting the results of the analysis.

Figure 3 illustrates the responsibilities and extent of the EA development process (see Appendix D for details). In addition, EA preparers use DOE's guidance document, "Recommendation for the Preparation of Environmental Assessments and Environmental Impact Statements" (see section on GUIDANCE, page 3). The CEO uses a sliding scale approach when preparing an EA. This approach recognizes that agency proposals fall somewhere on a continuum with respect to environmental impacts. The term "scale" refers to the spectrum of significance of environmental impact. Generally, those proposals with greater potential for significant environmental impact require more analysis that those proposals with very small environmental impacts.

EIS Process

LITCO participates in the EIS process as directed by DOE and within the guidelines formed by the DOE EIS Project Management Plan (see Appendix E). The EIS Project Management Plan assures that the requirements of NEPA are met and

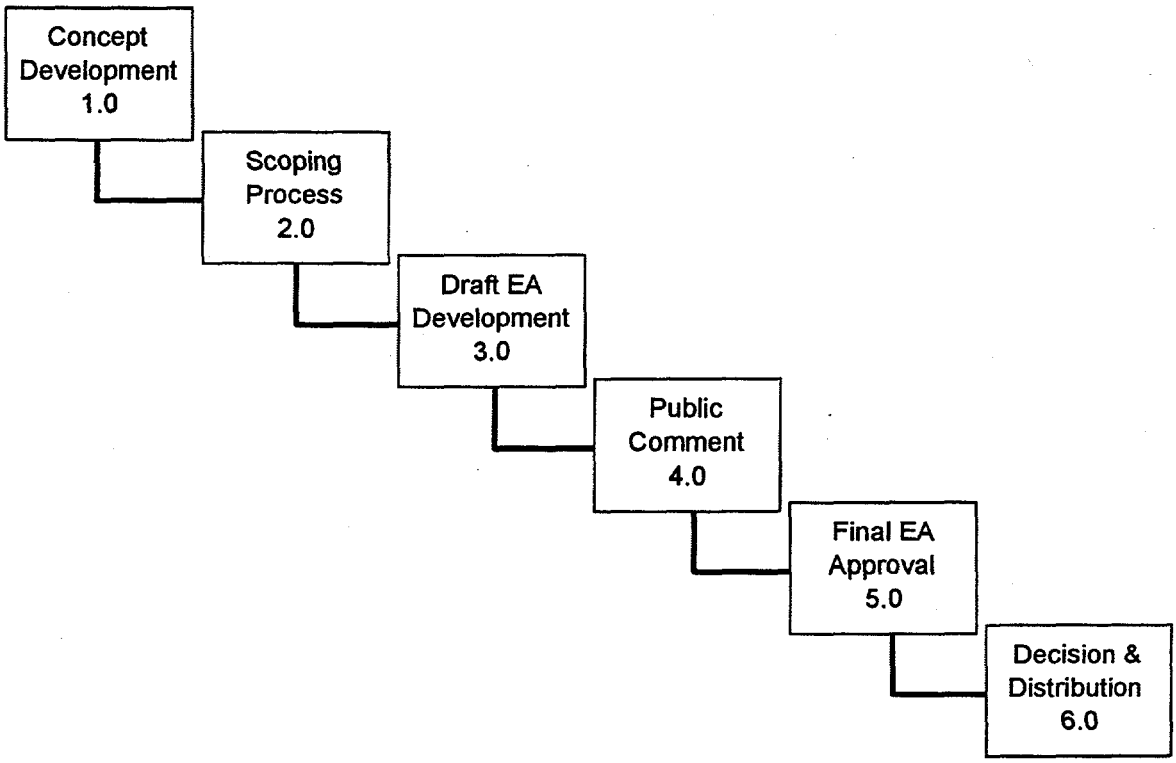


Figure 3. Environmental Assessment Procedures (see Appendix B).

that no conflict of interest exists. LITCO provides support in five areas: Management, Technical, Infrastructure, EIS Closure, and EIS Implementation.

Management Support. LITCO provides full-time representatives on an EIS Project Team to ensure that an interface exists between senior LITCO management and DOE EIS Project management. Routine meetings are held between LITCO management and EIS Project Management to provide a forum for discussing routine EIS support matters and for resolving EIS-related issues. Direct interface with the LITCO Director of Regulatory Affairs biweekly assures timely LITCO support and timely surfacing and resolution of issues.

Technical Support. LITCO provides full-time technical representatives on an EIS Project Team to ensure that technical support is provided as requested by DOE. These representatives serve as points-of-contact for DOE and other project personnel and assist in providing access to LITCO technical expertise and documentation needed by the EIS Project. The technical representatives also maintain an interface with DOE Program Offices to assure that program-related issues are resolved and to assure that the EIS adequately supports the DOE Programs. When doing work for the EIS project, LITCO personnel conduct activities in compliance with the DOE EIS Project Management Plan and associated procedures. This assures activities meet project needs and are properly documented in the project files and administrative record.

Infrastructure Support. LITCO provides infrastructure services to support DOE preparation of an EIS. To ensure access, LITCO maintains a full-time representative on the EIS Project. This representative reports directly to DOE, with access to appropriate personnel and services. Services such as modeling and characterization are conducted under DOE direction in conformance with the EIS Project's Technical Guideline Handbook. Other infrastructure services are conducted according to the EIS Project Management Plan and procedures.

EIS Closure Support. LITCO provides administrative and technical support for EIS project closeouts upon completion of an EIS. LITCO technical representatives work with the DOE Program Offices and LITCO programs to assure their cognizance of the EIS contents, obtain DOE Program Office concurrence with the EIS contents where required, and to support preparation of mitigation action plans. Additionally, LITCO personnel support DOE in archiving the administrative record and project files and maintaining data bases and other information, as determined by DOE, for use in the preparation of other documents, including tiered NEPA documents.

EIS Implementation. Following publication of the EIS and the Record of Decision, the LITCO technical representatives serve as points-of-contact within the company. They make recommendations of whether proposed activities are covered under the EIS or other existing NEPA documents or whether an activity requires additional NEPA documentation. The LITCO representative consults with DOE and, if necessary transmits the recommendation to DOE for a NEPA determination before proceeding with the work. If the activity is clearly covered by existing NEPA documentation, including the EIS, a separate determination by DOE may not be required.

ENVIRONMENTAL SYSTEM DATABASE

The CEO maintains a relational database to track NEPA documents, conditions, and permits. The Environmental System Database (ESD) allows real-time tracking of descriptive and status information for NEPA documents and regulatory permits. Microsoft Access™ version 2.0 provides the basic code and modules for the database. The ESD links several databases together, including information for environmental, water, air, and hazardous waste issues (Figure 3). There are thirty-three NEPA related fields and over two thousand records (see Appendix E).

The CEO uses the ESD to support other LITCO Programs, DOE-ID, and the public. Real-time tracking of NEPA documents allows current status on projects' NEPA compliance, including conditions placed on proposed actions. The database gives an overview of INEL activity (e.g., proposed actions) and the level and status of NEPA documentation for LITCO, DOE-ID, and the public. Information from the ESD is given to DOE-ID for review and use for their NEPA Planning Board and distribution to the public.

Currently the NEPA portion of the database has thirty-two fields and over 2000 records. (Table 2) The Environmental System Database (ESD) is being revised. The ESD gives the CEO, LITCO Programs, and DOE-ID with real time status updates and reports.

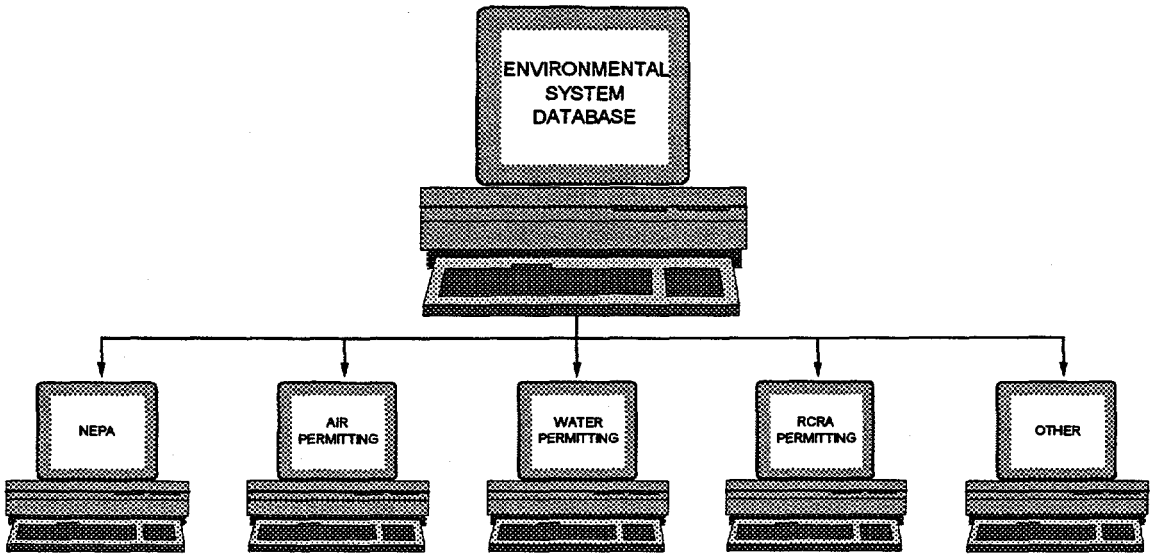


Figure 4. Diagrammatical View of the Environmental System Database.

Table 2. Environmental System Database Fields.

Number	Name	Description
1	ITEM NUMBER	Tracking Number
2	DOCUMENT NUMBER	NEPA Document Number
3	PROJECT NUMBER	Project Number
4	PROJECT TITLE	Project Title
5	PROGRAM CONTACT	LITCO Program Contact
6	DOE-ID CONTACT	DOE-ID Program Contact
7	LITCO DIVISION	LITCO Division
8	LITCO CEO STAFF	LITCO CEO Staff
9	DATE RECEIVED	Date Received by CEO
10	DATE COMPLETED	Date Completed by CEO
11	NEPA LEVEL	NEPA Level Recommendation
12	REFERENCE	Reference
13	PROJECT STATUS	Project Status
14	STATUS CHANGE DATE	Date of Last Status Change
15	COMMENTS	Comments
16	CONDITION(S)	Environmental / Permit Conditions
17	YEAR	Year Submitted
18	PRIORITY	Priority of Project
19	ISSUES	Issues (Y/N)
20	NEPA ISSUES	NEPA Issues
21	AIR ISSUES	Air Permitting Issues
22	WATER ISSUES	Water Permitting Issues
23	RCRA ISSUES	RCRA Permitting Issues
24	MISC ISSUES	Miscellaneous Issues
25	DOCUMENT RETURNED	Document Returned from DOE-ID
26	QUALITY RECORD?	Is Document a Quality Record (Y/N)
27	MICROFICHE NUMBER	Microfiche Number
28	LONG-RANGE PLAN?	Part of Long-Range Plan? (Y/N)
29	PROJECT DESCRIPTION	Brief Project Description
30	ERC_ID	ERC Identification Number
31	WINCO DATABASE	From WINCO Database
32	EG&G DATABASE	From EG&G Database
33	SMC DATABASE	From SMC Database

GLOSSARY

Categorical Exclusion. A category of actions (see Appendix A or B to subpart D of 10 Code of Federal Regulations 1021) that do not individually or cumulatively have a significant effect on the human environment and have been found to have no such effect in procedures adopted by a Federal agency and for which, neither an environmental assessment nor an environmental impact statement is required.

Contractor Environmental Organization. The organization responsible for NEPA and permitting documentation for U. S. Department of Energy's Idaho National Engineering Laboratory.

Cost Plus Award Fee. An award fee given to U. S. Department of Energy contractor for services provided. Fee amount related to contractor performance and reviews.

Council on Environmental Quality Regulations. The regulations issued by Council on Environmental Quality established by Title II of the National Environmental Policy Act.

Computer Database. A computer file containing specific information. Computer databases have input, edit, search, and report capabilities.

Environmental Assessment. A concise public document for which a Federal agency is responsible that serves to: (1) briefly provide sufficient evidence and analysis for determining whether to prepare an environmental impact statement or a finding of no significant impact, (2) aid agency's compliance with National Environmental Policy Act when no environmental impact statement is necessary, and (3) facilitate preparation of an environmental impact statement when one is necessary.

