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United States Government **Department of Energy**

memorandum

Idaho Operations Office

Date: March 26, 2004

Subject: Delegation of Authority – (TS-QSD-04-045B)

To: William D. Magwood IV, Director
Office of Nuclear Energy, Science and Technology
DOE-HQ, NE-1, FORS

I request that you provide Delegation of Authority for activities and operations to be the responsibility of the Department of Energy, Idaho Operations Office (NE-ID) Manager, per the attached memorandum.

My office has established a positive and close working relationship with the NE staff at headquarters, which I am committed to build upon. I look forward to continuing that close communication and cooperation as we all serve to meet the needs of the Idaho National Engineering and Environmental Laboratory and the Department.

When approved, the Delegation of Authority will require an update of the NE Functions, Responsibilities and Authorities Manual (FRAM). My staff and I stand by to support this effort.

If there are any questions associated with this request, please contact M. Christine Ott at (208) 526-5711.

Elizabeth D. Sellers
Manager

Attachment

UFC: 0103
TS-QSD-04-045B

EXTERNAL bcc DISTRIBUTION:

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CONCURRENCE:
TS 3/25
TP&O 3/25
~~OM~~ OFK 3/25

RECORD NOTES:

1. This memorandum was prepared at the request of the Idaho Operations Office Manager.
2. This memorandum was prepared by W. S. Somers and was staffed through the QSD Director and K. A. Vivian.
3. This letter/memo closes OATS number N/A
4. The attached correspondence has no relation to the Naval Nuclear Propulsion Program.

S. Somers, TS/QSD, L. Landon,6-8737, March 24, 2004, TS-QSD-04-045B

DOE/ID-11056
Revision 0

INEEL Lead Program Secretarial Office Operating Protocols

Global A's
email addresses
✓ INL
✓ NE ID

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

Delete

INEEL Lead Program Secretarial Office Operating Protocols

DOE/ID-11056
Revision 0

Operating protocols have been developed to describe processes that involve interfaces between DOE Headquarters (HQ), DOE-Idaho Operations Office (~~DOE~~ NE-ID), and the Idaho National ~~Engineering and Environmental~~ Laboratory (IN~~EEL~~). The purpose of the protocols is to document how work will get accomplished in specific functional areas where multiple organizations have responsibilities. The initial issuance of this collection of protocols is approved by the Transition Executive Steering Committee as a prerequisite for the transfer of Lead Program Secretarial Office (LPSO)/Cognizant Secretarial Office (CSO) responsibilities from the Office for Environmental Management (EM) to the Office of Nuclear Energy, Science, and Technology (NE). Subsequent updates will be under the direction of the NE Associate Director-IN~~EEL~~ Liaison. NE ~~DOE~~-ID will maintain this document (including a change log) through the end of the transition period. At that point, a decision will be made on the need to maintain this document.

Approved by the Transition Executive Steering Committee:

Rebecca F. Smith-Kevern	Date
Jay E. Rhoderick	Date
K. A. (Midge) Vivian	Date

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This protocol describes DOE's administration of the M&O contract at the INEEL. The current performance based contract is with Bechtel BWXT Idaho, LLC. (Contract No. DE-AC07-99ID13727). The M&O contract is administered under the Federal Acquisition Regulations and Department of Energy Acquisition Regulations.

Roles and Responsibilities

NE will provide final approval for the entire Performance Evaluation Measurement Plan (PEMP) based on concurrent approvals from other PSOs such as EM, National Security, and the DOE-ID Manager. DOE-ID program offices will independently work with their HQ counterparts to develop performance measures for the PEMP and execute change control to the performance-based incentives (PBIs) when appropriate. DOE-ID program staff will interact with NE directly regarding infrastructure and crosscutting PBIs and change control. NE will be notified of all change control actions on a quarterly basis as approved by the DOE-ID Manager.

DOE-ID is responsible for the development, procurement, and administration of the M&O contract. DOE-ID will inform, update, and request concurrence from NE regarding substantial actions such as contract acquisition strategy, small business plans and goals, contract extension or re-competition, and PBI development. Specific responsibilities of key DOE-ID personnel are described below.

- The Contracting Officer (CO) is the only person authorized to accept non-conforming work, waive any requirement of the contract, or modify any term or condition of the contract. The CO holds the responsibility to administer or terminate (if found necessary) this contract and make related determinations and findings. The CO shall support DOE-ID management in the development and modification of fee determinations.

- The Contracting Officer Representatives (CORs) are appointed by the CO. CORs are authorized representatives of the CO regarding technical matters/direction, and acting within those limits established by the CO. The CORs are the technical experts who are responsible for monitoring the contractor's technical and cost performance and ensuring that the CO is provided with current and accurate contractor performance data tied to the performance of baseline requirements. CORs are accountable for validating the contractor's progress in meeting the objectives or measures as stated in the PEMP and reporting such status to the responsible CO. Approve closeout document and recommends final evaluation score and fee amount regarding contractor performance.

- The Fee Determination Official (FDO) is the Head of the Contracting Activity (HCA) and DOE-ID Manager who is fully responsible for oversight of the contractor's performance. The manager's office and the senior staff support the CO to provide direction to the contractor. The FDO approves the PEMP, change control, fee earned, and notifies the contractor of the fee determination.

Delegation of Authority

The DOE-ID Manager is the Head of the Contracting Activity (HCA) for DOE-ID and exercises contracting authority for all procurement actions. Pursuant to DOE regulations, the HCA has

delegated contracting officer authority to procurement professionals in the Procurement Services Division.

Management Details

The M&O contract at the INEEL is a cost reimbursement contract with a three-year performance fee pool allocated to specific incentive deliverables by which the contractor can earn fee.

The contract includes a Statement of Work that identifies broad requirements for the management and operation of the INEEL. Within the programs and projects, additional definition to the scope of work is provided. Only the DOE CO has the authority to change the contract scope of work.

Performance-Based Management (PBM) has been instituted at the INEEL as a management method by which the contract is administered and oversight of the contractor's performance by the DOE is conducted in accordance with the Department's Contract Reform. The concept of performance-based contracting focuses on contractor performance expectations in terms of outcomes or results as opposed to methods, processes, systems or broad categories of work activity. Performance fee that the contractor can potentially earn is associated with defined performance outcomes linked to the tactical and strategic objectives of the INEEL and DOE.

Performance Evaluation Measurement Plan (PEMP) was negotiated between DOE and the contractor for FY 2002-2004. The plan includes performance measures and expectations that must be successfully completed to earn the associated fee.

DOE and the contractor agree on the PEMP that establishes the total fee, defines fee performance objectives and performance-based incentives, and charts the course for determination of the available fee amount earned by the contractor. Changes to the PEMP are possible during the evaluation period through the established PEMP change control process.

Baseline Scope of Work is basic work scope required by the contract but not incentivized or subject to specific objective/measures under a PBI. The Government will not accept nor pay the contractor fee for performance below the baseline.

Performance Based Incentives (PBIs) are the primary means for evaluation of the contractor's performance as established in the PEMP and are used to motivate the contractor to achieve higher levels of performance above the baseline work. The PBIs are intended to establish a mutual understanding between the contractor and DOE on work and the incentives that will be pursued during the evaluation period.

The PBIs utilized under this contract are further defined as either base, stretch, or superstretch measures and may be completed on an annual basis or multi-year basis.

Measure / Expectation/ Milestone are specific deliverables that the contractor must achieve to earn fee. They define the activities and provide the contractor the goals, schedule, performance/outcome requirements, and associated financial compensations for completion of the activities.

The Fee Pool is calculated in accordance with DEAR 970 to establish the maximum fee that is available to be earned by the contractor. The INEEL has transitioned from an annual to a three-year fee pool and evaluation process.

The total fee pool includes an amount that is allocated to funded work (base fee) and a fee amount that is allocated to unfunded work (stretch fee). The pool can also include an amount of fee that is reserved for later allocation. Superstretch fee is in addition to the amount identified in the total fee pool discussed above.

Cost Savings are achieved when funded work is accomplished at a cost less than that reflected in the approved baseline funding. Cost savings may be utilized to accomplish work attributed to Stretch Incentives or Superstretch Incentives. The contractor is authorized to initiate activity at its discretion to accomplish Stretch Incentives, but must obtain DOE approval prior to initiating activity to accomplish SuperStretch Incentives.

Base Incentive / Base Fee is associated with work that is funded.

Stretch Incentive / Stretch Fee is designed to motivate the contractor to accomplish unfunded work, by achieving cost or cost schedule efficiencies. Unfunded (stretch) work is made possible by cost savings that are generated from the performance of funded work for less cost than is provided in the approved baseline. By designation as a Stretch PBI, the contractor is authorized to initiate work at its discretion at the time the incentive is created.

Superstretch Incentive / Superstretch Fee is a performance deliverable designed to motivate the contractor to significantly accelerate and accomplish more work than incentivized by "Stretch" incentives. Fee associated with a superstretch incentive work is not included in the total available fee pool but is additive to it.

Allocated Fee is that portion of the total fee pool assigned to PBIs and available for earning by the contractor. Unallocated Fee is the portion of the total fee pool that has not been assigned to PBIs. The unallocated fee pool includes fee which is unearned by the contractor as a result of cancellation/modification of a PBI or fee that was unallocated when the FY 2002-2004 PEMP was established.

Contract Changes. The Contracting Officer may at any time issue written directions within the general scope of the contract requiring additional work or directing the omission of, or variation in, work covered by the contract.

PEMP Change Control is a formal process of activities that ensures clear and concise definition of new, or revision of existing, PBIs. It is a cooperative process that is coordinated and managed through the contractor and DOE-ID contracting offices, and through forms control interface and an electronic approval process. DOE or the contractor may initiate changes to the FY 2002-2004 PEMP.

The PEMP Reporting System is a shared electronic database that is used to manage DOE-ID and the contractor performance data. The system includes reporting, change control, and closeout tools that facilitate efficient management of PEMP processes. System characteristics include retrieval of input performance data, system reports, electronic approval capabilities, and

document progress tracking. All status reporting activities are to be completed on line at http://webhome4/pemp/.

The Close-out System provides an approval system for measures and fee as based on the specific expectation and fee statements and deliverables stated in the PBIs. The CORs are to provide a quality assessment for each measure in close-out.

An annual performance report is required for the close-out of the Comprehensive PBI. The contractor may submit an abbreviated self-assessment addressing their performance regarding this incentive. CORs and the Fee Determining Official will concur on a final performance rating.

Alternate Dispute Resolution (ADR) is the preferred method used by the DOE and the contractor for resolving issues in dispute.

Near Term Actions

At the present time, DOE-ID is awaiting approval from EM-1 to negotiate EM FY03-04 measures. When EM-1 approval is obtained, negotiation sessions will be set up with the contractor to finalize PBI measures and change control approvals. Negotiations between BBWI and DOE require both technical and CO participation. Direction is required by EM and NE on this issue, after which a re-negotiation plan will be developed.

DOE-ID is developing an acquisition strategy for determining if the contract is to be extended or re-competed. Appropriate negotiations with HQ will occur.

