

U.S. Department of Energy
Transportation External Coordination Working Group

Meeting Summary
December 8-9, 1992

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Transportation External Coordination Working Group
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U. S. Department of Energy
Transportation External Coordination Working Group
December 8 - 9, 1992 Meeting Summary

Introduction

On December 8 and 9, 1992 representatives of the U.S. Department of Energy (DOE) and members of the Transportation External Coordination (TEC) Working Group, met for the second time to continue refining and identifying major issues for the Working Group or DOE to address. The original issues and some additional details on the steps and resources necessary to implement selected initiatives were listed in a June 1992 draft report, *Meeting Summary, March 30 - April 1, 1992: U.S. Department of Energy Transportation Emergency Preparedness External Coordination (TEC) Working Group*.

This *Meeting Summary* simply reports what was discussed in the breakout sessions during the December meeting and provides text from the general session speakers' overhead viewgraphs and other useful information. Changes to the TEC Working Group *Planning Guide* that result from this meeting will appear in a revised edition of the guide which will be available to participants as soon as it has been reviewed by DOE representatives of the group.

The meeting had three main segments:

1. An overview of several transportation-related DOE programs and the budget process;
2. A review of topics and objectives in the TEC Working Group *Planning Guide*; and
3. Break out sessions where participants developed task-level suggestions for DOE.

In part one, three DOE presenters gave an overview of DOE programs and the budget process. Gerald Boyd, Director of the Office of Special Programs (OSP), presented a "Program Planning and Budget Process Overview," which showed how DOE formulates and executes its programs and how program activities fit into the annual fiscal process. Gerald illustrated how the budget formulation process, the program formulation process, and the program assessment process coincide.

Judith Holm, Liaison and Communications managers, delivered a presentation for Jim Cruickshank of OSP's Emergency Management Division, which gave an overview of some of their program activities. Judith Described the initiatives under their Transportation Emergency Preparedness Program and listed several courses they sponsor.

Susan Smith of DOE's Office of Civilian Radioactive Waste Management discussed the status of several on-going DOE programs related to the objectives derived from comments at the

first TEC Working Group meeting, including

- * a DOE *Transportation Roadmap* which lists appropriate regulations;
- * work in conjunction with the Commercial Vehicle Safety Alliance on standardizing and enhancing inspection procedures; and
- * involvement in U.S. Department of Transportation activities implementing the Hazardous Materials Transportation Uniform Safety Act.

Susan also discussed constraints and factors affecting the implementation of suggested goals and objectives. Copies of the view graphs from the three presentations are attached at the end of this document.

Parts two and three of the agenda include an overview of the topics covered in the *Planning Guide* which was handed out at the meeting and a series of break out sessions where participants reviewed and modified *Guide* objectives and developed task-level recommendations for DOE to undertake as part of attaining the objectives. A listing of all proposed modifications is included in this meeting summary.

Finally, this summary includes a copy of the meeting agenda and attendance list and a copy of the TEC Working Group charter and member organization list.

Emergency Management Session Discussion

George Ruberg led the session and representatives from the following groups participated.

American College of Emergency Physicians
Council of State Governments
International Association of Chiefs of Police
International Association of Fire Chiefs
National Coordinating Council on Emergency Management
National Emergency Management Association
National Congress of American Indians
National Association of Counties
U.S. Department of Energy
Western Governors Association

Discussion in the emergency management session focused on four major areas.

- * Prioritizing and refining objectives;
- * Identifying overarching concerns;
- * Developing task-level suggestions; and
- * Making suggestions related to the ongoing process.

Prioritizing and refining objectives

Participants added an objective to the "Suggested objectives for DOE" listed in section four (page 8) of the December 3rd draft of the *Planning Guide*. They then used an informal voting process to prioritize some of the objectives, and also revised several of them. Ranking and changes are as follows. Some of the objectives were grouped as equally important.

First:

- b. Develop approaches to improve state, tribal, and local emergency response capabilities, including a federal interagency program to assist states, tribes, and local jurisdictions along DOE transportation corridors in the development of emergency response plans annexes for response to incidents involving radioactive materials. Specific items to be addressed include
 - medical preparedness;

- training, re-training, and evaluation;
- integration of plans and exercises at all levels;
- creation of a national information clearinghouse; and
- standardized equipment lists, maintenance support, and related training.