Environmental Assessment Determination. A document used by the U. S. Department of Energy to determine the need for an environmental assessment. An Environmental Assessment Determination provides the U. S. Department of Energy with issues, impacts, and alternatives of the proposed action.

Environmental Checklist. A the U. S. Department of Energy form used to describe the impact of a proposed action. The environmental checklist is used to determine the level of National Environmental Policy Act documentation required for a proposed action.

Environmental Impact Statement. A detailed written statement as required by section 102(2)(c) of National Environmental Policy Act.

Finding of No Significant Impact. A document by a Federal agency briefly presenting the reasons why an action, not otherwise excluded, will not have a significant effect on the human environment and for which an environmental impact statement therefore will not be prepared. It shall include the environmental assessment or a summary of it and shall note any other environmental documents related to it.

National Environmental Policy Act. The National Environmental Policy Act of 1969 (42 United States Code 4321 *et. seq.*). An Act to establish a national policy for the environment, to provide for the establishment of a Council on Environmental Quality. The purpose of the Act are: To declare a national policy which will encourage productive and enjoyable harmony between man and his environment; to promote efforts which will prevent or eliminate damage to the environment and biosphere and stimulate the health and welfare of man; to enrich the understanding of the ecological systems and natural resources important to the Nation; and to establish a Council on Environmental Quality.

Major Federal Action. Includes actions with effects that may be major and which are potentially subject to Federal control and responsibility.

APPENDICES

Appendix A - Lockheed Idaho Technologies Company Plans

CONTRACTOR ENVIRONMENTAL ORGANIZATION
INTERNAL SCOPING PROCEDURES FOR ENVIRONMENTAL ASSESSMENTS
AT THE IDAHO NATIONAL ENGINEERING LABORATORY

August 1994

Prepared for the
U.S. Department of Energy
Idaho Operations Office
Idaho Falls, Idaho

I. Purpose of Internal Scoping. The purpose for internal scoping (see definition) for DOE-ID Environmental Assessments (EA) is to provide for the development of quality EAs in a timely manner to support better decisions. This will be accomplished by focusing on the issues of concern, and by designing the scope, schedule and content of each EA early in the decision making process. Internal scoping will foster a common understanding between DOE and the INEL regarding the following: the action to be evaluated; the project decisions that would be supported by the NEPA (National Environmental Policy Act) process; the scope and content of the EA; the depth of analysis needed; environmental issues to be assessed; and the schedule for the EA process. Internal scoping should result in an agreement on these issues, and should designate an INEL NEPA Document Manager (DM - see definition).

II. Timing of Internal Scoping. Internal scoping should occur as early in the project planning as possible, so that the EA process will support quality decision making. This typically occurs following the DOE-ID determination that an EA is the appropriate level of NEPA documentation.

III. Participation in Internal Scoping. Participants in the internal scoping process for an EA will include representatives from DOE-ID and INEL. These would generally include the personnel listed below. The NEPA Compliance Officer and the INEL NEPA DM will provide the leadership and coordination for conducting the internal scoping.

- The DOE-ID NEPA Compliance Officer, INEL NEPA Compliance Officer, and DOE Liaisons.
- The INEL NEPA Document Manager.
- The INEL Program project managers, and key contractor staff as appropriate.
- The INEL NEPA Support Staff (see definition).
- The NEPA Planning Board (see definition).
- Representatives from HQ Program Offices, Environment, Safety, and Health (EH), General Counsel (GC), other affected Operations Offices, States, tribes, etc. may be asked to participate by the DOE-ID NEPA Compliance Officer and the INEL DM to provide coordination, or their expertise and experience.

IV. Internal Scoping Process & Responsibility. As part of the internal scoping process the NEPA DM will coordinate with the DOE-ID NEPA DM to report progress to the DOE-ID NEPA planning board:

The NEPA DM is responsible for considering the Board's advice and complying with the Board's direction. The NEPA DM will report on how such advice was considered and how such direction was complied with at each Board meeting during the course of EA preparation through to the completion of the EA/FONSI (Finding of No Significant Impact) or determination to prepare an EIS.

V. EA Process. The Draft EA may be released to the public for review and comment in accordance with DOE implementing procedures. Comments will be evaluated and considered during the public review period.

VI. Definitions.

A. Internal Scoping Internal scoping is; 1) an integral part of the planning process, to review emerging and evolving actions and initiatives to anticipate, identify and plan for the appropriate level of NEPA documentation; 2) to determine issues and alternatives that need to be evaluated in an Environmental Assessment and the depth of analysis required; 3) to coordinate between offices and organizations the various efforts that are involved from project concept through to construction and operation. This includes but is not limited to, DOE-ID Operations Office and Idaho National Engineering Laboratory program staffing and approval, funding, design; environmental permitting, and NEPA review.

B. NEPA Planning Board The NEPA Planning Board is a DOE-ID board whose membership and mission are to provide guidance and direction concerning NEPA issues at the INEL.

C. NEPA Personnel Roles and Responsibilities For specific information regarding the roles and responsibilities of NEPA personnel, refer to the Draft Contractor Environmental Organization Quality Program Plan for Implementation of the National Environmental Policy Act at the Idaho National Engineering Laboratory.

PUBLIC INVOLVEMENT PLAN

CONTRACTOR ENVIRONMENTAL ORGANIZATION PUBLIC INVOLVEMENT PLAN FOR ENVIRONMENTAL ASSESSMENTS AT THE IDAHO NATIONAL ENGINEERING LABORATORY

August 1994

Prepared for the
U.S. Department of Energy
Idaho Operations Office
Idaho Falls, Idaho

INTRODUCTION

The success of the NEPA process at the Department of Energy-Idaho Field Office (DOE-ID) is dependent upon a strong and serious commitment to public involvement. Guidance for enhanced public involvement is identified in the DOE Secretary's July 1994 *Guidance on Implementation of the Department's Public Participation Policy.* In the August, 1994 *Public Involvement Plan for the Implementation of the National Environmental Policy Act at the Idaho National Engineering Laboratory*, DOE-ID has identified that NEPA activities will meet the full intent of this policy, as well as the requirements set forth by the Council on Environmental Quality (CEQ), and DOE-ID's Office of Communications.

This plan will be amended as necessary to meet the evolving requirements of the public participation process and environmental justice policies as outlined in Executive Order 12898. The order calls for agencies to identify and address "disproportionately high and adverse human health or environmental effects of its programs, policies, and activities on minority populations and low-income populations in the United States ... ."

VISION

Contractor Environmental Organization (CEO) personnel supporting DOE-ID's NEPA public involvement process will build public understanding and trust by striving to undertake public involvement activities in an honest and forthright way. Public involvement activities will include two-way communication that is open and on-going, and will be consistent, credible, and of the highest quality possible. NEPA materials will be easily accessible and will be presented in a manner that is easily understood by the public. All comments, questions, and suggestions will be given due consideration and handled fairly and openly. Personnel will also welcome suggestions for continuous improvement in the NEPA process and for opportunities for increasing their knowledge and skills in communication and public participation.

STAKEHOLDERS

Stakeholders are members of the general public who have demonstrated an interest in environmental activities at the INEL. The CEO will coordinate with DOE-ID to identify stakeholders and notify them of NEPA activities. Resources such as the July 1994 *Directory of Potential Stakeholders for Department of Energy Actions under the National Environmental Policy Act* will be used to identify stakeholders.

REQUIREMENTS

The CEO is committed to assist DOE-ID fulfill the NEPA public participation requirements set forth in the following:

- CEQ in 40 CFR 1506.6.
- DOE Secretarial *National Environmental Policy Act Policy Statement,* June 1994.
- DOE Secretarial Guidance on *Implementation of the Department's Public Participation Policy,* July 1994.
- *Public Participation Plan for the Idaho National Engineering Laboratory,* March 15, 1994.

To ensure consistency, quality, and thoroughness, all NEPA public participation activities will be coordinated with the DOE-ID Public Participation Coordinator and the Contractor's Public Relations organization.

ROLES/RESPONSIBILITIES

All individuals involved with NEPA activities are responsible for ensuring the quality, consistency, and readability of their product and will continually strive to improve communication and public participation skills through increased training.

The CEO will support enhanced public participation activities and will coordinate with the Contractor Community Relations organization and the DOE-ID Public Participation Coordinator to prepare advertisements, press releases, letters, fact sheets, and other literature, as well as to coordinate and plan public meetings concerning draft and final Environmental Assessments (EAs). Subject to direction provided by the DOE-ID NEPA NCO, the CEO will support public participation activities assuring that:

- Public involvement activities are properly scoped in the early planning stages and that these activities are funded and implemented. Scoping will include development of project specific public participation plans for projects that require the preparation of EAs.

- Final NEPA documents such as listings for Categorical Exclusion (CX) determinations, EAs, mitigation action plans, and EISs are available for review in designated Public Reading Rooms at the INEL Information Repositories identified in the *Public Participation Plan for the Idaho National Engineering Laboratory.*

- Public meetings are held to present the draft reports for all EAs;
  and that comments, questions, and concerns received on an EA will be included in an Appendix to the EA, with a discussion of DOE-ID's response to the comments, questions and concerns.

- Findings of No Significant Impact (FONSIs) are published in the *Federal Register* and notice of the availability of the FONSI is issued in accordance with the *Public Participation Plan for the Idaho National Engineering Laboratory.*

REVISION 0

EFFECTIVE ON FINAL APPROVAL DATE

CONTRACTOR ENVIRONMENTAL ORGANIZATION

QUALITY PROGRAM PLAN

FOR ENVIRONMENTAL ASSESSMENTS

AT THE

IDAHO NATIONAL ENGINEERING LABORATORY

PREPARED BY

LOCKHEED IDAHO TECHNOLOGIES COMPANY

FOR THE U.S. DEPARTMENT OF ENERGY

IDAHO OPERATIONS OFFICE

IDAHO FALLS, IDAHO

Approvals

Jay R. Mitchell _____
LITCO Regulatory Affairs, NEPA Compliance Officer Date

Carlos L. Tellez _____
LITCO Regulatory Affairs Director Date

Larry M. Coggins _____
LITCO QA and Oversight Director Date

IPDS Effective Approval Date _____

1. Purpose & Scope

1.1 Purpose

This Quality Program Plan (QPP) and the QPP for the Spent Nuclear Fuel (SNF) and Idaho National Engineering Laboratory (INEL) Environmental Impact Statement (EIS) Project state the Contractor Environmental Organization (CEO) Quality Assurance Program requirements for the National Environmental Policy Act (NEPA). This program conforms to the requirements for compliance with NEPA for all proposed DOE activities affecting the quality of the environment.

1.2 Scope

This QPP applies to all planning, activities, decision-making, and documentation under the scope of NEPA and will be revised as needed to address any additional and future requirements. This QPP is in accordance with DOE Order 5700.6C, Supplemental Directive 5700.6E, 10 CFR 830.120 and ASME NQA-1.

1.3 Quality Level Classification

The CEO NEPA QPP uses a graded approach based on importance, complexity, and risk in the application of QA Requirements for NEPA tasks. The graded approach provides a flexible, efficient, and effective means of controlling items and activities involved in the preparation of Categorical Exclusion (CX) determinations and Environmental Assessment (EA) Packages to assure that the required quality achieved is commensurate with its importance and risk. The grade assigned to an item or activity will be defined by the quality level assigned to the activity in accordance with INEL implementing procedures.

2. Codes, Standards, and Regulations

The QPP requirements and related documents are identified as follows:

ASME NQA-1, Quality Assurance Requirements for Nuclear Facilities - Basic Requirements.

The National Environmental Policy Act of 1969, As Amended.

40 CFR Parts 1500-1508, Council on Environmental Quality Regulations for Implementing the Procedural Provisions of the National Environmental Policy Act.

Council on Environmental Quality, "Forty Most Asked Questions Concerning CEQ's National Environmental Policy Act Regulations", 55 FR 18026.

10 CFR 1021, Department of Energy National Environmental Policy Act Implementing Procedures.

10 CFR 1022, Department of Energy Compliance with Floodplain/Wetlands Environmental Review.

DOE-HQ, Secretarial Policy on the National Environmental Policy Act, (June 1994).

DOE Order 1324.2*, Records Disposition

DOE Order 1330.1*, Computer Software Management

DOE Order 4300.2*, Non-Department of Energy Funded Work (Work for Others).

DOE Order 4320.1*, Site Development Planning.

DOE Order 5440.1*, National Environmental Policy Act Compliance Program.

DOE-ID 5440.1*, Implementation of the National Environmental Policy Act.