Organizational Contacts

Organization	Contact	Phone	E-Mail
NE	Rebecca Smith-Kevern	301-903-5791	rebecca.smith-kevern@hq.doe.gov
EM	Jay Rhoderick	301-903-7211	jay.rhoderick@em.doe.gov
DOE-ID	Cheryl Thompson	208-526-5743	~~thompscca@id.doe.gov~~
DOE-ID	~~Jeff Hoyles~~	208-526-~~0790~~	~~hoylesrj@id.doe.gov~~
INEEL	~~Scott Harrison~~	208-526-~~3016~~	~~harrsw@inel.gov~~

DIRECTIVE REVIEW AND IMPLEMENTATION

Purpose and Policy

The DOE draft directive review process is an opportunity for DOE-ID to provide input and to influence the direction of DOE-created documents. This comment and review process includes draft DOE Policies, Orders, Notices, Manuals, Guides, and Technical Standards.

An exemption under the Directives System is a release from a requirement(s) included in a DOE Order, Notice, or Manual that has been granted to a Departmental Element by the appropriate DOE official. The process outlined below is used in cases when the DOE-ID Office of Primary Interest (OPI) and/or their M&O counterpart determine that a specific requirement(s) in a directive, or the entire directive, is not applicable to DOE-ID or the INEEL. This process is intended to provide a means to communicate, provide feedback, and receive any necessary approvals in cases where a requirement is not applicable.

Roles and Responsibilities

- DOE Draft Review Process
  - NE approves DOE-ID and M&O (when applicable) major comments and forwards to the HQ OPI via the HQ Review and Comment (RevCom) System.
  - DOE-ID reviews new and changed documents and involves the M&O (when applicable).
  - Comments are sent to NE via RevCom and are designated as either major or suggested.
  - Upon receiving resolution to comments, DOE-ID provides NE with concurrence/non-concurrence response.
- DOE-ID Exemption Process.
  - NE concurs with the proposed exemption decision or the 30-day review passes without objection or request for additional information and approval is assumed.
  - The DOE-ID Manager approves exemptions from DOE directives for activities and facilities under his/her direction except as provided in DOE M 251.1-1A, chapter VII, paragraph 4a(2).

Management Details

- DOE Draft Review Process.
  - DOE-ID Directives Point of Contact (DPC) receives draft DOE documents electronically via the RevCom System and forwards the draft DOE directive to DOE-ID OPI and the M&O (when applicable) for review and comment.

- DOE-ID DPC coordinates and forwards DOE-ID and M&O (when applicable) comments to the NE DPC via RevCom.

- NE DPC approves major comments and forwards to the HQ OPI via the RevCom System.

- HQ OPI provides resolution on major comments to LPSO DPC.

- NE DPC requests concurrence from DOE-ID DPC on comment resolutions.

- DOE-ID DPC forwards resolutions to DOE-ID OPI and M&O (when applicable) for concurrence. DOE-ID DPC provides LPSO DPC with concurrence/non-concurrence response.

- LPSO DPC provides final concurrence/non-concurrence to HQ OPI via RevCom.

• DOE-ID Exemption Process.

- The DOE-ID OPI, in conjunction with their M&O counterpart (when applicable), prepares a memo for the DOE-ID Manager's approval to accompany the Directives Exemption Request to HQ.

- Once the DOE-ID Manager's approval is obtained, the memo is forwarded to NE, the HQ OPI, and the HQ Director of the Office of Management Communications for a 30-day review. Exemption approval may be provided in writing or if the 30-day review period passes without objection or request for additional information, approval is assumed.

Organizational Contacts

Organization	Contact	Phone	E-mail
NE	Associate Director – INEEL Liaison	TBD	TBD
~~DOE-ID~~	~~Dixie L. Evans~~	~~208-526-0613~~	~~evansdl@id.doe.gov~~
DOE-ID	Karen A. Moses	208-526-7701	~~moseska@id.doe.gov~~
INEEL	Carla A. Campbell	208-526-2677	crc@inel.gov
INEEL	Angela L. Balmforth	208-526-3554	balmal@inel.gov

FOREIGN TRAVEL

Purpose and Policy

Foreign travel is required in performance of work for DOE programs, Work For Others (WFO), and indirect-funded activities. DOE Order 551.1A, "Official Foreign Travel," establishes DOE and National Nuclear Security Administration requirements and responsibilities governing official foreign travel by Federal and contractor employees. Additionally, country clearance cables are required to be processed before visiting a foreign country on official business.

Roles and Responsibilities

- Foreign Travel Policy and Instructions
  - The Program Manager for Foreign Travel (SO-30) is responsible for foreign travel policy as well as the Foreign Travel Management System (FTMS) and provides for centralized information and reporting activities to external authorities.
  - PSOs are responsible to develop and issue instructions for implementing the Order within programmatic responsibilities.
- Foreign Travel on Behalf of Program Secretarial Offices (Programmatic)
  - The INEEL Foreign Travel office will process all foreign travel trips through the Foreign Travel Management System (FTMS) for proper approvals and reviews. All foreign travel trips will be processed consistent with overall HQ foreign travel guidance and applicable PSO instructions. For example, foreign travel on behalf of DOE-HQ Office of Environmental Management (EM) will be processed in accordance with guidance received in a November 29, 2001 memorandum from EM-1. Only those Foreign Travel Trips that are EM-funded or EM-related will be processed for approval through EM. Likewise, foreign travel on behalf of NE will be processed in accordance with NE guidance, and so forth for each PSO. Each PSO is responsible for processing the required country clearance cables associated with foreign travel trips approved through that PSO's office.
  - The INEEL Foreign Travel office in conjunction with DOE-ID will prepare the six-month EM Foreign Travel Forecast.
- Indirect and WFO Funded Foreign Travel
  - DOE-ID is responsible for first-level approval of all Indirect and WFO funded foreign travel and will provide sufficient information to the NE FTMS Point of Contact for final approval from the appropriate NE Associate Director and the Director of NE to process the country clearance cables. As LPSO, NE is responsible to process country clearance cables for any foreign travel that is not processed through another PSO office.

Delegation of Authority

None.

Near Term Actions

None.

Organizational Contacts

Organization	Name	Phone	E-Mail
SO Foreign Travel Management System (FTMS) DOE Lead	Julia Squires	202-586-4048	julie.squires@hq.doe.gov
NE FTMS Point of Contact (POC)	Ginny Oland	301-903-3163	virginia.oland@hq.doe.gov
EM FTMS POC	Pattie Agee	202-586-9417	pattie.agee@em.doe.gov
INEEL FTMS POC	Colleen Chapman	208-526-3038	~~chapmac@inel.gov~~
DOE-ID	Cheryl Thompson	208-526-5743	~~thompsca@id.doe.gov~~
INEEL	~~Nikki Grover~~	208-526~~-4737~~	~~grofnf@inel.gov~~

COMMUNICATIONS

Purpose and Policy

The purpose of this protocol is to define how DOE-ID and its contractor (INEEL) will coordinate with HQ on communications issues, which include media relations, congressional/ intergovernmental affairs, tribal issues, visiting dignitaries, and Freedom of Information Act processing. Applicable orders and guidance include: DOE Policy on Public Participation (DOE P 1210.1); DOE Order on Congressional and Intergovernmental Activities (DOE 1220.1A); U.S. DOE American Indian and Alaska Native Tribal Government Policy; Freedom of Information Act, and DOE-ID Policy and Procedure on Information Requests.

Roles and Responsibilities

Routine media relations: DOE-ID and INEEL.

Non-routine media relations: DOE-ID and INEEL, with concurrence from HQ Office of Public Affairs, in consultation with appropriate HQ program office.

Routine congressional/intergovernmental relations: DOE-ID.
Non-routine congressional/intergovernmental relations: DOE-ID, with concurrence from HQ Office of Congressional/Intergovernmental Affairs, in consultation with appropriate HQ program office.

Routine stakeholder involvement: DOE-ID and INEEL.
Non-routine stakeholder involvement: DOE-ID and its contractor, with concurrence from HQ Office of Public Affairs, in consultation with appropriate HQ program office.

Development of routine information products/events: DOE-ID and INEEL.
Development of non-routine information products/events: DOE-ID and INEEL, with concurrence from HQ Office of Public Affairs, in consultation with appropriate HQ program office.

Routine tribal relations: DOE-ID.
Non-routine tribal relations: DOE-ID, with concurrence from appropriate DOE-HQ elements.

Delegation of Authority

DOE-ID has been delegated authority to respond to media, congressional/intergovernmental and tribal inquiries that are of a routine nature; i.e., those that do not relate to budget, policy, or issues that have significant potential for controversy or political impact. DOE-ID and INEEL staffs have delegated authority to pro-actively contact media, congressional staff, and Tribal officials to provide information on routine INEEL developments. (Routine is defined as NOT relating to budget, policy or issues that have significant potential for controversy or political impact.) DOE-ID and INEEL have delegated authority to make initial contacts with the media and congressional, intergovernmental, and Tribal audiences to provide necessary, timely information during an emergency. After those initial contacts are made, DOE-ID will coordinate with HQ on release of further information.

Management Details

DOE-ID and INEEL counterparts produce a number of information products and take part in a number of activities designed for media, Tribal, general public and/or congressional/ intergovernmental audiences. These include, but are not limited to:

-- News releases
-- Fact sheets
-- Videos
-- Web sites
-- Brochures and other publications
-- Briefings
-- Editorial board meetings
-- Stakeholder meetings
-- Tours
-- Speakers Bureau
-- Newsletters

There are established DOE-ID procedures governing approval of information products and activities. In general, routine products and activities are approved at the DOE-ID level. Non-routine products and activities (those that deal with budget, policy, or have significant potential for controversy or political impact) will be approved by HQ.

Near Term Actions

None.

Ongoing Staff Functions

- DOE-ID and INEEL will interact with local and national media, congressional staff and members, tribal officials, and state and local government. DOE-ID will coordinate with HQ as appropriate.
- DOE-ID will work with NE and other HQ organizations to inform and involve the Idaho governor's office, the Idaho congressional delegation, and tribal officials in important announcements and events related to the INEEL.
- NE (and other CSOs/PSOs as requested) will provide advice and guidance, in concurrence with HQ Offices of Public Affairs and Congressional Affairs, to DOE-ID in a timely manner on responses to congressional, tribal, intergovernmental, and media inquiries related to NE programs. Review in advance information, products, and plans and provide feedback to DOE-ID in a timely manner.
- DOE-ID and INEEL will keep the public and media informed during unusual events/ emergencies (emergency public information) and DOE-ID will notify appropriate governmental organizations.