Second:

- e. Develop "user-friendly" emergency response guidance for DOE shipments: including looking at basic or generic guidance plus incident specific and mode specific information, including specialized audiences such as the media.

Third:

- a. Participate in developing a nationwide inventory of national response capabilities and identifying federal, state, tribal, and local response agencies.
- h. Support or discuss the need for standardizing level emergency classification of response.
- i. Address medical preparedness.

Fourth:

- d. Facilitate mutual aid agreements and other state, tribal, and local agreements for response.
- f. Facilitate the integration of the private sector (for example, carriers, utilities, etc.) into the state, tribal, and local emergency planning process involving DOE shipments.

Fifth:

- c. Provide incident data to state, tribal, and local emergency responders and determine other information needs of responders.
- g. Clarify responsibility for emergency response to DOE rail shipments.

Identifying overarching concerns

Participants identified six overarching concerns (in addition to those listed in the "discussion

guidance" handed out at the meeting) to be taken into consideration as the Working Group develops and evaluates suggestions for objectives or tasks.

- * Fiscal impacts
- * Regulatory impacts
- * Institutional impacts
- * Impact on tribes (for example, including tribes in all initiatives and providing direct funding)
- * Impact on volunteer organizations
- * Use of existing mechanisms (for example, trying to use existing funding vehicles)
- * Getting information to the working level, that is to the field responders (for example, ensuring that transportation information is distributed to tribes and local governments as well as to states)

Developing task level suggestions

Participants developed the following task level suggestions to begin implementing some of the objectives as prioritized and revised above.

Suggestions related to objective b:

- 1) Improve the existing basic source guidance, specifically the U.S. Department of Transportation (DOT) Emergency Response Guidebook (ERG) and CHEMTREC information. Include RE/ACTS information. Survey responders or conduct focus group workshops to determine what changes are needed. (Discussants stated that the ERG was too general to be effective for radiological incidents and that responders needed emergency action levels and simple checklists. However, they recommended that DOE survey responders directly for their opinions.) Identify other source documents or basic source material which should be reviewed.
- 2) Improve DOE information distribution. Specifically, (a) send news releases to organizations (not individuals) for redistribution to their members and constituents through their own newsletters or trade publications and other mechanisms; (b) provide an 800 phone number for information requests (possibly a system which would use voice mail options to select the proper DOE office or unit); (c) provide a technically

knowledgeable point of contact for the professional community during specific shipping campaigns; and (d) staff the 24 hour phone numbers required on shipping papers with people knowledgeable about emergency response.

Suggestions related to objective e:

- 3) For different types of shipments, develop flyers or fact sheets which are specific to the product, isotope, and transportation mode, to be used as a planning tool for responders.

Suggestions related to objective h:

- 4) Consider the following ideas or criteria.
 - * Initial classification should be an observable condition.
 - * Factor in local response capabilities.
 - * Help responders understand DOE's support role.

Suggestions related to the ongoing process

Participants made the following suggestions as to how the Working Group should proceed: (a) formal review and comment on written reports; (b) structured phone conferences; (c) address objectives which were not discussed sufficiently at the December meeting; and (d) format ideas for the next meeting (multiple issues).

Participants suggested that DOE develop a work plan or work statement for each task they agree to and submit it to the Working Group for discussion.

Other questions or discussion items

Ron Falkey summarized discussion at the meeting of the DOE Transportation Emergency Preparedness Program (TEPP) Steering Committee. This is one of the internal DOE groups which will be reviewing and commenting on suggestions from the TEC Working Group.

The group also discussed the definition of a "DOE transportation corridor" as used in objective b, and decided for purposes of discussion at the session to include all DOE shipment routes, not just those for WIPP shipments.

Other comments included

OSHA training at the awareness level does not address radioactive materials.

DOE should provide realistic threat assessments (the real scenarios, the worst case, the likely incidents).

Related to objective e above, discussants weren't sure that the level of guidance detail to be provided would change with different transportation modes, but they wanted to leave the term *mode specific* in for now.

Safe, Routine Transport; Inspection and Enforcement Session

Susan Smith and Larry Blalock led this session. Representatives from the following groups were selected to participate.