DOE-EH, Recommendations for the Preparation of Environmental Assessments and Environmental Impact Statements, Office of NEPA Oversight (May 1993).

DOE-EH, Directory of Potential Stakeholders for Department of Energy Actions Under the National Environmental Policy Act and Related Environmental Statutes (July 1994).

DOE-ER, Energy Research National Environmental Policy Hand Book.

DOE-ID, NEPA Compliance Planning, Review, and Documentation Process (April 1993).

Environmental Assessment Checklist, U.S. Department of Energy Office of Environment, Safety and Health, Office of NEPA Oversight (August 1994).

Quality Program Plan for the SNF and INEL EIS Project (Rev. 1, Effective Date - 1/26/94).

Quality Program Plan for the National Environmental Policy Act at the Department of Energy Idaho Operations Office (September 1994).

Contractor Environmental Organization Internal Scoping Procedures for Environmental Assessments at the Idaho National Engineering Laboratory (August 1994).

Contractor Environmental Organization Public Involvement Plan for Environmental Assessments at the Idaho National Engineering Laboratory (August 1994).

QAMS 005/80, Interim Guidelines and Specifications for Preparing Quality Assurance Project Plans, December 29, 1980.

3. Associated Program Documents

3.1 Quality Program Plan (QPP) and Quality Assurance Program (QAP)

This QPP, the Quality Program Plan for the National Environmental Policy Act at the Department of Energy Idaho Operations Office, and the QPP for the SNF and INEL EIS Project and INEL implementing procedures comprise the quality requirements for the CEO QAP.

This QPP is to be used in conjunction with the Internal Scoping Procedures for the National Environmental Policy Act at the Department of Energy Idaho Operations Office and the Public Participation Plan for the Implementation of the National Environmental Policy Act at the Department of Energy Idaho Operations Office.

4. Organization Responsibilities

4.1 DOE-ID

Department of Energy, Idaho Operations Office (DOE-ID) is the overall authority for all NEPA functions.

4.2 CEO

The Contractor Environmental Organization (CEO) Regulatory Affairs group provides guidance and assistance to Management and Organization Program/Project Managers in their NEPA compliance actions (per DOE-ID guidance). Refer to Figure 1 for the CEO NEPA Organization Chart.

4.2.1 Department Program/Project Managers

The Department Program/Project Managers are individuals within each department responsible for initiating, directing, and controlling a specific activity (including preparation of the Environmental Checklist) in coordination with the corresponding Department NEPA Liaison.

4.2.2 NEPA Department Liaisons

The NEPA Department Liaisons are individuals within each department responsible for interfacing with the Department Program/Project Managers, the NEPA Compliance Officer (NCO), NEPA Support Staff and DOE Liaisons for review and verification of the Environmental Checklist. In the absence of a NEPA Department Liaison, CEO Regulatory Affairs personnel could perform this function.

4.2.3 NEPA Support Staff

The NEPA Support Staff are individuals within the CEO responsible for:

- Interfacing with NEPA Department Liaisons;
- Providing NEPA technical review on the Environmental Checklist;
- Preparing NEPA document approval packages;
- Obtaining NEPA Level of Documentation and Recommendation, and signature approval from the CEO NCO (see Appendix C);
- Submitting NEPA document approval packages to DOE-ID;

- Maintaining NEPA Environmental Document Databases.

4.2.4 NEPA Compliance Officer

The CEO NCO is an individual responsible for:

- Providing review and approval on NEPA procedures and instructions to control NEPA activities;
- Serving as NEPA topical Leader;
- Providing review, comment, and approval on NEPA documents prior to transmittal to DOE-ID;
- Providing signature authority on Environmental Checklists as delegated by the DOE-ID NCO;
- Assisting in strategy planning and resolution of NEPA issues;
- Interfacing with NEPA Department Liaisons, Support Staff, DOE Liaisons, Document Manager (DM), and DOE-ID to provide resolution on NEPA issues.
- Ensuring adequate training and achievement of required proficiency of all personnel performing NEPA activities.

4.2.5 DOE Liaisons

The DOE Liaisons are individuals within INEL departments that serve as the primary point-of-contact between CEO personnel and DOE-ID and are responsible for:

- Interfacing with the CEO NCO, NEPA Support Staff, Department Liaisons, and DM;
- Providing direct and immediate comment resolution, problem solving, and document turnaround;
- Ensuring project progression.

4.2.6 NEPA Document Manager

The NEPA DM is an individual within the CEO responsible for:

- Providing leadership and coordination for conducting the internal scoping for EAs;
- Interfacing with the CEO NCO, NEPA Support Staff, DOE Liaisons, and the DOE-ID DM;
- Directing all aspects of EA preparation;

- Ensuring program schedules or milestones in negotiated agreements with regulatory agencies;
- Contracting (if necessary), and contractor oversight;
- Ensuring quality assurance and public participation in accordance with respective plans;
- Coordinating between offices and organizations the various efforts that are involved from project concept through to construction and operation.

4.2.7 Quality Assurance Department

The Quality Assurance Department is responsible for:

- Revising and providing interpretations of quality program requirements for NEPA issues;
- Interfacing with the CEO NCO to ensure incorporation of quality requirements into NEPA issues;
- Verifying quality achievement in items and activities related to NEPA, such as by assessments, surveillance, and reviews;
- Verifying effective implementation of the CEO NEPA QPP.
- Performance of all activities are in accordance with the INEL QAP Manual and implementing procedures.

5. Quality Program Elements

Quality Assurance Criteria

MANAGEMENT

5.1 Criterion 1 - Program

5.1.1 INEL Management is committed to excellence and the pursuit of quality at all levels to ensure:

- Full and complete compliance with all NEPA requirements;
- Maximum cost effectiveness for all INEL projects that involve NEPA requirements;
- Minimum time frames to complete preparation and reviews of all NEPA documentation.

5.1.2 Responsible Organizations/Personnel - All INEL personnel, as well as consultants and experts who are involved with any and all aspects of NEPA decisions and documents, are responsible for:

- Ensuring the quality of their work and the work of any NEPA Support Staff with which they are involved;
- Implementing this QPP and adhering to other applicable QA plans or procedures;
- Ensuring that all NEPA documents will fulfill the legal requirements of NEPA and will present all material in a manner that is easily understood by the general public;
- Ensuring that all material, data, analyses, and resources used for the preparation of NEPA decisions and documents are auditable, and being prepared to submit any and all material, data, analyses, and resources to an auditor upon request;
- Participating in or initiating "Lessons Learned" sessions or reports pertaining to the development of NEPA determinations and documentation at all levels;
- Continuously exploring innovative techniques and seeking out information from other organizations throughout the DOE complex.

5.1.3 The functional responsibilities and levels of authority for INEL personnel involved with NEPA determinations and documentation are described in the *Contractor Environmental Organization Internal Scoping Procedures for Environmental Assessments at the Idaho National Engineering Laboratory.*

Additionally, the INEL QA Department will act independently to ensure the quality of NEPA documentation. The INEL QA Department will interface with the CEO NCO, as necessary and applicable on resolution of all comments.

5.1.4 All INEL and contractor personnel involved with NEPA activities, are responsible for suspending activities when conditions that jeopardize safety or quality are identified.

5.1.5 The INEL QA Department, in conjunction with the CEO NCO, will be responsible for maintaining this plan.

5.2 Criterion 2 - Personnel Training and Qualifications

5.2.1 All individuals involved with INEL NEPA decisions, analyses, preparing, and reviewing documents must receive appropriate training prior to any activity. The requirements for training and qualifications are:

- Introductory training, "The NEPA Process at the Idaho National Engineering Laboratory," may be provided by the DOE-ID NCO;

- Annual training for INEL personnel involved with NEPA activities to update information on any changes to NEPA and lessons learned from the previous year that will help ensure consistency throughout INEL;

- Designated INEL NEPA personnel must obtain training pertaining specifically to the preparation of NEPA documents.

5.2.2 All training records for INEL personnel involved with NEPA activities will be updated and maintained through a Training Coordinator and then records conferred to the INEL Training Department.

5.2.3 Minimum qualifications for making NEPA determinations and for preparing, reviewing, and editing all NEPA documents is outlined above (section 5.2.1). Additionally, the individuals who routinely prepare or make recommendations for CXs must be cognizant of and have read the NEPA statute, the CEQ regulations published at 40 CFR 1500, the DOE NEPA regulations at 10 CFR 1021, DOE Orders 5440.1* and 5440.1-ID, with particular focus on the sections addressing CX determinations (Appendices A and B to Subpart D).

5.2.4 Individuals involved with the preparation of a draft EA should be cognizant of the particular CEQ and DOE regulations that address preparation of an EA, as well as pertinent guidance issued by these two agencies addressing the NEPA process. The CEO NCO and NEPA Support Staff should also possess a technical background relevant to the EA document they are responsible for preparing **OR** they should have direct access to technical expertise in their own organization enabling them to obtain the appropriate level of information for the document outside their individual areas of expertise. The resulting NEPA document, as a whole, should reflect interdisciplinary preparations and review.

5.3 Criterion 3 - Quality Improvement

5.3.1 All INEL personnel involved with NEPA activities are responsible for continuous quality improvement such as:

- Involvement with the CEO NCO and NEPA Support Staff;

- Presenting innovative techniques and ideas;

- Participation in "Lessons Learned" sessions;

- Successful participation in the training requirements set forth in this QPP, with encouragement to participate in training above and beyond the minimum requirements.

5.3.2 The INEL NEPA Program/Project Managers, the CEO NCO and NEPA Support Staff, in conjunction with the INEL QA Department support, are responsible for Quality Improvement activities such as:

- Continually monitoring and assessing the success of CX and EA documents;

- Effectively and appropriately using the Environmental Checklist;
- Encouraging the implementation of innovative techniques and ideas;
- Sponsoring "Lessons Learned" sessions and reports, as identified and needed, with follow-up activities on recommendations or findings and distributing the information throughout the INEL complex;
- Implementing training requirements for all INEL personnel involved with the NEPA process.

5.4 Criterion 4 - Documents and Records

5.4.1 All NEPA documents are considered quality records.

5.4.2 For record retention, the CEO will comply with DOE Order 1324.2A, Records Disposition, and approved records management procedures and INEL implementing procedures.

PERFORMANCE

5.5 Criterion 5 - Work Processes

5.5.1 All INEL NEPA personnel are responsible for the quality of their work. The success of the NEPA program at INEL is dependent upon close teamwork, adequate documentation, and quality procedures.

5.5.2 This QPP provides references for activities affecting quality that are performed by INEL NEPA personnel. Decisions made that affect policy and procedures shall be documented in accordance with INEL implementing procedures.

5.5.3 Proper use of a required reading file should ensure that appropriate individuals are made aware of important information that is related to job assignments. Implementing guidance is in accordance with the INEL QAP and implementing procedures.

5.5.4 Software control for INEL NEPA activities is achieved in accordance with DOE Order 1330.1D, Computer Software Management and implementing procedures.

5.5.5 INEL NEPA personnel will be responsible for verifying and validating data to help ensure that NEPA decision-making is in accordance with INEL implementing procedures.

5.5.6 The *Contractor Environmental Organization Public Involvement Plan for Environmental Assessments at the Idaho National Engineering Laboratory* describes the mechanism for bringing the broad view of stakeholder viewpoints and values into the NEPA process.

5.6 Criterion 6 - Design

5.6.1 "Design" for purposes of this QPP refers to the design of NEPA documents (i.e., their scope and content) and the timely process to prepare, review, and approve them. The document and process designs are based on NEPA policies, requirements, guidance and procedures of CEQ, DOE, and the INEL.

A graded approach is used in NEPA document issues, as appropriate.

5.7 Criterion 7 - Procurement

5.7.1 INEL Management shall ensure that procured items and services meet established requirements and perform as specified. Prospective suppliers shall be evaluated and selected on the basis of specified criteria. INEL management shall ensure that approved suppliers can continue to provide acceptable items and services. Suppliers must adhere to this QPP as well as any applicable QA plans and procedures within their organization.

ASSESSMENT

5.8 Criterion 8 - Inspection and Acceptance Testing

The INEL NEPA Tracking System is used to inspect the NEPA process to ensure compliance with NEPA regulations.

For EAs, the preapproval review by states, tribes and interested parties constitutes an "inspection" on the adequacy of the INEL NEPA process.

5.9 Criterion 9 - Management Assessment

5.9.1 All INEL personnel involved with NEPA activities are responsible for assessing satisfactory compliance with NEPA. Management Assessment activities will include:

- Conducting periodic self-assessments of the NEPA process;
- Documenting self-assessments and taking prompt action to recommendations or findings resulting from line-management self-assessments.