Organizational Contacts

Organization	Contact	Phone	E-Mail
Media Relations			
NE	Hope Williams (Press Office)	202-586-9701	hope.williams@hq.doe.gov
NE	Elizabeth Connell (Program Office)	202-586-6441	elizabeth.connell@hq.doe.gov
EM	Tom Welch (Press Office)	202-586-4316	thomas.welch@hq.doe.gov
EM	Vicky Soberinsky (Program Office)	202-586-2706	victoria.soberinsky@em.doe.gov
DOE-ID	Tim Jackson	208-526-8484	jacksotb@id.doe.gov
INEEL	John Walsh	208-526-8446	jhw@inel.gov
Congressional/Intergovernmental			
NE	Elizabeth Connell	202-586-6441	elizabeth.connell@hq.doe.gov
EM	Vicky Soberinsky	202-586-2706	victoria.soberinsky@em.doe.gov
CI	Shannon Hendrickson	202-586-8590	shannon.hendrickson@hq.doe.gov
DOE-ID	Brad Bugger	208-526-0833	buggerbp@id.doe.gov
INEEL	Penny Phelps	208-526-1755	phelpm@inel.gov
Tribal Relations			
NE	Elizabeth Connell	202-586-6441	elizabeth.connell@hq.doe.gov
CI	Bob Paduchik	202-586-5450	robert.paduchik@hq.doe.gov
EM	Martha Crosland	202-586-5944	martha.crosland@em.doe.gov
EM	Albert Petrasek	202-586-4818	albert.petrasek@em.doe.gov
DOE-ID	Bob Pence	208-526-6518	pencerl@id.doe.gov
INEEL	Don Miley	208-526-5523	vdm@inel.gov

INSTITUTIONAL PROGRAMS

UNCLASSIFIED CYBER SECURITY

Purpose and Policy

The DOE-ID/INEEL Unclassified Cyber Security program mission is to protect all unclassified government and contractor computer resources, including hardware, software, and data. The program objective is to provide employees with the capability to exchange information internally and with the public, state, and local stakeholders but at the same time prevent the use, manipulation, or control of these resources by unauthorized persons or organizations.

Cyber Security objectives are to:

- Establish the framework for DOE-ID/INEEL's Cyber Security program.
- Set forth requirements for protecting all unclassified DOE-ID/INEEL information and information systems.
- Ensure that DOE-ID/INEEL Unclassified Cyber Security program achieves the objectives of federal regulations.
- Establish better business practices for protecting DOE-ID/INEEL information and information systems, which include provisions for ensuring that the magnitude of harm that could result from the loss, misuse, disclosure, or unauthorized modification of information of information processed, stored, or transmitted using our systems.
- Ensure that the confidentiality, integrity, and accountability of information is preserved by any information system that is used to acquire, store, manipulate, manage, move, control, display, switch, interchange, receive, or transmit that information.
- To establish and maintain an "cyber alert" approach to DOE-ID/INEEL information processing systems security to keep pace with rapidly changing threats, vulnerabilities, missions, and technologies.

Roles and Responsibilities

NE provides overall implementation guidance, Cyber Security Program Plan (CSPP) review, and coordination with the Chief Information Office (CIO) at HQ, DOE-ID, and INEEL.

The HQ CIO has overall Departmental responsibility for the development of Cyber Security policy and guidance while coordinating with the LPSOs; reviews CSPPs; coordinates with the LPSOs to monitor implementation of the DOE cyber security programs; and facilitates establishment and implementation of DOE technical security inter-operability standards. The HQ CIO also coordinates with the Computer Incident Advisory Center, the LPSOs, and the Office of Counterintelligence in establishing DOE incident reporting policy and standards.

The DOE-ID Manager has designated the DOE-ID CIO with the responsibility for ensuring that Cyber Security conducted at DOE-ID and the INEEL complies with DOE policy. The DOE-ID CIO develops the DOE-ID unclassified cyber security policies and procedures and manages investigations of non-compliance with them.

The INEEL Information Resource Management (IRM) director is the contractor CIO and manages the Unclassified Cyber Security program for INEEL.

Development of the CSPP is delegated to the CIOs at DOE-ID and INEEL. Plan approval is required from both CIOs. The DOE-ID CIO is responsible for ensuring the CSPP is forwarded to applicable HQ organizations, including the NE LPSO, the EM LPSO, the Office of the Chief Information Officer (CIO), and the Office of Independent Oversight and Performance Assurance.

Management Details

Cyber Security Operations, more specifically, are conducted under the authority of DOE P 205.1, "Department Cyber Security Management Policy;" DOE N 205.1, "Unclassified Cyber Security Program;" DOE N 205.2, "Foreign National Access To DOE Cyber Systems;" DOE N 205.3, "Password Generation, Protection, and Use;" and DOE N 205.4, "Handling Cyber Security Alerts And Advisories And Reporting Cyber Security Incidents."

Authority for negotiating and executing cyber security programs resides at DOE-ID and the INEEL. DOE-ID and the INEEL are required to coordinate with the DOE-HQ CIO and LPSOs in obtaining approval for the site's CSPP.

DOE-ID's Cyber Security program is directly funded within the Safeguards and Security Program. The strategies for the DOE-ID and INEEL Cyber Security programs are acknowledged in the INEEL CSPP, which is approved by the DOE-ID/INEEL CIOs and is reviewed by DOE-HQ's CIO and the NE and EM LPSOs.

Near Term Actions

None.

Ongoing Functions

- NE
  - Interface with other HQ organizations on Cyber Security scope and funding issues.
  - Provide implementing guidance to DOE-ID on Cyber Security issues.
  - Coordinate NE responses to Department cyber security data calls.
  - Provide review of the DOE-ID/INEEL CSPP.
- DOE-ID
  - Ensure adherence to applicable directives, including, but not limited to, Presidential Directives, Executives Orders, Orders, Manuals, Notices, and the CSPP.
  - Submit the CSPP to HQ CIO and the NE and EM LPSOs for review.
  - Contractor oversight.
- INEEL
  - Maintain the INEEL CSPP.
  - Manage the laboratory Cyber Security Program.
  - Maintain appropriate records.

Organizational Contacts

Organization	Contact	Phone	E-mail
NE	Associate Director - INEEL Liaison	TBD	TBD
DOE-ID	William D. Jensen, CIO, Information Technology Division	(208) 526-1300	~~jensenwd@INEL.gov~~
DOE-ID	Cheryl Arrington-Kincaid, CPPC & CPPM	(208) 526-0227	~~arringcd@id.doe.gov~~
INEEL	Albert W. Lewis, IRM Director and CIO	(208) 526-4503	AL1@inel.gov
INEEL	Marilyn J. Shaw, Cyber Security Operations Manager	(208) 526-1591	smj@inel.gov

INSTITUTIONAL PLANNING

Purpose and Policy

The annual Institutional Planning process provides a forum for DOE and laboratory management to address plans, issues, and programmatic initiatives. The process provides a means for DOE to focus on each laboratory as an institution (rather than a collection of programs) and to review its mission, health, and vitality as an institution, and its plans for the future. In doing so the process considers the scientific and technical mission, capabilities, and competencies, as well as the management, human capital, and infrastructure of a laboratory. A laboratory's Institutional Plan is its baseline plan for the future and guides the development of other laboratory plans. DOE's approval of a laboratory's Institutional Plan indicates that the laboratory's mission, vision, and strategic plan are generally well aligned with Departmental needs and plans.

Roles and Responsibilities

The Director, Office of Science (SC), develops and maintains the Institutional Planning process for the Department. As the CSO for INEEL, NE is responsible for stewardship of assigned laboratories and for the conduct of the Institutional Planning process, the mechanism through which general policy and management stewardship is carried out. The CSO initiates the laboratory Institutional Planning cycle by receiving the annual Institutional Plans from assigned laboratories. A date for the On-Site Review is then scheduled. The CSO co-chairs the annual On-Site Review with the Laboratory Director. The CSO approves the laboratory Institutional Plan based on input from HQ organizations and the Operations Office.

The Laboratory Director is responsible for laboratory planning including development and maintenance of a strategic planning process for the laboratory and using the results of strategic planning as a basis for ancillary plans and operating plans. In preparing the draft Institutional Plan the Laboratory Director incorporates DOE guidance; assesses the results available from the DOE Strategic Planning process in developing the Laboratory Strategic Plan; uses all available guidance from programs in developing the draft Plan; and prepares the Institutional Plan for submittal to HQ consistent with instructions. The Laboratory Director is the co-host with the CSO of the On-Site Review and coordinates the meeting agenda with the CSO. The Laboratory Director provides the final Institutional Plan to HQ and the Operations Office and ensures preparation and production of the final Plan is on schedule.

The DOE-ID manager reviews the draft Institutional Plan, participates in the On-Site Review, and ensures that all substantive comments on the draft Institutional Plan and recommendations from the On-Site Review are addressed in the final Plan.

The Institutional Planning Working Group, chaired by the Director, Office of Laboratory Policy, Office of Science, assesses the prior year's Institutional Planning process and updates the planning requirements. The Institutional Planning Working Group is comprised of DOE CSO, PSO, and laboratory planning representatives.

Process

- The Departmental Institutional Planning Working Group meets and issues process instructions.
- Laboratories conduct internal strategic planning.
- Laboratories submit draft Institutional Plans to HQ and Operations Offices.
- Laboratory On-Site Reviews are conducted, co-chaired by Laboratory Director, and CSO.
- CSOs coordinate DOE PSO review of draft Institutional Plans and provide comments to assigned laboratories.
- Laboratories submit final Institutional Plans to their assigned CSO.
- CSOs approve final Institutional Plans.

Management Details

The labs perform the bulk of the development and administrative functions related to institutional planning. The principal product is the Institutional Plan. HQ and the Operations Office perform a review and approval function. The CSO takes a leadership role in stewarding the laboratory and co-chairs the On-Site Review with the Laboratory Director. The approved Institutional Plan is the basis for NE advocacy within the Department for new initiatives, programs, facilities, and infrastructure at NE labs.

The draft FY 2003-2007 INEEL Institutional Plan was submitted to HQ shortly after the transition to NE was announced. In August NE-1 requested that the laboratory prepare a new strategic plan to reflect the mission realignment outlined by the Secretary. The new draft INEEL Strategic Plan is scheduled to be submitted to HQ in December and will form the basis for the FY 2003-2007 On-Site Review. The INEEL Strategic Plan is an interim document and does not replace the INEEL Institutional Plan. A January date for the On-Site Review is currently being negotiated with NE.

The FY 2004-2008 cycle will be the first complete institutional planning cycle for NE. Due to the late January date of the FY 2003-2007 On-Site Review (On-Site Reviews are generally held in July-September), the INEEL FY 2004-2008 institutional planning cycle will need to be compressed in order to get back on a more typical schedule.

Near Term Actions

- Finalize a date for the FY 2003-2007 Institutional Plan On-Site Review.

Ongoing Functions

- NE
  - Interface with the Office of Science regarding institutional planning policy.
  - Participate as a member of the Institutional Planning Working Group.
  - Coordinate the HQ review of the draft INEEL Institutional Plan.
  - Coordinate development and issuance of the Institutional Plan provisional approval letter signed by NE-1 that summarizes guidance and action items resulting from the On-Site Review and contains preliminary approval of the draft Institutional Plan.
  - Represent NE in any Departmental activities related to planning processes in general.

- Ensure integration with other NE planning/budgeting/review processes.
- Maintain awareness of the planning processes of other CSOs (SC, NNSA).

- DOE-ID

  - Ensure adherence to DOE institutional planning guidance by reviewing and commenting on draft Institutional Plans.
  - Participate in annual On-Site Review.

- INEEL

  - Manage the laboratory strategic planning process.
  - Develop the laboratory Institutional Plan.
  - Coordinate the annual Institutional Plan On-Site Review.
  - Communicate Institutional Plan content to all laboratory employees.
  - Implement laboratory strategic plans.

Organizational Contacts

Organization	Contact	Phone	E-Mail
NE	Associate Director – INEEL Liaison	TBD	TBD
DOE-ID	Linda McCoy	298-526-7121	~~mccoyls@id.doe.gov~~
INEEL	Susan Hensley Ray Enge	208-526-3342 208-526-0813	henssl@inel.gov rre@inel.gov

WORK FOR OTHERS

Purpose and Policy

Work for Others (WFO) is work performed by DOE or contractor personnel for non-DOE entities and/or use of facilities not directly funded by DOE appropriations. WFO is also a tech transfer mechanism.

WFO objectives are to:

- Assist other federal agencies and non-federal entities in accomplishing goals otherwise unattainable and avoid duplication of effort at federal facilities.
- Provide access for non-DOE entities to highly specialized, unique facilities, services, or technical expertise not readily available in the private sector.
- Increase R&D interactions between facilities and industry to transfer DOE-developed technology to industry for further development or commercialization.
- Maintain and enhance the science and technology base at facilities.
- In addition to accomplishing the objectives above, WFO revenue results in some laboratory fixed overhead costs being carried by non-DOE parties.

By law, WFO is conducted on a full-cost recovery basis including a 3% federal administrative charge (FAC). Certain classes of WFO customers are eligible for waiver of the FAC. All proposed WFO projects are subject to contracting officer approval. As a matter of DOE policy, WFO must:

- Be consistent with or complementary to DOE missions and those of the facility to which the work is assigned (very broadly construed at all laboratories).
- Not adversely impact assigned DOE programs.
- Not directly compete with the domestic private sector.
- Not create a future burden on DOE resources.

Roles and Responsibilities

The Director of Management, Budget and Evaluation/CFO (ME-1) has overall Departmental responsibility for WFO policy. NE is responsible for WFO conducted at the INEEL and Radiological and Environmental Sciences Laboratory (RESL), coordinates with appropriate secretarial offices on sensitive projects, and approves annual WFO levels requested by operations office managers. The DOE-ID manager is responsible for ensuring that WFO conducted at the INEEL or RESL complies with DOE policy. In this role, DOE-ID develops and implements local procedures; manages the WFO approval process; conducts periodic review of contractor policies and activities; notifies NE of projects involving sensitive subjects; and submits an annual WFO report to NE and ME-1. The DOE Chicago Operations Office (CH) provides intellectual property counsel and support for WFO conducted at the INEEL and RESL. Laboratory directors are responsible for ensuring WFO obligations are fulfilled and WFO activities do not interfere with DOE program requirements.

Process

- Laboratory develops proposed WFO projects in coordination with DOE-ID and PSOs, as appropriate.
- DOE-ID manages the DOE approval process, coordinating with NE, IP Counsel at DOE-Chicago, other parts of DOE, and other agencies when appropriate. No work can begin prior to DOE-ID approval.
- WFO funding flows through DOE-ID to the INEEL. Depending on the total projected cost, partial or total funding authority must be received prior to commencement of work in all cases.
- Laboratory executes the work, interacting directly with the sponsor.
- DOE-ID reviews overall program periodically.
- NE reviews WFO program as part of the annual on-site laboratory review.

Management Details

WFO is conducted under authorities of the Economy Act as reflected in DOE Order 481.1B and M 481.1, contract provisions (INEEL), and delegated authority (RESL). Full authority for negotiating and executing individual transactions resides in labs and DOE-ID. For proposed projects involving specific subject areas or foreign entities, DOE-ID is required to coordinate with various HQ organizations prior to approving the projects. The labs perform the bulk of the business and administrative functions. DOE policy and the operating framework are well established. DOE rule of thumb (uncodified) is that WFO should not exceed 30% of a lab's total budget. DOE-ID is responsible for required certifications or determinations and findings on individual projects. For federal WFO, DOE-ID is responsible for receiving funds from the CFO and for transferring funds to the INEEL or RESL, as well as conducting project oversight on behalf of the customers. For non-federal WFO, once DOE-ID approves the project and the funding, the lab has responsibility for performance. At the transaction level, NE is involved on an exception basis only.

Near Term Actions

None.

Ongoing Functions

- NE
  - Interface with other HQ organizations and other Federal agencies on individual transactions, as requested by DOE-ID.
  - Participate in the TTWG and communicate TTWG WFO issues and actions to DOE-ID, INEEL, and RESL.
  - Coordinate NE lab responses to Departmental or other data calls.
  - Review laboratory performance in WFO as part of annual laboratory on-site review.
- DOE-ID
  - Ensure adherence to DOE policy by reviewing, coordinating, approving, and (for federal WFO) monitoring performance on individual WFO projects.

- Submit annual report on WFO performance to NE and to ME.
- Ensure adequate records are maintained.

- INEEL

  - Develop proposed WFO projects and secure DOE approval consistent with established policy.
  - Execute approved WFO projects in accordance with their terms.
  - Maintain appropriate records of WFO activity.
  - Prepare an annual report and other periodic or one-time reports as directed by DOE-ID.

Organizational Contacts

Organization	Contact	Phone	E-mail
NE	Associate Director – INEEL Liaison	TBD	TBD
DOE-CH	Bob Fisher	630-252-2176	robert.fisher@ch.doe.gov
DOE-ID	Alden Wynn	208-526-9385	wynnac@id.doe.gov
RESL	Doug Carlson	208-526-2143	carlsord@id.doe.gov
INEEL	Chuck Briggs	208-526-0441	cwb@inel.gov

LABORATORY OPERATIONS

INEEL FACILITY PLANNING AND CAPITAL ACQUISITIONS

Purpose and Policy

The purpose of this protocol is to define how DOE-ID and its contractors (INEEL) will coordinate with HQ on facility planning and capital acquisitions (general plant projects, line item construction projects, and general purpose capital equipment), which includes planning, prioritization, and funding. Applicable orders and guidance include: Draft DOE Order 430.1A, "Real Property Asset Management;" DOE Order 413.3 (and ID Order 413.A), "Project Management;" DOE Order 534.1, "Accounting;" OMB Circular A-11, Part 3, "Planning, Budgeting and Acquisition of Capital Assets;" Title 41 FMR Section 102-34, "Replacement Standards;" OMB Circular A-11, "Motor Vehicle Reporting Requirements;" and the Consolidated Omnibus Reconciliation Act (COBRA) of 1985.

Roles and Responsibilities

NE provides budget guidance to the field, reviews and evaluates the various INEEL facility planning documents, and approves/processes the line item construction project proposals.

Coordination between NE and EM must occur to ensure that the EM footprint reduction and the NE new mission facility requirements meet the intent of the congressional language regarding facility planning.

DOE-ID provides guidance to the INEEL for the development of capital acquisitions and facility planning documents. DOE-ID also concurs with planning documents, budget forecasts, new project proposals, and submits the appropriate documentation to the sponsoring HQ office for information, review, or approval. DOE-ID provides owner oversight on all delegated projects/activities.

INEEL is responsible to perform facility planning and management activities including:

- Perform ongoing assessments of the current status of the site physical assets against program mission projections.
- Identify physical assets required to meet mission needs in conformance with program guidance.
- Complete personnel consolidations and facility closures, or acquire new facilities/space, as required to meet mission needs in conformance with program guidance.
- Prioritize all acquisitions and projects based on a program-approved prioritization method [Capital Asset Management Program (CAMP) prioritization process, Risk-based Prioritization Model (RPM), or Facility Assessment and Ranking System (FaaRS)].
- Submit line item construction project proposals.
- Formulate budget requirements for physical asset activities.
- Establish integrated cost, schedule, technical, and funding baselines.

- Document all activities/budget in a Ten-Year Site Plan (Infrastructure Long Range Plan) that includes the acquisition, rehabilitation, modification, and disposition of physical assets.

- Provide an Annual Motor Vehicle Statement.

Delegation of Authority

DOE O 413.3 requires an acquisition executive for projects with a total project cost greater than $5M. DOE-ID assumes this role for projects delegated by NE.

Management Details

The INEEL with DOE-ID support and concurrence:

- Coordinates with human resources (staffing projections) and project management personnel.

- Considers reliability, sustainability, pollution prevention, future deactivation, disposition, life-cycle costs, and configuration integrity in designs and acquisitions.

- Provides for a leasing program for off-site lease acquisitions.

- Utilizes a comprehensive land-use planning and management process with stakeholder involvement.

- Produces required/enabling information products for DOE-ID and INEEL and takes part in a number of activities including publication of the Ten-Year Site Plan (Infrastructure Long Range Plan), the INEEL Projects Five-Year Plan, the Comprehensive Facility and Land Use Plan, and the General Purpose Capital Equipment Five-Year Acquisition Plan. These plans document and address the physical asset management needs supporting the INEEL Strategic Plan and the EM Performance Management Plan for Accelerating the Cleanup of the INEEL.

Near Term Actions

NE to issue delegation authority to DOE-ID for DOE O 413.3 projects less than $100M.

Ongoing Functions

- INEEL

  - Perform comprehensive and timely land, facility, and project planning and produces documentation that supports DOE/INEEL mission need, with reassessment should those needs change.

  - Complete Acquisition Plans and Project Execution Plans and submit to DOE-ID for approval as required.

- Report monthly to DOE-ID against baselines and milestones with variance analyses, and provides other formal reporting as required by DOE-ID.

- Utilize a continuous improvement process to ensure the cost effectiveness of the management and acquisition of capital assets.

Organizational Contacts

Organization	Contact	Phone	E-mail
NE	Associate Director - INEEL Liaison	TBD	TBD
EM	Randal Scott	301-903-3626	randal.scott@em.doe.gov
DOE-ID	William Leake	208-526-1713	leakewh@id.doe.gov
DOE-ID	Dan Shirley	208-526-9905	shirledb@id.doe.gov
INEEL	Tom Moriarty	208-526-7812	tpm@inel.gov
INEEL	John Clymo	208-526-9851	clymj@inel.gov

INEEL FACILITY TRANSFER AND INACTIVE FACILITIES MANAGEMENT

Purpose and Policy

The purpose of this protocol is to define how DOE-ID and its contractors (INEEL) will coordinate with HQ to complete the process of transferring programmatic and financial responsibility of land and/or facilities from one Program Office to another. This process identifies the minimum requirements and actions needed to characterize and place land and facilities, including systems and materials, in stable and known conditions, to ensure hazards are identified and acknowledged, and to reach agreement as what condition a facility must be in before transfer is initiated. Applicable orders and guidance include: Draft DOE Order 430.1A, "Real Property Asset Management;" DOE G 430.1-2, "Implementation Guide for Surveillance and Maintenance During Facility Transition and Disposition;" DOE G 430.1-3, "Deactivation Implementation Guide;" DOE G 430.1-4, "Decommissioning Implementation Guide;" and DOE G 430.1-5, "Transition Implementation Guide."