5.10 Criterion 10 - Independent Assessment

5.10.1 Audits of the NEPA program at the INEL will be performed by the INEL QA Department periodically to evaluate implementation of and compliance with the requirements of the QA Program. Audits may be conducted by qualified DOE auditors. Personnel performing independent assessments should be technically knowledgeable and focus on improving quality, and should not have direct responsibilities in the area they are assessing. Audits will be performed in accordance with INEL implementing procedures.

5.10.2 Surveillances of elements of the NEPA Program at the INEL will be performed by the QA Department as necessary to evaluate the implementation of and compliance with the requirements in the QA Program.

5.10.3 Assessment results will be tracked and resolved by the INEL QA Department; follow-up reviews of deficient areas will be initiated as necessary.

5.10.4 The INEL QA Department will assist INEL personnel involved in NEPA activities in responding to the appraisal, completing corrective actions, and verifying/certifying completion of corrective actions in accordance with INEL implementing procedures.

Appendix B - NEPA Documentation Process

CEO EC Procedure

The following procedures are followed by the CEO and LITCO Programs:

The Program/Project Manager shall -

a. Initiate NEPA at the beginning of project planning by preparing an EC available through Office Vision (PC Forms E0058--# and I5440-1A) or LITCO NEPA/Permitting Department, the CEO. The completed EC is prepared in accordance with the instructions. Attach any documents about the project (for example, Safety Analysis Reports, Engineering Design Files), ensuring documentation contains accurate information such as source terms, waste volumes, and release and accident scenarios. The CEO is available for informal consultation, as necessary, before preparation of the EC.

b. Upon receipt of NEPA documentation from CEO, ensure technical adequacy and, when satisfied, sign the "Approval Form for Environmental Documents," (see Appendix C) obtain the signature of the facility manager, and return the signed document to NEPA/Permitting. The "Approval Form for Environmental Documents" identifies the Project number and title; environmental conditions to be completed; with signature lines for the NEPA document author, NEPA Technical Reviewer, Manager, NEPA/Permitting, Project Manager, and Facility Operations Manager.

c. Before initiating action, ensure that NEPA document approval has been received including compliance with identified environmental requirements. When DOE approval is required, it is received when either:

- A Categorical Exclusions (CXs) determination has been signed by the DOE-ID Manager.
- A Finding of No Significant Impact (FONSI) for an EA has been signed by the DOE-ID Manager and notice of availability of FONSI has been conducted.
- A Record of Decision (ROD) for an Environmental Impact Statements (EISs) has been signed by the DOE and the ROD comment period completed.

d. Report proposed activities planned for inclusion in the LITCO CEO monthly NEPA report to be sent to DOE-ID. The report lists planned NEPA documents (e.g., EC, CX, EA, and EIS). CXs should have an average of three months advance notification with EAs and EISs needing six months to a year notice.

Upon receipt of an environmental checklist, the CEO, shall -

a. Establish an official file by assigning a tracking number for the project. This number is a unique alpha numeric number that is to be included on all budget and project/program planning, authorization, and control documents. A NEPA tracking number is assigned using the following format: XXX-XX-XXX. The first three characters are the location of the proposed action (e.g., INEL, TRA, CPP). The next two characters are the last two digits of the current calendar year (e.g., 94, 95). The last set of characters are sequential numbers beginning with "001" for each calendar year. These characters may be supplemental with a description of "Rev" followed by a sequential number to designate revisions to the EC in response to DOE-ID comments (e.g., INEL-95-001Rev1). Sequential alpha designations are used for LITCO updates and clarifications to approved ECs (e.g., INEL-95-001A).

b. Assign the EC (by the technical leader) to NEPA personnel (EC Author) for review and analysis. EC reviews and analyses are conducted in accordance with the April 1993 DOE-ID "NEPA Compliance Planning, Review, and Documentation Process."

c. Determine if Sections A, B, and C of the EC are adequately addressed (e.g., are the potential impacts addressed in terms of the criteria defined in Vol. 1, Section 2, of the Environmental Compliance Planning Manual).

d. Review the proposed action for DOE "sensitivities" (i.e., is the proposed action — unusual, or in an area that has required special review and consideration in the past).

e. Determine the waste streams [i.e., waste type(s), volume(s)] and the need for a waste minimization plan or permits, if applicable.

f. Determine the significance of the potential impacts in terms of NEPA definitions and DOE NEPA regulations.

g. Consult the Program/Project Manager to discuss and resolve concerns over impacts, their significance, and the implementation of potential mitigation actions.

h. Coordinate with the Project Manager during EC review

I. Identify the NEPA level of documentation for the proposed action.

j. Retain copies of the NEPA package (including original EC received by NEPA/Permitting) for the NEPA project file and maintain NEPA quality records' files.

k. Compile and transmits (to DOE-ID) the monthly NEPA Documentation for Future Projects Report, as required by DOE-ID and SEN-15-90.

l. Provide information on new proposed actions and updates information on ongoing actions for the NEPA Future Projects Report compiled monthly by NEPA/Permitting and submitted to DOE-ID.

NEPA Determinations

The CEO is responsible for recommending NEPA Determinations to the DOE-ID NEPA Compliance Officer. The following are the different determinations made by the CEO (see Table 2, page 46):

- Determination under Continuation of On-Going Operations
- Determination of Appendix A CX, Paperwork Actions CX (INEL-92-007), or INEL Routine Maintenance CX (INEL-92-030) w/o Environmental Conditions
- Determination of Coverage by INEL Routine Maintenance CX (INEL-92-030) w/o Environmental Conditions
- Determination of Coverage by Appendix B to Subpart D Categorical Exclusion (CX)

- Determination of Coverage by Appendix C, Action Is Not Encompassed Within the Classes of Actions Listed in the Appendices to 10 CFR 1021 Subpart D, Action Is a Major Federal Action, or Extraordinary Circumstances Related to the Proposal May Affect the Significance.

Table 3. Environmental Checklist Preparation, Analysis, and Review Process.

Paperwork Action & Routine Maintenance without Permits, Approvals, or Clearances	Continuation of Ongoing Operations	Routine Maintenance with Permits, Approvals, or Clearances / Previously Approved Categorical Exclusion, Environmental Assessment, & Environmental Impact Statement	Appendix B Actions[a]	Appendix C & D Actions[a]
CEO Receives EC	←Same	←Same	←Same	←Same
CEO RM assigns tracking number & quality record folder	←Same	←Same	←Same	←Same
CEO NEPA Technical Lead assigns author/preparer	←Same	←Same	←Same	←Same
Presentation at EC review meeting not required	Author presents EC in "EC review meeting" or discusses with peer	←Same	←Same	←Same
Environmental conditions (e.g., approvals, permits, clearances) already obtained	←Same	Author identifies environmental conditions (approvals, permits, clearances) to be obtained (conditions of EC)	←Same	←Same
Author prepares & signs EC	←Same	←Same	Author prepares EC and CX Determination -- signs EC	Author prepares EC & EAD -- signs EC
Peer review	←Same	←Same	←Same	←Same
Approval Form not required	Author prepares & signs "Approval Form"	←Same	←Same	←Same
CEO NEPA Technical Lead review not required	CEO NEPA Technical Lead review	←Same	←Same	←Same
Author prepares and transmits "EC Package" (cover letter, approval form, EC, & attachments) to Program / Project Manager	Author prepares "EC Package" (cover letter, approval form, EC, & attachments) for CEO Manager review & signature	←Same	Author prepares "EC Package" (cover letter, approval form, EC, attachments, & CX Determination) for CEO Manager review & signature	Author prepares "EC Package" (cover letter, approval form, EC, attachments, & EAD) for CEO Manager review & signature
CEO Manager review & signature not required	CEO Manager reviews & signs cover letter & approval form, then transmits to LITCO Program / Project Manager	←Same	←Same	←Same
Approval form not required	LITCO Program / Project Manager returns approval form	←Same	←Same	←Same

Table 3. Environmental Checklist Preparation, Analysis, and Review Process (continued).

Paperwork Action & Routine Maintenance without Permits, Approvals, or Clearances	Continuation of Ongoing Operations	Routine Maintenance with Permits, Approvals, or Clearances / Previously Approved Categorical Exclusion, Environmental Assessment, & Environmental Impact Statement	Appendix B Actions[a]	Appendix C & D Actions[a]
EC does not go to DOE-ID	←Same	←Same	Author prepares "EC Package" (cover letter, approval form, EC, CX Determination, & attachments) for CEO review & signature, then transmit to DOE-ID Program Manager	Author prepares "EC Package" (cover letter, approval form, EC, EA Determination & Attachments) for CEO review & signature, then transmit to DOE-ID Program Manager
EC does not go to DOE-ID	←Same	←Same	DOE-ID returns approved CX Determination	DOE-ID returns EA Determination
CEO RM completes quality record	CEO RM completes quality record upon receipt of approval form	←Same	CEO RM completes quality record upon receipt of approved CX Determination	CEO RM completes quality record upon receipt of approved EA Determination
Proceed with Proposed Action	Proceed with Proposed Action	Proceed with Proposed Action	Proceed with Proposed Action	DOE-ID NCO assigns DOE Document Manager
--	--	--	--	CEO Proceeds with EA Development Process on approval from DOE Document Manager

CEO = Contractor Environmental Organization
CX = Categorical Exclusion
DOE-ID = U. S. Department of Energy, Idaho Operations Office
EAD = Environmental Assessment Determination
EC = Environmental Checklist
LITCO = Lockheed Idaho Technologies Company
NEPA = National Environmental Policy Act
RM = Record Manager

[a] U. S. Department of Energy, "National Environmental Policy Act; Implementing Procedure and Guidelines Revocation; Final Rule and Notice," 10 CFR 1021, Appendix B, C, & D to subpart D.

Appendix C - DOE-ID Environmental Checklist & Approval Form

ID F-5440.1A#
Ref. DOE 5440.10
(Rev. 2-95)
Pg. 49

ENVIRONMENTAL CHECKLIST
U.S. DEPARTMENT OF ENERGY, IDAHO OPERATIONS OFFICE

NEPA Document No.: _____

DIRECTIONS: Section A through D to be completed by the program/project manager. Sections E & F to be completed by the appropriate Contractor Environmental Organization (CEO), the DOE-ID NEPA Compliance Officer (NCO), or as indicated.

SECTION A. - PROJECT TITLE:

DOE-HQ PROGRAM:	PROJECT NUMBER:
PERFORMING ORGANIZATION:	DATE:
DOE PROJECT TECHNICAL MANAGER:	TELEPHONE NUMBER:
PERFORMING ORGANIZATION CONTACT:	TELEPHONE NUMBER:

SECTION B. Project Description: Attach a complete and concise description of the project or action, including type of action (e.g., new construction, process modification, maintenance, new activity, research and development, or work for others), purpose and need, pollution prevention and waste minimization measures, projected start and end dates, and approximate cost.

SECTION C. Sources of Impact: Would the action involve, generate, or result in changes to any of the following? (If yes, explain on attachment.)

Source	Yes	No	Source	Yes	No	Source	Yes	No
1. Air Emissions			8. Water/Well Use			15. Hazardous Waste		
2. Asbestos			9. Water Course Modification			16. Radioactive Waste		
3. Work Force Adjustment			10. Pesticide Use			17. Mixed Waste		
4. Excess Noise Levels			11. Chemical Use/Storage			18. Radiation Exposure		
5. Utility Modification			12. Petroleum Storage			19. Liquid Effluent		
6. Soil Disturbance			13. Solid Waste			20. Sensitive Resources		
7. Water Treatment			14. PCBs			21. CERCLA/RCRA Site		

SECTION D. The action is determined as: (check one of the following)

☐ **Appendix A Actions** Applicable Appendix A CX section: _____ Appendix A Project Manager Signature: _____
INEL-95-012

☐ **Routine Maintenance (RM)** Applicable RM CX section: _____ Certified RM Reviewer Signature: _____
INEL-92-030 ◇◇◇ If RM, complete Section E. ◇◇◇

☐ **Further NEPA documentation is required. Forward to appropriate CEO for NEPA document number and**

**************************TO BE FILLED OUT BY THE CONTRACTOR ENVIRONMENTAL ORGANIZATION*************************

SECTION E. Category Evaluation Criteria: Would the action . . . (If yes, explain on attachment.)