Roles and Responsibilities

NE provides policy guidance on land and facilities use, responsibility, and ownership. NE also coordinates with other PSOs/CSOs that have programs at the INEEL and with the Office of Management, Budget and Evaluation (ME).

Coordination between NE and EM must occur to ensure that the EM footprint reduction and the NE new mission facility requirements meet the intent of the congressional language regarding facility planning.

DOE-ID provides guidance and oversight to the INEEL in managing land and facilities. Substantial decisions and facility planning documents are provided to HQ for information, review, or approval.

INEEL is responsible to perform the following activities:

- Review and coordinate all economic development sales and leases, including sales of land for less than fair market value.
- Provide annually a list of facilities excessed during the year and the facilities projected to become excess in the next five years.
- Coordinate the possible reuse of inactive facilities and coordinate the disposal of facilities declared to be excess.
- Manage inactive and excess facilities program including landlord facilities that have not been transferred to the appropriate organization for deactivation and decommissioning.
- Ensure that radioactive and hazardous materials and waste are removed and/or stabilized unless otherwise agreed to prior to facility transfer.
- Coordinate relocation of personnel and equipment from inactivated facilities.

- Complete a pre-transfer review and facility condition assessment prior to the transfer of a facility unless otherwise agreed to by the Program Office to which the facility will be transferred.

- Prioritize and budget for the surveillance and maintenance, and ultimate deactivation, decontamination, and decommissioning of inactive and excess facilities.

Management Details

The INEEL with DOE-ID support and concurrence:

- Coordinates with INEEL programs and operations to determine out year facility needs and establish excess facility projections.

- Manages facility closures and relocation of personnel and equipment.

- Determines the level of surveillance and maintenance required for inactive and excess facilities and arranges for the specified coverage to be provided.

- Coordinates the activities necessary to complete the Facility Transfer Checklist and establishes a Memorandum of Agreement outlining the conditions of facility transfer.

- Maintains identification of responsibility for specific facilities by updating the "INEEL Building Ownership Data Base." Changes may be made upon agreement by the affected Secretarial Offices as new missions are developed or other changes are identified.

- Produces required/enabling information products for DOE-ID and INEEL and takes part in a number of activities including publication of:

  - Ten-Year Site Plan (Infrastructure Long Range Plan)
  - INEEL Projects Five-Year Plan
  - Comprehensive Facility and Land Use Plan
  - General Purpose Capital Equipment Five-Year Acquisition Plan
  - INEEL Excess Facility Action Plan
  - Facility Ownership and Disposition Forecast
  - On-line INEEL Area Planning Database.

  These plans document and address physical asset management needs along with the condition and availability information of inactive and excess facilities that supports the INEEL Strategic Plan and the EM Performance Management Plan for Accelerating the Cleanup of the INEEL.

Near Term Actions

The facility transfer process needs to consider:

- Results of NE 90-day review to be incorporated into overall infrastructure agreements and plans.

- Process is developed to ensure that footprint reduction/new mission infrastructure needs are aligned.

Ongoing Functions

- INEEL
  - Continually evaluate and address opportunities to consolidate personnel and inactivate marginal and/or underutilized facilities.
  - Work with DOE-ID and HQ organizations to access facility reuse opportunities for INEEL inactivated facilities.
  - Conduct activities and collects documentation necessary to complete Facility Transfer Checklists and Facility Condition Reports for facility transfer candidates.
  - Plan and budget for the inactivation and disposition of underutilized or depleted facilities.
  - Plan, budget, and conduct surveillance and maintenance of inactive and excess facilities.
  - Report monthly to DOE-ID against baselines and milestones with variance analyses, and provide other formal reporting as required by DOE-ID.

Organizational Contacts

Organization	Contact	Phone	E-mail
NE	Associate Director - INEEL Liaison	TBD	TBD
EM	Randal Scott	301-903-3626	randal.scott@em.doe.gov
DOE-ID	William Leake	208-526-1713	leakewh@id.doe.gov
DOE-ID	Dan Shirley	208-526-9905	shirledb@id.doe.gov
BBWI	John Clymo	208-526-9851	clymj@inel.gov
BBWI	Tom Moriarty	208-526-7812	tpm@inel.gov

FEDERAL FACILITY AGREEMENT/CONSENT ORDER (FFA/CO)

History

The INEEL was placed on the National Priority List in 1989 based on the past practice of injecting waste directly into the Snake River Plain Aquifer through the Test Area North (TAN) and Idaho Nuclear Technology and Engineering Center (INTEC) injection wells and based on the known content of the Subsurface Disposal Area (SDA) at the Radioactive Waste Management Complex (RWMC). The INEEL is a single Superfund site.

In 1991, the state of Idaho, EPA Region 10, and DOE signed a Federal Facility Agreement and Consent Order (FFA/CO), pursuant to Section 120(e) of the Comprehensive Environmental Response, Compensation and Liability Act (CERCLA), defining the processes and schedule for implementing CERCLA remediation of the INEEL. The intent of CERCLA remediation is to reduce the risk posed by past practices to an acceptable level. Decisions are based on calculated risk to workers, the public, and the environment.

The FFA/CO divided the INEEL into 10 Waste Area Groups (WAGs), one for each of the nine current and former facility areas and one for the area outside facility area fences. A schedule for characterization of each WAG, for the selection of the appropriate remedies, and for implementation of the remedies is included in the FFA/CO. The INEEL has signed and implemented all but three of the Records of Decision (RODs) required by the FFA/CO. RODs are still under development for the INTEC Tank Farm, RWMC, and the Snake River Plain Aquifer. The remediation of WAG 2, Test Reactor Area, is complete. Each INEEL CERCLA ROD leaves contamination in place after taking actions that reduce the risks to acceptable levels. In some cases, the risk is posed by short-life radionuclides or biodegradable organic compounds and will be eliminated in a known amount of time (100 years). In other cases, the risk is posed by long-life radionuclides or heavy metals and will never be eliminated.

Purpose and Policy

CERCLA includes requirements to:

- Maintain knowledge of any contamination left in place.
- Maintain any engineered structures (caps, fences, etc.) and/or signage that are part of the remedy for contamination left in place.
- Monitor the migration and environmental impact of any contamination left in place.

These requirements are captured in a set of EPA policies called Institutional Controls (ICs). CERCLA requires that DOE assess the effectiveness of each remedial action after five years and then at five-year intervals, as long as contamination remains in place. DOE includes ICs within a broader set of site responsibilities called stewardship. The transition from active remediation under CERCLA to maintenance of remedies under stewardship must be defined on a site-specific basis.

Roles and Responsibilities

Environmental Management (EM) – EM will retain responsibility for and will fund the active remediation of the INEEL including negotiation of FFA/CO actions with the regulators, reporting progress, and integration of CERCLA actions with operations and with other regulatory requirements.

Nuclear Energy (NE) – NE will take responsibility for and fund ICs subject to decisions reached in the Long Term Stewardship program.

DOE-ID/INEEL – DOE-ID is responsible for maintaining environmentally compliant operations at the INEEL. Pursuant to this responsibility, DOE-ID will continue to negotiate and sign CERCLA RODs that commit DOE to fund specific remediation activities on specific schedules. The PSO assigned to a facility area will be consulted on the issues, terms, and conditions of these RODs. CERCLA RODs do not require DOE signature but can be forced on DOE by EPA Region 10. PSOs must abide by all CERCLA decisions when they assume control of a facility area.

Delegation of Authority

The DOE-ID manager has the authority to negotiate FFA/CO RODs, milestones, and penalties.

Near Term Actions

- CERCLA places restrictions on any new use of the INEEL. The new production well being planned for TRA could be affected by those restrictions. TRA needs to keep the CERCLA program informed of all actions planned for TRA. The regulators need to be informed of contemplated new uses.

Ongoing Staff Functions

- HQ Offices
  - Since authority to negotiate, sign, and implement FFA/CO actions resides with the DOE-ID manager, the primary HQ functions are:
    - Explain and defend budget requests to OMB.
    - Provide coordination between DOE and EPA on policy issues including long-term stewardship.
    - Provide coordination between DOE and DOD. DOD is the largest Federal CERCLA party and manages remediation from a central office.
    - Facilitate coordination between DOE site remediation teams.
    - Provide National Analytical Management Program (NAMP) services.
    - Review FFA/CO sub-projects being managed under DOE Order 413.2A.
    - Provide oversight of high visibility projects including the Glovebox Excavator Method for Pit 9 retrieval demonstration.
    - Provide final negotiation of FFA/CO disputes.

- DOE-ID

  - FFA/CO decisions must be negotiated between the DOE-ID FFA/CO Program Manager (delegated to the Environmental Restoration Lead), the Idaho Department of Environmental Quality CERCLA Program Manager, and the EPA Region 10 INEEL Program Manager. This responsibility cannot be delegated to the contractor unless the FFA/CO is modified. The responsibilities of the Environmental Restoration team are all part of implementing the FFA/CO:

    - Meet all FFA/CO milestones.
    - Lead public review of proposed plans.
    - Select remedial alternative.
    - Approve work plan for ROD or RI/FS.
    - Maintain the Administrative Record for the FFA/CO.
    - Maintain life-cycle cost data for each WAG and ROD.
    - Request funds to cover FFA/CO compliance.
    - Provide oversight of contractor implementation of FFA/CO contamination characterization, remedial action development, remedial action implementation, ICs maintenance, and long-term understanding of the scientific basis for risk decisions.

- INEEL

  - Provide characterization of contamination and technical analysis.
  - Prepare FFA/CO milestone documents.
  - Develop schedules for FFA/CO actions and develop cost estimates.
  - Conduct remediations.
  - Implement ICs.
  - Maintain all FFA/CO required records.

Organizational Contacts

Organization	Contact	Phone	E-Mail
EPA Region 10	Wayne Pierre	206-553-6271	pierre.wayne@epamail.epa.gov
IDEQ	Dean Nygard	208-373-0285	dnygard@deq.state.id.us
NE	Associate Director – INEEL Liaison	TBD	TBD
EM	Randal Scott	301-903-3626	randal.scott@em.doe.gov
DOE-ID	Kathleen Hain	208-526-4392	hanke@id.doe.gov
INEEL	Michael Graham	208-526-2945	grahmj@inel.gov

ENVIRONMENTAL PERMITS, REPORTS, MONITORING, TESTING, AND RECORD KEEPING

Purpose and Policy

The INEEL has a variety of operating processes, facilities and activities that are subject to environmental regulation and DOE Order environmental requirements. Environmental permits, reports, monitoring, testing, and record keeping are requirements from environmental laws and regulations, compliance agreements, and DOE orders. These requirements usually apply or are triggered by specific activities, programs or operations but can sometimes be applicable across the entire INEEL.

Roles and Responsibilities

Assigning wholesale responsibility for a particular law or regulation to any single program on the INEEL, in its entirety, is generally not possible. The assignment of responsibility for compliance with environmental requirements is based on a project, facility or operation and its funding organization. NEPA roles and responsibilities are defined well in the DOE Order so are not repeated here.