	Yes	No
1. Require cultural, historical, or biological clearances?		
2. Potentially impact sensitive resources identified in Item 1 above. Describe the mitigation plan.		
3. Require or modify federal, state, or local permits, approvals, etc.?		
4. Be inconsistent with any existing consent orders or agreements (i.e., FFA-CO, site wide treatment plans, etc.)?		
5. Create hazardous, radioactive, PCB, or mixed waste for which no disposal is available?		
6. Require siting, construction, or modification of a RCRA or TSCA regulated facility?		

SECTION F. NEPA level of documentation and reference(s).

CX: _____ EA: _____ EIS: _____ Previously Approved CX: _____ Not Covered in 10 CFR 1021: _____

Reference(s):

The proposed action would not: 1) threaten a violation of applicable statutory, regulatory, or permit requirements for environmental, safety, and health, including requirements of DOE orders; 2) require siting and construction or major expansion of waste storage, disposal, recovery, or treatment facilities; 3) disturb hazardous substances, pollutants, contaminants, or CERCLA-excluded petroleum and natural gas products that pre-exist in the environment such that there would be uncontrolled or unpermitted releases; 4) adversely affect environmentally sensitive resources. In addition, no extraordinary circumstances related to the proposal exist which would affect the significance of the action, and the action is not "connected" nor "related" (40 CFR 1508.25(a)(1) and (2), respectively) to other actions with potentially or cumulatively significant impacts.

Name: _____ **Telephone No.:** _____

Signature: _____ **Date:** _____

GUIDANCE FOR PREPARATION OF ENVIRONMENTAL CHECKLISTS (EC)

GENERAL INSTRUCTIONS

SECTIONS A through F. Complete in accordance with delineated instructions on EC. Special instructions for Section D follows. Guidance information for the EC, Sections C and E, can be found in PCForms, File #_____.

SECTION D. The purpose of this section is to provide a for project to evaluate their action and determine if an EC shall be submitted to the Contractor Environmental Organization (CEO), DOE-ID program NEPA point of contact, and/or the NEPA Compliance Officer (NCO). The following identify the evaluation criteria for the program/project manager, i.e., the individual responsible for the submittal of the EC.

Appendix A Actions - An "Appendix A Actions" designation deems that the project is covered by 10 CFR 1021, Appendix A to Subpart D, Subsections A1 through A15, which includes paper studies, routine administrative/financial personnel actions, technical advise and assistance, emergency preparedness planning, agreements, management and operations, etc. Sources of impacts would be typical office waste such as paper. Identify the appropriate approved EC/ CX and the project manager would sign at signature line. File this checklist with the project file.

Routine Maintenance - A "Routine Maintenance" determination could only be assigned by a NEPA/Permitting "Routine Maintenance" trained and certified facility employee, i.e. the " Certified RM Reviewer". Identify the appropriate section of the Routine Maintenance categorical exclusion (CX) and sign at the reviewer signature line. Attach this checklist to the work release package/internal file.

Further NEPA documentation required. - If neither criteria for Appendix A nor Routine Maintenance is applicable to the proposed action, then the activity must be reviewed for impacts in accordance with CEQ Regulations at 40 CFR 1500, DOE Orders 5440.1E, and DOE Procedures at 10 CFR 1021. The EC will then be submitted to the CEO or NCO for review and a determination.

SECTION C. SOURCES OF IMPACTS:

1. Air Emissions - Discuss air emissions, exhaust, dust, gases, etc., released or discharged into the atmosphere through point, fugitive, or new sources such as hoods, stationary engines, boilers, etc.; and systems [such as changes in high efficiency particulate air (HEPA) filtration, new building vents, and lab operations] affected by the project [re: Idaho Administrative Procedures Act (IDAPA) 16.01.01.000-999 for state air regulations and toxic air pollutants; and National Emissions Standards for Hazardous Air Pollutants (NESHAPs), 40 CFR 61(especially Subpart H for radioactive emissions)].

2. Asbestos - Discuss source(s), condition, estimated amounts (linear and area), and planned disposal. If the activity involves demolition (defined as removal of a bearing wall or more), there is the potential to generate asbestos. In accordance with regulations for demolitions, a report must be submitted to the Environmental Protection Agency (EPA) through the INEL asbestos point-of-contact. Management and removal of asbestos must be carried out in accordance DOE Order 5480.10 and Occupational Safety and Health Act (OSHA) 29 CFR 1926.1101. Notifications would be in accordance with NESHAPs, 40 CFR 61, Subpart M. Radioactively contaminated asbestos would be addressed under Item 15, Radioactive Waste.

3. Work Force Adjustment - Discuss increase or decrease in labor force, if temporary or permanent, including direct replacement of personnel, relocated personnel, etc.

4. Excess Noise Levels - Discuss noise levels in excess of 85 dB, whether temporary or permanent, and how related to activity. (Re: Occupational Noise Exposure, 29 CFR 1910.95)

5. Utility Modification - Discuss increase/decrease in size, capacity, and/or use to the electrical/power lines, communications system, potable water system sewage system (mains, pipes, lagoons, tanks, treatments structures, disposal areas, etc.), and type of construction (new or addition) or renovation to an existing facility.

6. Soil Disturbance - Discuss any clearing, grading, excavation, trenching, boring/coring, etc., of surface debris, vegetation, and other changes in soil surface features. Include location, estimated size, volume, disposal (to the landfill, as backfill, for stockpiling, etc.), and whether clean or contaminated (hazardous, radioactive, or mixed). Identify lay-down areas and environmentally controlled areas.

> **Note:** Applicable regulations and procedures: a) stormwater discharge evaluation as required by the National Pollution Discharge Elimination System (NPDES)/Stormwater Pollution Prevention Plan (SWPPP); b) biological assessment of threatened & endangered (T&E) species as required by the Endangered Species Act and 50 CFR 17; c) cultural resources (artifacts, historical sites, and buildings) as required by the National Historic Preservation Act and 36 CFR 800; and d) outage request (INEL procedure) triggered by a 1-ft^3 excavation. (Items B and C should be identified in this section, Item 20, "Sensitive Resources;" and appropriately in Section E, Items 1, 2 and/or 3.)

7. Water Treatment - Discuss sewage treatment, chlorination of potable water for personnel use, solution mixture with water for activity/R&D purposes, and Resource Conservation and Recovery Act (RCRA) waste treatment and treatability studies [per Land Disposal Restriction (LDR) standards, 40 CFR 268], etc.

8. Water/Well Use - Discuss all withdrawal or changes to groundwater or surface water infrastructure such as ditches, canals, ponds, tanks, etc., and expected volumes; and the construction, modifications, or abandonment of any wells (production, monitoring, shallow injection) including changes in well equipment. (Re: Idaho Code for Drinking Water Wells, Title 1, Ch. 8; IDAPA 37.03.03 for Injection Wells; and IDAPA citation for Well Construction Rules and Regulations.)

9. Water Course Modification - Discuss new diversion and/or modification to natural or man-made channels, canals, and water retention areas (ponds and basins) and playas. (Re: Clean Water Act Section 404; IDAPA 37.03.07 for Stream Channel Alteration Rules; and NPDES Storm Water Permit 40 CFR 122.26).

10. Pesticide Use - Identify name of pesticide, herbicide, fungicide and/or similar agent, target organism, use area, application rate, method, and applicator /licensee. [re: Toxic Substances Control Act (TSCA), 40 CFR 761 & 40 CFR 792, and Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA)].

11. Chemical Use/Storage - Discuss all types of chemicals that would be stored, used, and safety methods to ensure safety to personnel and minimize risks to the environment. Explain composition, form (solid, liquid, gas), storage methods, uses, estimated volumes.

Note: All chemicals must be managed and reported in accordance with requirements under the Superfund Amendments and Reauthorization Act (SARA), Title III regulations. Material safety data sheets (MSDSs) must be maintained on-site.

12. Petroleum Storage - Discuss product(s) (such as gases, diesels, and oils), volume, use, type of storage, and containment provisions for spills. A Spill Avoidance and Response Plan (SARP) as described in the INEL Environmental Compliance Planning Manual, and/or Spill Prevention Control and Countermeasures (SPCC) may be applicable. Describe safety features employed to ensure risks to personnel, equipment, and the environment are minimized. (Re: RCRA 40 CFR 280, 40 CFR 302 and 40 CFR)

13. Solid Waste - Identify any solid or contained gaseous nonradioactive, nonhazardous waste generated during construction or operations. Provide estimated volumes of each type (scrap materials, packaging, concrete waste, old equipment, etc.), expected disposal locations, and approximate time frames for waste generated from demolition or decontamination and decommissioning (D&D) activities [major impact to landfill(s)]. Solid waste would have to be evaluated for hazardous waste in accordance with 40 CFR 262.11. (Note: Liquid waste would be addressed under Item 19, Liquid Effluent.) (Re: RCRA 40 CFR 261.2)

14. PCBs - Identify any polychlorinated biphynels (PCBs) (as defined in 40 CFR 761.3) and/or PCB items used, manufactured, processed, distributed, and/or disposed in the activity. An evaluation must be made of all potential PCB and/or PCB items (materials, wastes or products). (Re: 40 CFR 761 and INEL Environmental Compliance Planning Manual)

15. Hazardous Waste - Identify type, volume, and management (treatment, storage, or disposal) of any non-radioactive, RCRA hazardous waste (per 40 CFR 261.3) and/or that possesses any of the four hazardous characteristics: ignitability, corrosivity, reactivity, and toxicity; or appears on EPA lists.

16. Radioactive Waste - Identify volume and management (treatment, storage, or disposal) of any generated radioactive contaminated solid, liquid, or contained gaseous waste generated during construction or operations. Include personnel protective equipment (PPE), contaminated instrumentation, and asbestos.

17. Mixed Waste - Identify any solid waste (as defined in 40 CFR 261.2) that contain <u>both</u> radioactive and hazardous waste generated during construction or operations, volume, and management (treatment, storage, or disposal). Notify the Federal Facilities Compliance Act (FFCA) personnel of generated mixed waste. Inventories for the facility treatment plan must be provided in accordance with federal statute.

18. Radiation Exposure - Provide calculated or predicted exposure(s) at and/or near the proposed project/activity. Include the following information: a) radiation fields to be encountered in mR/hr, b) total expected radiation exposure levels (mrem) for the activity, and c) maximum mrem limits for each individual. Discuss how exposure would be minimized.

19. Liquid Effluent - Identify any waste water and expected volumes including but not limited to any radioactive, hazardous, and mixed liquids; and where the effluent would be discharged such as sewage systems, sumps, ponds, or ground, etc. [Re: NPDES, 40 CFR 124 & 40 CFR 125; Storm Water Discharges, 40 CFR 122.26; and Wastewater Land Application Permit Regulations, IDAPA 16.01.17000].

20. Sensitive Resources - If there is a potential that sensitive resources (i.e., cultural and T&E) may be impacted by the action. The level and type of clearances would be addressed in Section E, either Item

1 or 2. Item 1 requires memos of survey, clearance, and recommendation. Item 2 elevates the review for sensitive resources and requires a mitigation plan.

21. CERCLA/RCRA Site - To flag the area as either a CERCLA or RCRA site. This would trigger permitting and/or regulatory reviews and status. The level and type of site and permitting/regulatory actions would be addressed in Section E, Items 3, 4, 5, and 6.

SECTION E. CATEGORY EVALUATION CRITERIA: WOULD THE ACTION: (If yes, explain...)

Note: This section would be more applicable to categorical exclusions. If there would be a violation to the caveat cited at the conclusion of the EC, further evaluation must be conducted. There would be the possibility that the action would either trigger an Environmental Assessment (EA) or an Environmental Impact Statement (EIS) (as determined at the outcome of an EA.)

1. Require cultural, historical, or biological clearances? Requires memos of recommendation and clearances for cultural, historical, and/or biological (T&E species) where a pristine or relatively undisturbed area would be disturbed by construction or excavation.

2. Cause an adverse impact to sensitive resources identified in Item 1 above. Describe the mitigation plan. Elevates Item 1 and can include resources that may be adversely impacted such as areas, objects, or structures of historical, cultural, or archaeological significance; threatened or endangered species or their habitat; floodplains or wetlands; wilderness areas; national parks; national natural landmarks; wild and scenic rivers; wildlife refuges; marine sanctuaries; prime agricultural lands; vital water resources; tundra; etc. Field surveys by qualified professionals are necessary to identify these sensitive resources and potential adverse impacts. As identified, a mitigation plan must be provided and appropriate Memorandum(s) of Understanding (MOA) from the state, etc.

3. Require or modify federal, state, or local permits, approvals, etc.? Include permits, approvals, etc., required, applied for, received, and/or pending, and the current status. State permits and approvals may include a review for air emissions [radionuclides, volatile organic compounds (VOCs), dust, asbestos], stormwater discharge, new or modified wells, new water and/or sewage mains, etc. Approvals may also include archaeological evaluations, biological assessments for threatened and endangered species, stormwater pollution prevention plan, wetlands impacts, outages/excavations, etc.

4. Be inconsistent with any existing consent orders or agreements (i.e., FFA-CO, site wide treatment plans, etc.)? This would pertain to CERCLA, RCRA, or "other authorities" like the State of Idaho where any permits, plans, etc., may be violated.

5. Create hazardous, radioactive, PCB, or mixed waste for which no disposal is available? Describe potential "unknowns" that may result, such as unique health risks, use or installation of hazardous materials, or existing materials used in a new way.

6. Require siting, construction, or modification of a RCRA or TSCA regulated facility? This refers to hazardous waste treatment, storage, or disposal (TSD) facilities under RCRA (i.e., any RCRA permitted facility that is on the RCRA Part A permit application or any unit that has received a RCRA permit.)

Approval Form for Environmental Documents

Project No.: _____

Project Title: _____

_____

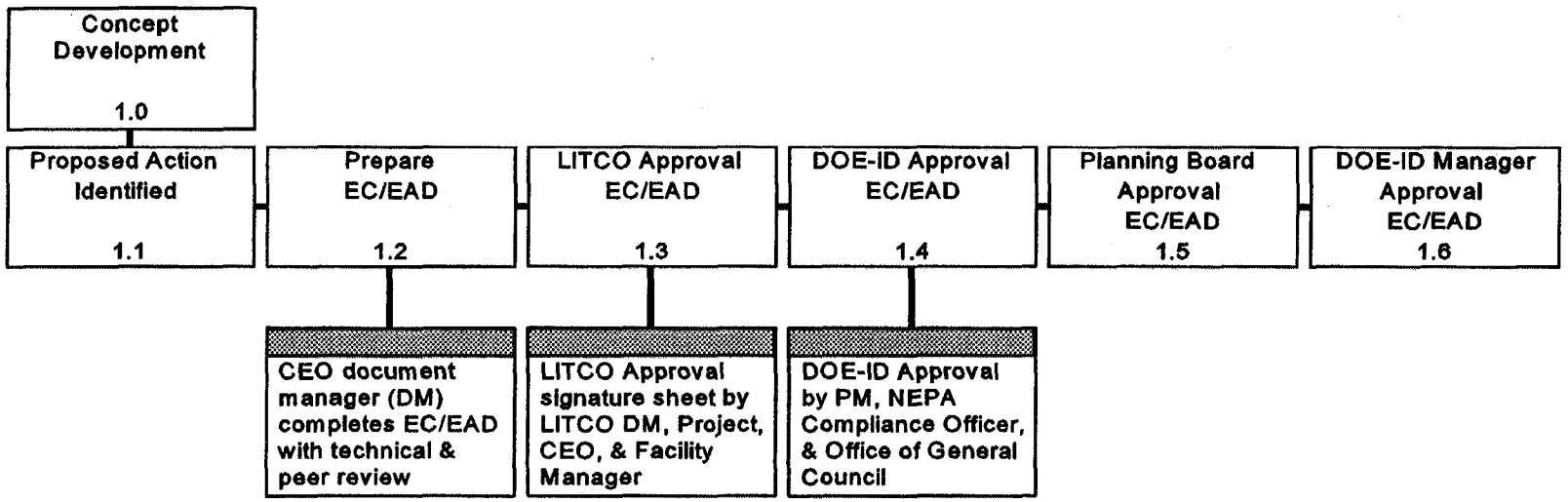
The undersigned agree that the information contained in the above-referenced document is true, accurate, and complete to the best of their knowledge. In addition, the undersign are aware that this environmental checklist . . .

LITCO Personnel:	Signature:	Date:
Author:	_____ Author	_____
Technical Reviewer:	_____ Technical Lead	_____
Manager, NEPA/Permitting Department:	_____ CEO Manager	_____
Project Manager:	_____ Project/Program Manager	_____
Facility Operations Manager:	_____ Facility Operations Manager	_____

Appendix D - LITCO Environmental Assessment Process

LITCO's EA process uses six basic steps (see Figures 4 through 9):

- Concept Development
- Scoping
- Draft Development
- Public Comment
- Final Approval
- Decision & Distribution



CEO = Contractor Environmental Org. Mgr.
DM = Document Mgr.
EA = Environmental Assessment
EAD = Environmental Assessment Determination
EC = Environmental Checklist
FM = Facility Mgr.
FONSI = Finding of No Significant Impact
NCO = NEPA Compliance Officer
OCC = Office of Chief Council

Figure 6. Environmental Assessment Process -- Concept Development.

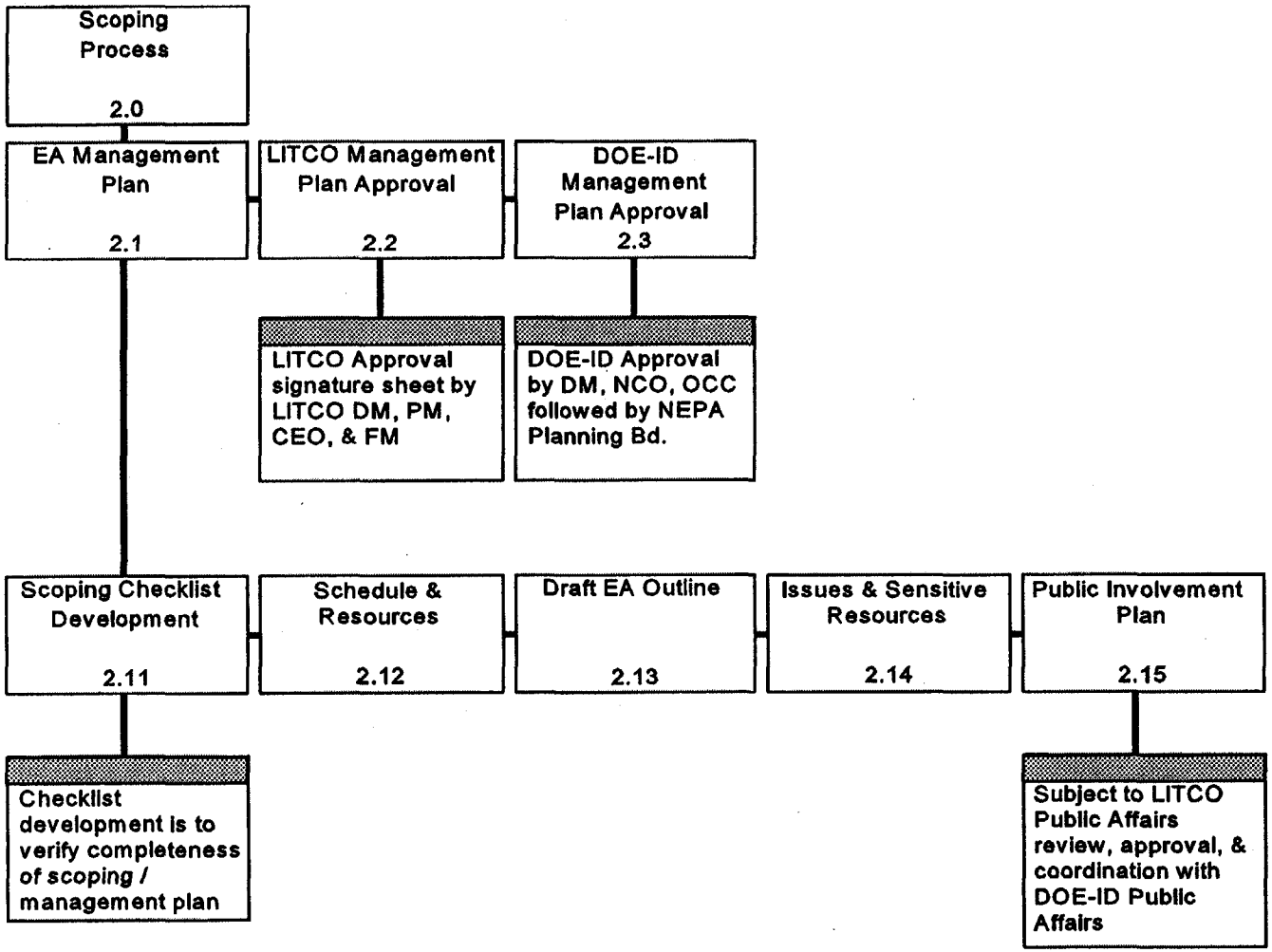


Figure 7. Environmental Assessment Process -- Scoping.

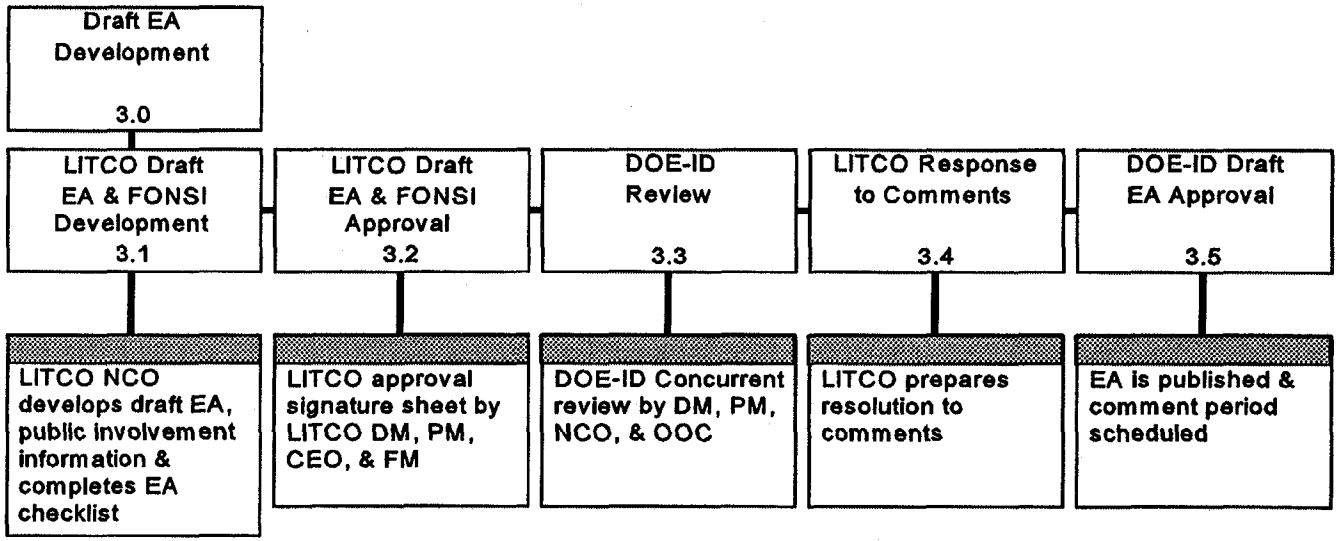


Figure 8. Environmental Assessment Process -- Draft Development.