NE – NE is responsible for permits, reports, monitoring, testing, record-keeping requirements for site-wide or multiple facilities/operations with multiple PSOs. For permits, reports, monitoring, testing, record keeping, and NEPA requirements, NE would bear a proportional funding obligation for their projects/facilities/operations.

EM – EM is responsible and will fund the portion of the cost of the compliance activity and for supplying the data and information necessary for their projects/facilities/operations. For example, an air emissions inventory must contain the emissions data from every facility on the INEEL site. NE, through DOE-ID, is responsible for making sure the report is prepared, and is consistent and compliant with requirements, but the facilities/programs must provide the information that makes up the report.

Other PSOs -The PSO is responsible and will fund the portion of the cost of the compliance activity and supply the data and information necessary for their projects/facilities/operations. For example, an air emissions inventory must contain the emissions data from every facility on the INEEL site. NE is responsible for making sure the report is prepared, and is consistent and compliant with requirements, but the facilities/programs must provide the information that makes up the report.

DOE-ID – DOE-ID has the primary responsibility to interface with the State of Idaho on INEEL regulatory issues. DOE-ID also identifies regulatory and NEPA requirements, schedules and budgets to meet the requirements, keeps the appropriate PSO informed of any issues, and coordinates with NE as the lead PSO for any significant cross-cutting regulatory issues. Routine compliance activities within existing budget do not require active coordination with the PSOs.

Near Term Actions

- Ensure this compliance function is supported with adequate funding through transition, particularly for site-wide requirements.
- Become familiar with INEEL regulatory and NEPA status.

Ongoing Functions

- NE

  The regulatory responsibility is usually held at the field office level according to the requirements in the environmental regulations. Therefore, the LPSO/CSO/PSO has little involvement in routine activities in this area. As the HQ line organization, they mainly have an oversight responsibility, as well as assisting to secure adequate funding to meet compliance requirements.

- DOE-ID

  The DOE-ID Field Office Manager is held responsible through state and federal regulations for certification of environmental permit applications and various regulatory reports and for securing required environmental permits for the INEEL. The DOE-ID Manager is also responsible for meeting a variety of DOE Order requirements. DOE-ID staff review the documents prepared by the contractor for compliance with requirements, effective use of the federal budget, and consistency with the mission. DOE-ID is responsible for requesting adequate budget to cover compliance requirements.

- INEEL

  DOE-ID contractors prepare permit applications, reports and monitoring plans, and initiate the environmental review process, often certifying the accuracy of the documents. They are also contracted to implement the resulting requirements and plans. The documents are submitted to DOE-ID for approval. The INEEL has the primary responsibility and liability for day-to-day environmental compliance.

Organizational Contacts

Organization	Contact	Phone	E-Mail
NE	Robert Lange	(301) 903-2915	robert.lange@hq.doe.gov
EM	~~Randal Scott~~	~~(301) 903-3626~~	~~randal.scott@em.doe.gov~~
DOE-ID	Teresa Perkins	(208) 526-1483	~~perkintl@id.doe.gov~~ Teresa.Perkins@nuclear.energy.gov
INEEL	Ron Guymon	(208) 526-4704	Guymrh2@inel.gov

ENVIRONMENTAL REGULATORY CONSENT ORDERS, AGREEMENTS, AND COMPLIANCE MILESTONES

Purpose and Policy

The INEEL is subject to a number of environmental laws and regulations that are enforced by the State of Idaho, usually the Department of Environmental Quality (DEQ), the Environmental Protection Agency, and through citizen lawsuits. These requirements usually apply or are triggered by specific activities, programs or operations. Violations of those requirements or lawsuits could result in enforcement actions and consent orders, compliance agreements or court ordered or other fines, penalties, and corrective actions. Responsibility for the fines, penalties, and corrective actions will be assigned based on a project, facility, or operation and its funding organization. At this time, other than the FFA/CO, three enforceable regulatory agreements are active for the INEEL. Of the first two, the RCRA NON/Consent Order and the 2002 RCRA Notice of Violation (NOV)/Consent Order are the result of enforcement actions. For the third, DOE-ID entered into a Voluntary Consent Order under RCRA with the Idaho DEQ to characterize and remediate tank systems that potentially contain hazardous wastes and are no longer in use. The Consent Order has been implemented and will continue for several years.

The INEEL is also subject to the INEEL Settlement Agreement with the State of Idaho that contains many milestones regarding spent fuel, waste management, and environmental cleanup activities.

Roles and Responsibilities

NE - NE coordinates the INEEL response on an enforcement action/agreement negotiation, but fund only their portion of the cost of the compliance activity. The other responsible PSOs would supply funding when their facilities are involved. For example: Each violation in a NOV or Consent Order is normally the result of one or a few noncompliant activities at a specific project or facility. That facility or project would be responsible for the associated fine or penalty, and the negotiation costs and corrective action. NE would also assist in reaching agreement between DOE programs on responsibility and concurrence on signing agreements. NE would authorize the DOE-ID Manager to sign negotiated consent orders containing only issues associated with NE activities or those containing multiple program office issues. NE would assist DOE-ID with obtaining concurrence from other responsible PSOs as needed.

EM – EM is responsible for any fines, penalties, and milestones resulting from single or multiple EM projects/facilities/operations. Regarding fines, penalties, and milestones resulting from site-wide or multiple facilities/operations with multiple PSOs, EM would be responsible and would fund their portion of the cost of the compliance activity and supply the data and information necessary for their projects/facilities/operations. Overall coordination and management of the Voluntary Consent Order will continue to be the responsibility of EM. DOE-ID will follow the EM "Guidance for Environmental Cleanup and Compliance Agreements and Related Milestones," dated December 15, 2000, until new guidance is provided for revisions to existing EM agreements and for future negotiations that affect EM.

Other PSO - Responsible for any fines, penalties, and milestones resulting from single or multiple projects/facilities/operations with one responsible PSO. For fines, penalties, and

milestones resulting from site-wide or multiple facilities/operations and multiple PSOs, each responsible PSO would fund only their portion of the cost of the compliance activity and supply the data and information necessary for their projects/facilities/operations.

DOE-ID/INEEL – DOE-ID has the lead for negotiations and discussions with the regulatory agencies and to notify the responsible PSOs when enforcement actions are taken or when agreements must be renegotiated. Certain high level agreements may be negotiated by a negotiation team including HQ and DOE-ID representatives. When non-compliant conditions are discovered, DOE-ID is to work through the contractor to correct the deficiency as soon as possible if existing funding is adequate and negotiate consent orders/compliance agreements with DEQ. DOE-ID coordinates issues and negotiation status with responsible PSOs, and obtains authority to sign consent orders from NE and other affected PSOs as appropriate.

Delegation of Authority

Authority to sign enforceable agreements will be requested on a case-by-case basis, or according to EM or other PSO guidance. No other standing delegations of authority are in effect for environmental agreements.

Near Term Actions

Until the transition is effective, EM will continue to act as the LPSO for purposes of regulatory agreements. DOE-ID will coordinate negotiations of agreements/enforcement activities with the current and future PSO for the affected facility or program to ensure future commitments are accepted.

Ongoing Functions

- NE

  Review documentation provided by the field regarding enforcement actions and negotiated agreements, appoint a point of contact to work with the field as the agreement is negotiated and to coordinate the HQ approval to sign. Assist the field with meeting reasonable review and approval schedules.

- DOE-ID

  Direct work with the regulators and the INEEL contractors on negotiation and implementation of consent orders and agreements. Coordinate with responsible PSOs as needed.

- INEEL

  The INEEL contractor leads negotiations with regulatory agencies resulting from enforcement actions where they have full responsibility or greater technical knowledge of the issue, coordinating negotiating strategy with DOE-ID. The INEEL contractor plans and implements projects to complete milestones in negotiated agreements, and corrects non-compliant conditions as soon as possible after discovery.

Organizational Contracts

Organization	Contact	Phone	E-Mail
NE	Robert Lange	(301) 903-2915	robert.lange@hq.doe.gov
EM	Randy Scott	(301)-903-3626	randal.scott@em.doe.gov
DOE-ID	Teresa Perkins	(208) 526-1483	~~perkintl@id.doe.gov~~
INEEL	Ron Guymon	(208) 526-4704	Guymrh2@inel.gov

For Information Only – No Operational Responsibility for NE

FIELD INTELLIGENCE ELEMENT/SENSITIVE COMPARTMENTED INFORMATION FACILITY

Purpose and Policy

The HQ DOE Office of Intelligence (HQ DOE/IN) maintains Field Intelligence Elements (FIEs) and Sensitive Compartmented Information Facilities (SCIFs) at several DOE National Laboratories. The purpose of the FIE and SCIF at the INEEL is threefold:

1. Provide intelligence support to DOE/IN in the accomplishment of the mission of the office and the DOE as a whole. To accomplish this portion of the mission, the INEEL SCIF provides workspace, communications capability, and expertise at the appropriate levels of classification. In addition, the INEEL SCIF supports the DOE Office of Counterintelligence (DOE/CN) by providing the INEEL Counterintelligence Program with appropriate working space and capabilities.

2. Provide intelligence support to Work For Others (WFO) clients in the accomplishment of WFO projects (intelligence and non-intelligence related) that have been approved by DOE/IN and assigned to the INEEL for accomplishment and that require an SCIF for accomplishment. Such clients include other members of the Intelligence Community (IC) as well as non-IC components of the Department of Defense. In addition, many non-IC agencies within the federal community are supported through DOE/IN approved WFO projects.

3. Provide an SCI environment for other federal components located on the INEEL complex. For example, DOE ID has no access to an SCIF other than the one operated by the INEEL.

It should be noted that the FIE is an entity made up of personnel who are specifically designated as members of the FIE and who perform work in support of HQ and other clients. As designated members of the INEEL FIE, those personnel are considered extended members of the United States Intelligence Community. The SCIF is a physical location that is maintained to provide a working environment at an appropriate classification level and administrative controls for material that requires special handling as a result of classification.

Roles and Responsibilities

As the Senior Intelligence Officer within DOE, the Director of the Office of Intelligence (IN-1) is responsible for all activities within the various FIEs. He appoints, in writing, a Director for the INEEL FIE from among the contractor staff. In this role, the Director of the INEEL FIE is responsible to and reports directly to the Director of the Office of Intelligence. There are no intermediate levels of management within the contractor organization or DOE-ID with regard to the operation of the FIE or SCIF. The Director of the FIE is responsible for implementation of all governing documents related to the FIE and SCIF and for the safe and secure operation of the SCIF.

Delegation of Authority

None.

Management Details

The Director of the INEEL FIE employs a Special Security Officer (SSO) to execute the day-to-day tasks associated with maintenance of the FIE and SCIF. The SSO ensures compliance with all administrative requirements levied by HQ DOE/IN or by documents that govern the intelligence community. The primary governing documents include Presidential Executive Order 12333 and Director of Central Intelligence Directives (DCIDs). In addition, the SSO processes requests for special security clearances and passes those clearances to other agencies as required.

Near Term Actions

None.

Ongoing Staff Functions

The Director of the INEEL FIE maintains liaison with the Director of the HQ DOE Office of Intelligence and manages the INEEL FIE and SCIF in compliance with applicable directives and policies.

Organizational Contacts

Organization	Contact	Phone	E-Mail
HQ DOE	Thomas S. Ryder	(202) 586-2610	tromryder@hq.doe.gov
DOE-ID	Don MacDonald	(208) 526-6520	~~macdondw@id.doe.gov~~
INEEL	Larry E. Freeman	(208) 526-4410	freele@inel.gov

Donald.MacDonald@nuclear.energy.gov ✓

R&D OVERSIGHT

SCIENTIFIC AND TECHNICAL PERFORMANCE MEASUREMENT

Purpose and Policy

The value of the INEEL to accomplish the NE mission and other DOE missions depends entirely on the lab's ability to produce world class scientific and technical (S&T) products to address mission needs at a cost commensurate with the value. To evaluate the laboratory's overall effectiveness and efficiency, DOE, in collaboration with its laboratories, has developed a set of performance measures that have been included, to varying degrees, in the laboratory management contracts. While individual PSOs make their own judgments regarding the quality of INEEL technical performance, overall performance of the laboratory is important to DOE-ID, NE, and DOE.

The current approach measures INEEL performance in producing original, creative scientific output that advances fundamental science and opens important new areas of inquiry. This approach considers scientific and technical achievements, performance in peer-reviewed publications, awards, scientific and technical leadership, new R&D projects, post-doctoral/Ph.D. students involved in INEEL research, and the outcomes and recommendations of peer review panels and external advisory boards. Collectively these indicators are known as the Science Excellence Index (SEI), which is formalized in the Performance Evaluation and Measurement Plan (PEMP). The SEI is monitored through the course of the year and measured formally as part of the annual review of the contractor for fee determination purposes.

Roles and Responsibilities

NE is responsible, in conjunction with affected PSOs, for ensuring the existence of appropriate scientific and technical excellence standards, measures, and evaluation methodologies for the INEEL. The DOE-ID Manager is responsible for defining the standards and measures, incorporating them into the INEEL contract through appropriate contract actions, and, in conjunction with NE and PSOs, conducting evaluations of laboratory performance against the standards and measures. The INEEL lab director is responsible for managing laboratory operations to the standards established by NE.

Process

- DOE-ID defines and incorporates standards and measures into the INEEL lab contract.
- The INEEL laboratory director manages to the standards and measures and reports results.
- DOE-ID, in coordination with NE, leads evaluation of the laboratory.
- The laboratory director addresses review concerns through management action.

Management Details

Monthly laboratory management reviews focus on scientific performance and identify significant accomplishments or areas of concern as well as recording progress against the SEI. These monthly reviews involve senior laboratory officials and DOE-ID senior program management. In addition, SEI performance is tracked monthly in a shared INEEL/DOE-ID database where a high/medium/low achievement probability score is assigned. A formal validation and update of SEI data is done quarterly by the contractor. The year-end close out on the SEI is factored into

fee deliberations. In addition, formal peer reviews of individual programs or projects are done at various times through the year, typically involving DOE-ID technical staff.

Near Term Actions

- Baseline current practices and drivers at the INEEL.
- Develop plans to address any existing deficiencies in S&T performance or performance measurement.

Ongoing Functions

- NE
  - Periodically review INEEL S&T performance standards and methodologies to ensure their relevance and effectiveness.
  - Maintain knowledge of current practices and standards across the DOE complex and the S&T community at large.
  - Communicate INEEL performance to other organizations, as appropriate.
- DOE-ID
  - Review INEEL scientific and technical performance on an on-going basis through peer reviews and monthly, quarterly, and annual reviews of SEI performance.
  - Ensure appropriateness of measurement criteria programmatic and Departmental priorities.
- INEEL
  - Ensure scientific and technical performance is to highest standards.
  - Provide data and initiate peer reviews as needed to measure/validate performance.

Organizational Contacts

Organization	Contact	Phone	E-Mail
NE	Assistant Director – INEEL Liaison	TBD	TBD
DOE-ID	Linda McCoy	(208) 526-7121	~~mccoyls@id.doe.gov~~
INEEL	Fred Gunnerson	(208) 526-4640	gunnf@inel.gov
INEEL	Richard Jacobsen	(208) 526-4435	jacor@inel.gov
INEEL	Jeff Benson	(208) 526-3841	bensjb@inel.gov

Linda.McCoy@nuclear.energy.gov. ✓

SCIENTIFIC AND TECHNICAL INFORMATION MANAGEMENT

Purpose and Policy

It is a federal requirement (OMB Circular A-130) that the results of work performed with federal funds be made as widely available as allowed by statute or other regulations. All contractors expending DOE resources to create scientific and technical information, in whatever form, have an obligation to ensure that the information is managed in a manner consistent with DOE's policy and objectives (DOE Order 241.1A). The INEEL Scientific and Technical Information (STI) management program is intended to ensure that the results of work performed for DOE, or for others using DOE facilities, are documented using reasonable, uniform processes that result in effective and appropriate recording, review, and dissemination of taxpayer-funded work performed at or for the INEEL. The STI Management program (a) interprets and communicates DOE and other federal requirements concerning the production, use, review, and dissemination of government-funded information at the INEEL, and (b) assists the company in effectively managing this resource.

Roles and Responsibilities

The DOE Office of Scientific and Technical Information (OSTI), within the Office of Science, has overall responsibility for the Department's policies concerning STI Management. Oversight at the Field Office level is provided by the designated Technical Information Officer. The INEEL is required to identify an STI Manager as the primary interface between the contractor and the Department. The STI Manager and the contractor Classification Officer work closely with the Field Office Classification Office to keep abreast of subject areas of concern, particularly those having to do with Homeland Security and Applied Technology.

The contractor STI Manager is responsible for the activities mentioned in the Purpose and Policy section above.

Delegation of Authority

At the INEEL, the contractor Classification Office plays an integral support role in the review of information intended for external release.

Management Details

The STI Management function is responsible for administering the numbering and tracking of STI products (reports, journal articles, conference presentations, Internet home pages, software, brochures, displays). Once completed, the STI product must be reviewed by the STI Management office for classified, sensitive unclassified, and export controlled information before being distributed beyond the INEEL. Copies (electronic files) of the final product are provided to DOE-OSTI and placed on the INEEL external homepage unless statutory requirements or other conditions prohibit such public release.

Near Term Actions

NE has historically designated some of its research areas as being Applied Technology, meaning that the information generated is subject to certain distribution restrictions. The

DOE-ID Technical Information Officer and the contractor STI Manager will need to be informed of such subject areas at the INEEL.

Ongoing Staff Functions

NE has a designated interface with the Office of Scientific and Technical Information. The DOE-ID Technical Information Officer is in place, as is the contractor STI Manager.

Organizational Contacts

Organization	Contact	Phone	E-mail
NE-20	David Henderson	301-903-3097	david.henderson@hq.doe.gov
OSTI	Madelyn Wilson	865-576-8404	wilsonm@osti.gov
DOE-ID	Nicole Brooks	208-526-0709	~~brooks@id.doe.gov~~
INEEL	Dale Claflin	208-526-1199	~~dfc@inel.gov~~

Nicole.Brooks@nuclear.energy.gov ✓

BIOLOGICAL ETIOLOGIC MATERIALS MANAGEMENT

Purpose and Policy

Research using biological etiologic (disease causing or causing an abnormal condition) agents at DOE facilities is managed to ensure that work involving biological select agents and other human pathogens occurs in a safe, secure, and effective manner that protects workers, the public, and the environment.

DOE N 450.7, "The Safe Handling, Transfer, and Receipt of Biological Etiological Agents at Department of Energy Facilities," is the governing document and has been included in the INEEL contract. It requires compliance with 42 CFR Part 72, "Interstate Shipment of Etiologic Agents," implementation of 29 CFR 1910.1030, "Occupational Exposures to Bloodborne Pathogens," and implementation of appropriate biological etiologic agent guidelines and best practices consistent with those from the U.S. Department of Health and Human Services (HHS) Centers for Disease Control and Prevention (CDC), the National Institutes of Health (NIH), and the World Health Organization (WHO).

Roles and Responsibilities

The INEEL contractor is responsible for establishing an Institutional Biosafety Committee (IBC) and appointing a Responsible Facility Official (RFO) to interface with the CDC, order and receive select agents, and maintain records of certification and CDC form EA-101, "Transfer of Select Agents," for each biological select agent received or transferred.

DOE-ID confirms the contractor is in compliance with the requirements for working with biological etiologic agents.

NE is responsible for notifying the contracting officer to incorporate modifications to the requirements of DOE N 450.7 into the INEEL contract.

Process

- The principal investigator submits to the IBC a plan for use of biological select agents that addresses how safety protocols will be implemented.

- The IBC reviews the plan against appropriate standards and guidelines for containment levels, facility, procedures, practices, training, and expertise of personnel. Additionally, the IBC reviews the INEEL security, safeguards, and emergency management plans to ensure they adequately address work with biological etiologic agents.

- The research can be conducted when the research plan is approved by the IBC and the Independent Hazard Review (IHR) process. (The IHR addresses hazards of the research in addition to biological hazards.)

- The biological etiologic agent is ordered and receipt confirmed by the RFO.

- A copy of the CDC form EA-101 is provided to DOE-ID.

Management Details

The IBC recommends approval and reviews proposals and programs using biological select agents for compliance with appropriate standards and guidelines. The IBC is required to meet at least annually, maintain an automated inventory database of biological etiological agents, and maintain written, auditable records of its reviews and meetings. The INEEL contractor is required to establish an immunization policy for personnel working with biological etiologic agents.

INEEL R&D line management appoints an RFO who registered with the CDC prior to any biological etiologic work being conducted at the INEEL. The RFO maintains the INEEL Certificate of Registration to conduct biological etiologic research, orders and documents receipt of etiological select agents, and maintains copies of all EA-101 transfer forms for select agents obtained or shipped to other registered facilities. The RFO also provides DOE-ID with a copy of CDC registration and each CDC Form EA-101 upon initial submission of the form.

DOE-ID must confirm that the contractor has established an IBC and provide annual written statement based on submittals by the contractor that programs using biologic select agents are in compliance with DOE N 450.7. DOE-ID staff with the appropriate technical expertise and training must participate in the IBC. DOE-ID must maintain copies of the CDC registration certificate and CDC form EA-101 for each biological select agent received or transferred and maintain an automated inventory and record of the status of biological etiologic agents at the INEEL.

NE is required to confirm that the INEEL is registered with the CDC for the transfer and receipt of the biological select agents prior to the INEEL requesting such agents for the first time. Since the INEEL has been registered for some time and has been ordering and receiving these agents, no action on NE's part would be required. NE is also required to notify the contracting officer to include modifications to DOE N 450.7.

Near Term Actions

- None.