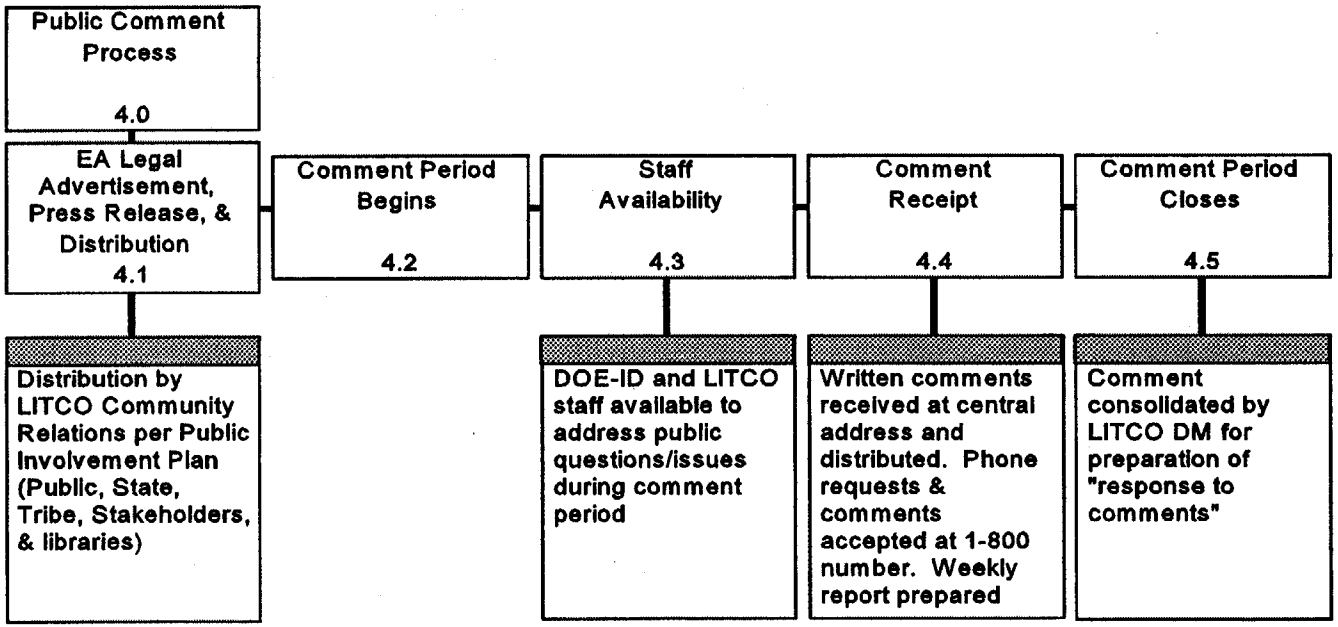


Figure 9. Environmental Assessment Process -- Public Comments.

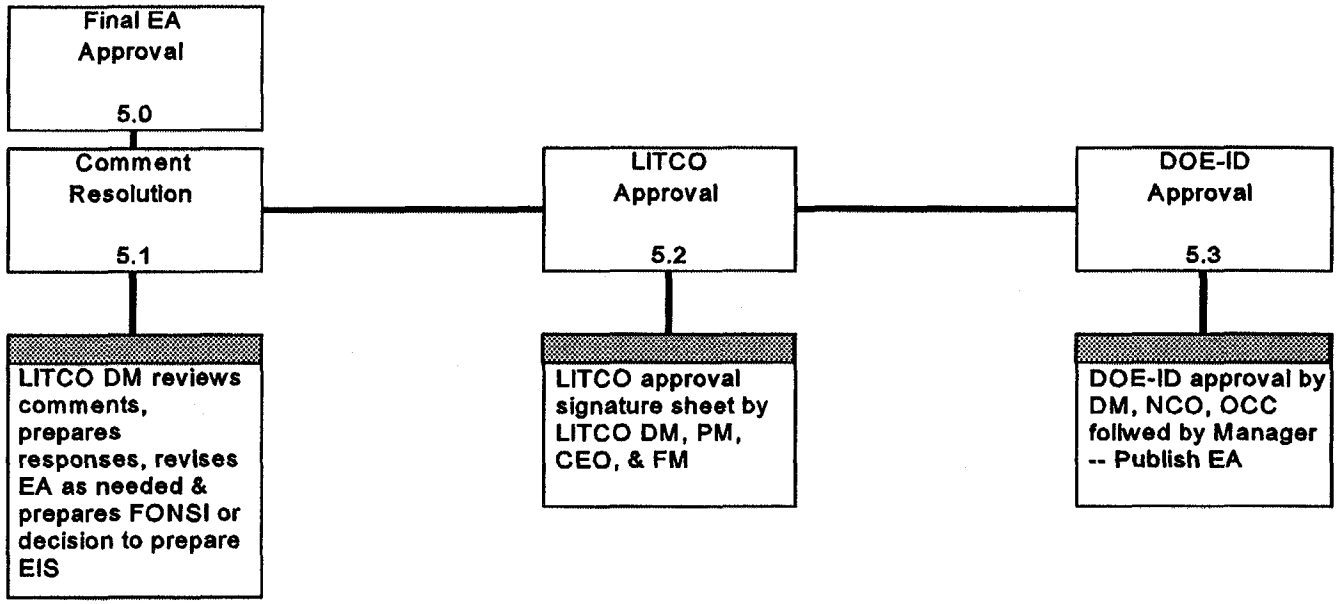


Figure 10. Environmental Assessment Process -- Final Approval.

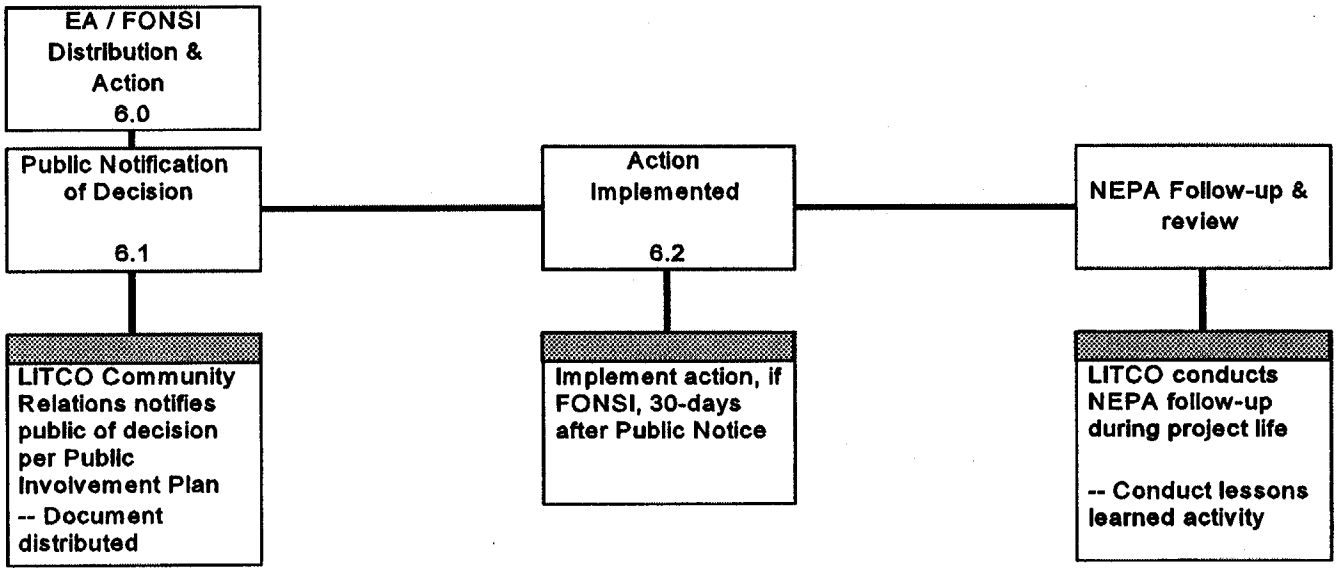


Figure 11. Environmental Assessment Process -- Distribution.

INEL ENVIRONMENTAL ASSESSMENT SCOPING CHECKLIST

INTRODUCTION

The DOE Secretarial Policy Statement on the National Environmental Policy Act (June 13, 1994) requires NEPA document managers to conduct an early internal scoping process for the environmental assessments (EAs). The goals of internal scoping include: a) identification of the proper definition and scope of a proposed action; b) clear identification and ranking of issues and alternatives (i.e. those that require detailed evaluation, minimal evaluation or elimination); c) providing a forum for the identification and resolution of conflicts; and d) ensuring that the EA will contain the appropriate information to formulate policy and make sound decisions.

This checklist is a tool to aid project/NEPA document managers in conducting meaningful, systematic internal scoping. Scoping requirements identified in the National Environmental Policy Act (NEPA), the Council on Environmental Quality (CEQ) NEPA Regulations (40 CFR 1500-1508), DOE NEPA Regulations (10 CFR 1021), and other CEQ and DOE guidance are factored into the checklist questions. The format and approach used in this checklist is compatible with the EA Checklist distributed to DOE Secretarial Officers and Heads of Field Offices on August 16, 1994. Applicable regulatory references are provided for checklist questions.

Checklist questions will generally apply to internal scoping for all EAs. Columns are provided for "yes", "no" and "not applicable" (N/A) responses. Because each DOE proposed project or program represents a unique set of circumstances and potential impacts, all of the questions will not apply to scoping for some EAs and additional questions may be appropriate. The checklist is intended to provide a flexible guideline to be adapted by the EA manager to fit the circumstances of the particular proposed action or program.

There is no established or required procedure for internal EA scoping. The process can be carried out by a meeting or series of meetings, telephone conversations, written comments or a combination of all three. Small, informal scoping meetings will usually facilitate the identification of salient interests and issues in a short period of time. However, the NEPA document manager should tailor the type, timing and location of the meeting(s) to the proposal at hand and the needs of the scoping team.

INEL EA SCOPING CHECKLIST

Project Title _____ Project Number _____

Performing Organization _____ Scoping Date _____

DOE-ID Project Manager _____ Telephone Number _____

Contractor Project Manager _____ Telephone Number _____

EA Preparation Manager _____ Telephone Number _____

1.0 PRESCOPING ACTIONS

The purpose of this phase of internal EA scoping is to achieve management consensus on the project and plans for NEPA documentation. This phase should include the DOE-ID NEPA Compliance Officer, the DOE-ID Project/Program manager (and the DOE-ID NEPA Document Manager), and their contractor counterparts.

Question	Yes	No	N/A	Comments
1.1 Is there agreement on the definition and scope of the proposed action?				
1.2 Have an environmental checklist (ID F-5440.1A) and an EA determination been completed and approved for the proposed action?				
1.3 Does the current project definition and scope agree with the checklist and EA determination?				
1.4 Did the EA determination consider the relation, if any, of the proposed action to other projects and NEPA documents?				
Has another agency prepared a NEPA document that could be adopted to encompass the proposed action?				
If the EA intends to adopt, in whole or in part, a NEPA document prepared by another federal agency, has DOE independently evaluated the information?				
1.5 Has a preliminary EA management plan, including the schedule, budget, participants, responsibilities, reporting mechanisms, and level of public involvement been developed and accepted?				

Question	Yes	No	N/A	Comments
1.6 Are the planned schedule and budget adequate to compete the NEPA process before making a decision on the proposal (normally in advance of, and for use in reaching a decision to proceed with detailed design)? (40 CFR 1021.210(b)				
1.7 Have scoping team members been selected (see questions 2.1 and 2.2)?				
Has an information packet been prepared and distributed to team members in advance of any scheduled scoping meeting?				The information packet should include the environmental checklist and EA determination, goals of the proposed action, a preliminary list of alternatives and issues, maps, drawings and other relevant data to enable participants to understand the proposed action.
1.8 Has appropriate consideration been given to informing/including stakeholders, including the public, in the scoping process? [46 FR 18037; 40 CFR 1506.6; 40 CFR 1501.4(b); 10 CFR 1021.301]				
2.0 Scoping Team Development				
2.1 Does the scoping team include all necessary departmental elements? (Secretarial Policy on NEPA, June 13, 1994)				
For example: NEPA Planning Board Members Facility Operations Manager Project/Program Manager NEPA Document Manager Office of Communications Construction Management Technical Support Staff Office of Chief Council				

Question	Yes	No	N/A	Comments
2.2 Does the scoping team include appropriate representatives from contractor organizations to ensure that an interdisciplinary approach integrating the natural and social sciences and the environmental design arts are applied to the decisionmaking process (40 CFR 1508.9 (b)(2); 42 USC 4332(2)(A)?				
For example: NCO Counterpart Project/Program Manager NEPA Document Manager Facility Manager/Landlord Facility Environmental Coord. Geologist/Hydrologist Ecologist Health Physicist Air Quality Professional Water Quality Professional Industrial Hygienist Cultural Resource Professional RCRA/TSCA/CERCLA Professional Pollution Prevention				
2.3 Does the proposed action require consultation with other agencies to ensure compliance (10 CFR 1021.341, 40 CFR 1501.6)?				
If yes, does the scoping process include appropriate interaction with cooperating agency representatives? (40 CFR 1501.6 (b)(2)?				
2.4 If the proposed action is not listed in Subpart D of 10 CFR 1021, is it practicable to include environmental agencies, applicants and the public participants in the scoping process (40 CFR 1501.4 (b)?				