Ongoing Functions

- DOE-ID
  - Member of the IBC.
  - Maintain records of certification and CDC form EA-101 for each biological select agent received or transferred.
  - Maintain an automated inventory and record of the status of biological etiologic agents at the INEEL (per DOE N 450.7, Sections 4.g and 4.h).
- INEEL
  - Continue to conduct IBC reviews as needed.
  - Maintain CDC registration.

- Maintain records of certification and CDC form EA-101 for each biological select agent received or transferred.
- Maintain an automated inventory and record of the status of biological etiologic agents at the INEEL (per DOE N 450.7, Attachment 1, Contractor Requirements Document, Statement 4).

Organizational Contacts

Organization	Contact	Phone	E-Mail
NE	Associate Director – INEEL Liaison	TBD	TBD
DOE-ID	~~Thomas L. Must~~	~~208-526-4145~~	~~musttl@id.doe.gov~~
INEEL	Francisco F. Roberto	208-526-1096	ffr@inel.gov

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PROTECTION OF HUMAN SUBJECTS

Purpose and Policy

Research using human subjects provides important medical and scientific benefits to individuals and to society. The need for this research does not, however, outweigh the need to protect individual rights and interests. DOE policy regarding this issue is established in the Federal Policy for the Protection of Human Subjects, adopted by DOE June 18,1991 at 10 CFR 745, "Protection of Human Subjects."

Human subject research is any form of research that involves recording of data about an individual. So, while the use of human subjects in medical tests is often the first example that comes to mind when "research using human subjects" is mentioned, the requirements cover a much broader area. Collecting data from records that an individual would not expect to be made public, using individuals (often the researchers themselves) to demonstrate how a technology, such as a restraint system, operates, or developing operator-friendly control panels by observing individuals using the panels would all fall under these requirements for protection of human subjects. These examples are typical INEEL research that includes human subjects.

No research (including classified research) involving human subjects conducted with DOE funding, at DOE institutions, or by DOE personnel may be initiated without both a project assurance and approval by the cognizant Institutional Review Board (IRB) in accordance with 10 CFR 745.103. The assurance may be either an approved single project assurance (SPA) or multiple project assurance (MPA) obtained from the Department of Health and Human Services (DHHS) or the DOE Human Subjects Research Program Manager (SC-72).

Roles and Responsibilities

Human subjects involved in research at the INEEL are protected to ensure that the study protects their rights and welfare. The INEEL IRB reviews and approves or disapproves any research that has been identified involving human subjects. As a matter of DOE policy, the IRB must:

- Ensure that all project managers and principal investigators know their responsibility to protect the rights and welfare of human subjects, as defined by DOE order.
- Provide guidance and assistance in reviewing the project requirements to determine or confirm the need for human subject involvement.
- Coordinate project documentation and maintain records on all projects involving human subjects.
- Obtain approval for proposed research from SC-72.

The President/General Manager of the INEEL has overall responsibility for the protection of human subjects in research. SC-72 is responsible for oversight of research involving human subjects at DOE facilities. The DOE-ID Human Subject technical lead is responsible for ensuring that research involving human subjects at the INEEL adheres to the federal regulations and complies with DOE policy. Laboratory directors are responsible for ensuring the protection of human subjects in any proposed research at the lab.

Process

- The principal investigator (PI) writes and submits a research protocol proposal. The PI and manager validate the need to use human subjects. The proposal is submitted to the IRB chairperson or IRB Administrator for review and determination for the need of an IRB review.
- If the protocol proposal is reviewed and accepted by the INEEL IRB, the lab President / General Manager approves the proposal and the proposal is forwarded to SC-72 for approval. (Copy is sent to DOE-ID for their files).
- Upon approval of SC-72, the research can begin.
- INEEL IRB reviews every active protocol on an annual basis.
- All communications with SC-72 are copied to the DOE-ID technical lead.

Management Details

INEEL IRB activities are guided and monitored by SC-72. SC-72 must be notified of any new solicitation or proposal involving human subjects research (including personally identifiable information or materials) that addresses an institution without an established IRB or an institution with a Single Project Assurance. The INEEL currently has a Single Project Assurance. The Heads of Field Organizations (HFOs) or their Designees (DOE-ID Tech lead) ensure that all proposals for research, studies, tests, surveys, surveillance, or other data collection are reviewed to identify research involving human subjects. Any questions or uncertainties regarding the applicability of human research subjects protection requirements to such proposals should be referred to SC-72 for resolution and determination. One of the requirements of SC-72 is to oversee the administration of human research subjects protection programs of contractors.

The INEEL IRB Chairperson and administrator are the contractor points of contact with SC-72, resolving any questions or problems that may arise with projects involving human subjects.

Near Term Actions

None.

Ongoing Staff Functions

- Ensure that all principal investigators know their responsibility to protect the rights and welfare of human subjects, as defined by DOE order.
- Review the project requirements to determine or confirm the need for human subject involvement.
- Provide guidance and oversight of all proposed research at the INEEL involving human subjects.
- Coordinate project documentation and maintain records on all projects involving human subjects.
- Review all research that is greater than minimal risk involving human subjects to ensure that the study protects the rights and welfare of human subjects.

Organizational Contacts

Organization	Contact	Phone	E-Mail
NE	Associate Director - INEEL Liaison	TBD	TBD
SC-72	Susan Rose	301-903-4731	Susan.L.Rose@science.doe.gov
DOE-ID	~~Patricia St. Clair~~	208-526-~~1961~~	~~stclaipl@id.doe.gov~~
INEEL	Richard Jacobsen	208-526-4435	jacor@inel.gov
INEEL	Linda Mortensen	208-526-2692	hgl@inel.gov

LABORATORY DIRECTED RESEARCH AND DEVELOPMENT

Purpose and Policy

Laboratory Directed Research and Development (LDRD) is research and development activity at DOE multi-program national laboratories conducted under the authorities and processes defined in DOE 413.2A, Laboratory-Directed Research and Development (dated January 8, 2001). LDRD supports high-risk, potentially high-value R&D in order to strengthen the scientific and technical vitality of the lab, enhance the lab's ability to address future DOE missions, foster creativity and stimulate exploration of forefront science and technology, and be a proving ground for new research. DOE 413.2A authorizes participating laboratories to allocate to LDRD up to 6% of a laboratory's total operating budget, including non-DOE funded work, for the year, plus an amount of capital equipment funds not to exceed 6% of its total capital equipment budget for the year.

In April 2002 the Secretary of Energy issued a memorandum, "Future Direction of Laboratory Directed Research and Development Program and the Plant Directed Research, Development and Demonstration Program," that provided additional guidance regarding the management of LDRD. Subsequently, the Administrator for National Nuclear Security Administration (NNSA), Director of the Office of Science (SC), and Assistant Secretary for Environmental Management (EM) issued memos to their respective laboratories providing direction regarding compliance with the Secretary's guidance (see attached references).

Roles and Responsibilities

In July 2002 the DOE Director, Office of Laboratory Policy in the Office of Science, issued a memo that clarified roles and responsibilities for the SC laboratory LDRD Programs. They are consistent with those followed by the NNSA laboratories.

- DOE Office of Science (SC)
  - Establishes Departmental policy for all LDRD Programs in the form of DOE Order 413.2A and is the focal point for policy clarification and issue resolution.
- Director, DOE Office of Nuclear Energy (NE)
  - Approves, before the beginning of the new fiscal year, the INEEL LDRD Annual Program Plan and maximum percentage of funding that may be expended or obligated on LDRD activities for the next fiscal year.
  - Exercises management oversight of LDRD activities at the INEEL and conducts an annual review and assessment of the INEEL LDRD program.
  - Grants exceptions to the 36-month maximum rule for duration of an LDRD project.
  - Reviews the LDRD program as part of the annual Institutional Planning On-site Review.
  - Participates in the Office of Science LDRD Working Group and NNSA Laboratory Working Group.
- DOE-ID Manager (or designee)
  - Oversees the implementation of the INEEL LDRD Program.

- Reviews the INEEL annual LDRD Program Plan and proposed funding level and provides a written recommendation on the Plan and requested funding level to NE.
- Assesses each proposed LDRD project for compliance with the requirements of DOE Order 413.2A and concurs with or withholds concurrence.
- Reviews the INEEL annual LDRD Report.
- Ensures that other Federal agencies are properly notified that a portion of the funds collected through the Work for Others program will be used to fund LDRD projects.
- Provides the NE Director with a written concurrence for any project that the laboratory requests an exception from the 36-month maximum rule for duration of LDRD projects.

• INEEL Laboratory Director

- Manages the INEEL LDRD program consistent with the requirements of DOE Order 413.2A.
- Supports all LDRD review and oversight activities.
- Ensures that all LDRD projects support the DOE national security missions (energy resources, nuclear security, environmental quality, and science) and missions of other Federal agencies.
- Provides an annual LDRD program plan as required by DOE Order 413.2A.
- Submits a data sheet to DOE-ID for every project that may be selected by the laboratory to assist DOE-ID in assessing project compliance with the guidance established by DOE Order 413.2A.
- Provides an annual written LDRD report with a cover letter affirming the quality of science, research relevance to DOE missions, and adherence to compliance requirements for the LDRD program.

Delegation of Authority

Normally, before the beginning of each fiscal year, the NE Director or delegate reviews and approves the INEEL LDRD Annual Program Plan and maximum percentage of funding that may be expended or obligated on LDRD activities for the upcoming fiscal year, with notification then sent in writing to DOE-ID and INEEL. For FY-03 this responsibility has been delegated to DOE-ID.

Management Details

INEEL's laboratory management process for its LDRD Program has five major components:

(1) A top-level strategic planning process to identify strategic science and technology areas for LDRD investment.
(2) A call to the laboratory scientific and technical community for innovative and relevant proposals within the DOE mission areas.
(3) A scientific peer-review process to select an LDRD portfolio from these proposals, and a ranking process by senior management to prioritize the portfolio of projects for funding.
(4) Monthly monitoring coupled with a mid-year technical and cost progress review.
(5) Formal annual reporting in accordance with DOE Order 413.2A and directives from the Secretary of Energy.

Near Term Actions

- Issue a memorandum requiring NE approval of INEEL's LDRD Program Plan, starting in FY 2004.
- Issue a memorandum on roles and responsibilities for management of the LDRD program that brings NE in line with the guidance provided by SC and NNSA.
- Identify a Federal HQ official with responsibility for the INEEL LDRD program.

Organizational Contacts

Organization	Contact	Phone	E-mail
NE	Rob Versluis	301-903-5057	rob.versluis@hq.doe.gov
DOE-ID	Linda McCoy	208-526-7121	~~mccoyls@id.doe.gov~~
INEEL	~~Debonny Shoaf~~	208-526-~~0430~~	~~dls@inel.gov~~

Linda.McCoy@nuclear.energy.gov

References

1. Secretary of Energy Spencer Abraham, "Future Direction of Laboratory Directed Research and Development Program and the Plant Directed Research, Development and Demonstration Program," April 30, 2002.

2. Office of Science Director Raymond Orbach, "Laboratory-Directed Research and Development," May 9, 2002.

3. Toni G. Joseph, "Office of Science Roles and Responsibilities Guidance for Laboratory-Directed Research and Development," July 8, 2002.

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