Question	Yes	No	N/A	Comments
3.0 EA Development This phase of internal EA scoping is to ensure that component parts of the EA are developed to contain adequate information for informed decisionmaking. This phase should be conducted to the DOE-ID and contractor NEPA document managers.				
3.1 Purpose and Need for Proposed Action				
3.1.1 Did scoping include a discussion of the underlying problem or opportunity that would be addressed by the proposed action. (Recommendations, Section 3)				
3.1.2 Did scoping include a discussion of the wording of the purpose and need so that it does not inappropriately narrow the range of reasonable alternatives? (Recommendations, Section 3)				
3.2 Proposed Action and Alternatives				
3.2.1 Did the scoping presentations and discussions on the proposed action include the following subjects (Recommendations, Section 4.1):				
General project progression, phases and schedule?				
Pre-operational activities (site surveys, clearing, roads, construction, systems tests, etc,)?				
Operational activities (resource requirements, waste streams, utilities, workforce, transportation, etc.)?				
Post-operational requirements (D&D, closure, restoration, future applications, etc.)?				
Foreseeable facility or operational modifications?				
Environmental impact mitigation measures?				
3.2.2 Did scoping consider similar, connected or cumulative actions (including projects with common timing and or geography) that should be included in the scope to avoid improper segmentation? (40 CFR 1508.25)				

Question	Yes	No	N/A	Comments
3.2.3 Did the scoping presentation and discussion identify a range of reasonable alternatives that satisfies the agency's need, including reasonable alternatives outside the DOE's jurisdiction? (40 CFR 1500.2e, 40 CFR 1508.9, Recommendations, Section 4.2)				
Is a "no action" alternative included? (10 CFR 1021.321c)				
3.2.4 Did scoping include a discussion of which alternatives (if any) would receive quantitative analysis, qualitative analysis only, or would be eliminated from detailed analysis because they are unreasonable? (Recommendations, Sections 4 and 4.2)				
3.3 Affected Environment				
3.3.1 Did scoping consider the extent of descriptions of affected environmental parameters needed to lay the foundation for evaluating potential impacts of the proposed action and analyzed alternatives? (Recommendations, Section 5)				
Are the following environmentally sensitive resources present in the area that might be affected:				
floodplains (EO 11988; 10 CFR 1022)?				
wetlands (EO 11990; 10 CFR 1022; 40 CFR 1508.27)?				
threatened, endangered, or candidate species and/or their critical habitat, and other special status (e.g. state listed) species [(16 USC 1531; 40 CFR 1508.27(b)(3)]?				
prime or unique farmland [7 USC 4201; 7 CFR 658; 40 CFR 1508.27(b)(3)]?				
state or national parks, forests, conservation areas, or other areas of recreational, ecological, scenic, or aesthetic interest?				
wild and scenic rivers [16 USC 1271; 40 CFR 1508.27(b)(3)]?				
natural resources (e.g. timber, range, soils, minerals, fish, wildlife, water bodies, aquifers?				

Question	Yes	No	N/A	Comments
properties of historic, archaeological or architectural significance [16 USC 470; 36 CFR 800; 40 CFR 1508(b)(3)]?				
Native American concerns (16 USC 470; 42 USC 1996)				
Minority and low-income populations (EO 12898)				
3.3.2 Is consultation with other agencies required to determine if environmentally sensitive resources would be affected? (40 CFR 1508.9)				List planned consultation(s) and action assignments.
3.3.3 Are up-to-date documents that describe the affected environment available for incorporation by reference?				List documents that may be incorporated by reference.
3.4 Environmental Effects				
3.4.1 Did scoping address the appropriate extent of analyses required to evaluate potential impacts to affected environmentally sensitive resources identified in question 3.3.1?				List affected resource and appropriate evaluation (qualitative or quantitative)
3.4.2 Did scoping address the appropriate extent of analysis of the proposed action and analyzed alternatives with regard to:				
short-term and long-term effects [40 CFR 1508.27(a)]?				
direct and indirect effects (Recommendations, Section 6.1)?				
beneficial and adverse impacts [40 CFR 1508.27(1)]?				
effects on public health and safety [40 CFR 1508.27(b)(2)]?				
for disproportionately high and adverse human health or environmental effects on minority and low-income populations (EO 12898)?				
cumulative impacts? (Recommendations, Section 6.1)				

Question	Yes	No	N/A	Comments
3.4.3 Did scoping address the extent of analysis required to assess potential impacts to water resources or water quality, including the following:				
surface water?				
groundwater or aquifers?				
drinking water?				
navigable waters of the U.S.?				
municipal or private drinking water supplies?				
compliance with regulatory standards and permit requirements?				
3.4.3 Did scoping address the appropriate extent of analysis required to assess potential impacts to geology and soils, including the following:				
affected land area and previous use?				
seismicity?				
alterations to contour, aspect and drainage?				
erosion potential and control measures?				
3.4.4 Did scoping address the appropriate extent of analysis required to assess potential impacts to air resources, including the following:				
ambient air quality?				
worker and public health and environmental quality?				
compliance with regulatory standards and permit requirements?				
Class I areas?				
3.4.5 Did scoping address the appropriate extent of analysis required to assess potential impacts to wildlife and habitat resources, including the following:				
threatened, endangered and candidate species?				
state listed species?				

Question	Yes	No	N/A	Comments
fish and wildlife?				
biodiversity?				
3.4.6 Did scoping address the appropriate extent of radiological and nonradiological analysis required to assess potential impacts to human health, including the following:				
identification of potentially affected populations (direct and noninvolved workers and the public including minority and low-income communities) (Recommendations, Section 6.2)				
establishment of exposure periods (e.g. 1 year, 30 years, 70 years) for workers and the public (Recommendations, Section 6.2)				
identification of all potential exposure pathways (Recommendations, Section 6.2)				
identification of valid codes/models and dose conversion factors to be used in the analyses (Recommendations, Section 6.2)				
identify assumptions that will apply to health risk analyses				
identify the need to analyze the following radiological impacts for involved and uninvolved workers and the public: collective dose maximum individual dose latent cancer fatalities				
3.4.6 Did scoping identify a spectrum of potential accident scenarios and affects to be analyzed? (Recommendations, Section 6.4)				
3.4.7 Did scoping identify the extent of analyses needed to address transportation issues or concerns? (Recommendations, Section 6.3)				
routes, modes and links				
routine and accidents				
analytical methods				

Question	Yes	No	N/A	Comments
annual, total and cumulative impacts				
3.4.8 Did scoping address the potential for pollution prevention and waste minimization (e.g. source reduction, recycling, by product use, disposal as a last resort)?				
3.4.9 Did scoping include a discussion of concerns regarding potential impacts or regulatory compliance issues associated with management and disposal of wastes?				
3.4.10 Did scoping consider potential effects to:				
land use patterns?				
population changes?				
jobs?				
housing?				
disproportionate adverse effects on minorities and low-income communities?				
public services and utilities?				
noise levels?				
3.4.11 Did scoping consider concerns regarding potential effects to historic and archaeological resources?				
4.0 Mitigation				
4.0 Did scoping identify mitigation measures that must be applied to render the impacts of the proposed action as insignificant? (40 CFR 1021.331)				The scoping process may be expanded to address contents and concerns for the Mitigation Action Plan.
5.0 EA Format, General Document Quality and User Friendliness				
5.1 Did scoping include a discussion of opinions and concerns regarding the following (optional):				
EA approach and outline?				
units (metric, scientific notation, metric with English in parentheses)?				
terminology?				

Question	Yes	No	N/A	Comments
visual aids?				
classified information?				
use of acronyms and abbreviations?				
appendices?				
reference format?				
Administrative Record File?				
6.0 PostScoping Actions				
6.1 Has the EA scoping process and results been documented to include the following:				
Chronology of actions and participants?				
Results summary (include this checklist and supplemental comments)?				
Draft EA outline?				
6.2 Distribute scoping documents to team members and place a copy in the EA Administrative Record File.				
6.3 Have the personnel and organizations required to review and approve the EA been made aware of the EA schedule and committed to supporting the process?				

Appendix E - EIS Project Management Plan

EIS PROJECT MANAGEMENT PLAN

In compliance with the letter and spirit of NEPA (40 CFR 1500), the Department of Energy (DOE) prepares Environmental Impact Statements (EISs) to assist in decision-making related to implementation of programs and projects that have been determined to have a significant impact on the human environment or that are specified under the DOE NEPA regulations (10 CFR 1021) as normally requiring an EIS. EISs are prepared either at the DOE Headquarters (DOE-HQ) level or at the DOE Operations Office level depending on the scope of the action being considered.

Both NEPA and the DOE NEPA regulations require that the agency manage the preparation of an EIS either directly or through a contractor that has executed a disclosure statement specifying that it has no financial or other interest in the outcome of the project (40 CFR 1506.5). Thus, management and operations (M&O) contractors, such as LITCO at the INEL, cannot participate in the preparation of an EIS in a capacity that could influence the agency's decision. Nevertheless, the participation of the M&O contractor is vital to the preparation of the EIS because the contractor has both the technical expertise and the infrastructure support required.

At the INEL, the DOE Idaho Operations Office (DOE-ID) is currently preparing the Programmatic Spent Nuclear Fuel Management and INEL Environmental Restoration and Waste Management Programs EIS (SNF & INEL EIS). Under the direction of the DOE-ID EIS Project Office, preparation of the EIS is guided by a DOE-ID Project Management Plan[1] and associated procedures. The current revisions of the procedures are maintained as controlled documents in the EIS procedures manual[2].

The DOE-ID EIS Project Office organization and operations, including the Project Management Plan and Procedures, are recognized as a model within DOE and are being adapted to other EISs being prepared at DOE-HQ and at other operations offices. Any future EIS preparation at the INEL would likely use a similar organizational structure.

In support of the EIS Project Office, LITCO provides technical expertise and infrastructure services in compliance with the EIS Project procedures. Following the project procedures assures that all decisions that could impact the NEPA analysis are made by DOE and documented. Additionally, it assures timely, cost-effective preparation of requested deliverables; timely interface with LITCO management and DOE Program Offices; and appropriate documentation for the project files and administrative record.

The technical expertise provided by LITCO personnel ranges from expertise related to specific facilities to expertise with established and emerging technologies for spent nuclear fuel, waste management, and environmental restoration. This expertise is made available to the EIS Project on an ad hoc basis to support specific technical needs. To facilitate access to these personnel and to existing contractor documents, LITCO maintains full-time technical representatives on the EIS Project. These representatives provide direct technical input, as well as access to appropriate LITCO expertise. To the extent required by the needs of the Project, technical support documents suitable for referencing are prepared by LITCO. The LITCO technical representative also serves as an interface with the DOE Program Offices to assure their cognizance of the EIS contents and to assist the DOE EIS Project in obtaining DOE Project Office approval of commitments such as mitigative actions. In addition to the full-time representatives provided by LITCO, the Director of Regulatory Affairs meets regularly with the EIS Project Manager to assure appropriate LITCO management cognizance of Project activities.

Infrastructure services provided by LITCO range from computer hardware and software to administrative staff to full-time support to DOE in areas such as dose modeling, site characterization, budgeting, scheduling, and maintaining the project files and administrative record. To facilitate access, LITCO maintains a full-time representative on the EIS Project. This representative provides direct input to DOE, as well as access to

appropriate personnel and services. Modelling and site characterization information are conducted under DOE direction in conformance with the EIS Project's Technical Guideline Handbook[3]. Other infrastructure services are conducted in compliance with the EIS Project Management Plan and procedures.

Following publication of the EIS and the Record of Decision, the LITCO technical representatives serve as points-of-contact within the company for making an initial recommendation of whether proposed activities are covered under the EIS or other existing NEPA documents or whether an activity would require additional NEPA documentation. The LITCO representative would consult as required with DOE and, if deemed necessary by DOE, the recommendation would be transmitted to DOE for a NEPA determination prior to proceeding with the work. If the activity is clearly covered by existing NEPA documentation, including the EIS, a separate determination by DOE may not be required. LITCO infrastructure support works with DOE to assure that the administrative record is archived and that data bases and other information, as determined by DOE, are maintained current for use in the preparation of other documents, including tiered NEPA documents.

References

1. Project Management Plan for the Department of Energy Programmatic Spent Nuclear Fuel Management and Idaho National Engineering Laboratory Environmental Restoration and Waste Management Programs Environmental Impact Statement, DOE-ID (10416) Revision 2, October 1994

2. Procedures Manual for the Department of Energy Programmatic Spent Nuclear Fuel Management and Idaho National Engineering Laboratory Environmental Restoration and Waste Management Programs Environmental Impact Statement

3. Technical Guideline Handbook, Department of Energy Programmatic Spent Nuclear Fuel Management and Idaho National Engineering Laboratory Environmental Restoration and Waste Management Programs Environmental Impact Statement, U.S. Department of Energy, Idaho Operations Office, January 21, 1994