Clark County, Nevada Planning Department
Columbia River Inter-Tribal Fish Commission
Commercial Vehicle Safety Alliance
Conference of Radiation Control Program Directors
Council of State Governments
Council of Energy Resources Tribes
Edison Electric Institute
National Conference of State Legislatures
National Congress of American Indians
U.S. Department of Energy
Western Interstate Energy Board
Western Governors Association

Discussion began with the "Uncertain, General, and Outside DOE Scope" comments from the previous meeting's summary. Participants commented that since the TEC Working Group was now the top-level group from which DOE was seeking external input on transportation (and taking over the role that the Transportation Coordinating Group used to have?) DOE should publicize the changing roles of the various groups.

There was some discussion about the need for a strategic plan and the possible use of the Office of Civilian Radioactive Waste Management's (OCRWM) Transportation Plan covering this need. There was some frustration expressed over dealing with documents from the Office of Environmental Restoration and Waste Management. By comparison, participants in the training session recommended not having more plans.

DOE is addressing human factors in the DOE Handbook for Human Factors Engineering Methods being developed by Nuclear Energy. There was a recommendation that transportation be included in that work.

I. Safe, Routine Transport

The first item addressed was a definition of "safe, routine transport." The need for a common definition was explained as necessary to implement Section 180(c); to develop uniform, consistent documents and protocols to guide shipments; and to determine how safe, routine transport applies to training, funding, etc. Participants then generated definitions.

Prioritizing and Refining Objectives

The group then discussed objective b, "Use DOT criteria for establishing appropriate routes to provide assistance in developing alternative route designations." Larry Blalock explained how Highway Route Controlled Quantity (HRCQ) routes are selected and said that DOE would be happy to help states develop alternative routes. He explained that as a shipper, DOE does not tell the carrier which route to take because of the liability involved and suggested the objective be changed to read that DOE will use criteria.

In reference to objective g, "Develop a system for providing and updating specific information on DOE waste shipments to state, tribal, and local governments for planning purposes," various lists and studies concerning waste streams were discussed.

Since the shipping campaign guide being developed by EM will cover all the remaining objectives, it was discussed at length. Larry Blalock explained what the guide is and its status as an internal DOE document. DOE would seek some external input to the guide but the document is in the early stage of development. Susan Smith said objectives c, d, f, and h would be folded into objective e which is addressed by the shipping campaign guide and that the TEC Working Group would review and provide input to the guide.

Use of escorts was discussed next. Larry Blalock stated that DOE has no objection to states or tribes escorting shipments as long as there is no cost to DOE and there is no undue delay to the shipments. The group discussed the concept of using the "Winnebago" escort system where everything needed to respond to an accident would accompany each shipment. Susan Smith pointed out that this would take the place of money provided under 180(c). The group thought the concept worth looking into and recommended that OCRWM take the lead and brainstorm with selected TEC members. They suggested that any report also consider: existing models; public perception issues; discussions with first responders and fire chiefs; rail issues; and authority issues.

Task Level Suggestions

- 1) Provide a definition of "safe, routine transport" considering participants' suggestions.
- 2) Provide the group members with a copy of the report put out by the Shipment Mobility/Accountability Collection System (SMAC).
- 3) Create an outline for a study to look at the escort concept (including cost and safety benefits) and provide it to the group.
- 4) Look into having a tribal group address the question of which tribes have the authority and interest to inspect spent fuel and high level waste (HLW) shipments.

- 5) Make draft section(s) of shipping campaign guide available for TEC information.
- 6) Have Commercial Vehicle Safety Alliance (CVSA) evaluate DOE's Motor Carrier Evaluation Program.
- 7) Support tribal effort to amend Nuclear Regulatory Commission (NRC) and DOT regulations on notification.

II. Inspection and Enforcement

Discussion began with whether DOE could ensure compliance by inspection and enforcement or if it was the responsibility of states and tribes.

Prioritizing and Refining Objectives

Objective 2a, "Work with the U.S. Department of Transportation and the NRC to provide incident data to state and tribal enforcement agencies and encourage states to distribute information to local agencies". Larry Blalock pointed out that TRANSNET includes the Radioactive Materials Incident Report (RMIR) which is available to anyone. DOE provides access through TRANSNET to other related databases and applications as well.

Larry Blalock stated objective 2b could not apply to all of DOE because unlike OCRWM, most of DOE does not have a mandate and therefore no funds to achieve the goal.

In discussing goal 2c Jeanette Wolfley asked DOE to get CVSA to include tribes in the CVSA inspection work. Bob Robison suggested the group consider how it could help CVSA achieve its goal of reducing the number of inspections.

Task Level Suggestions

- 1) Bernard Bevill of Conference of Radiation Control Program Directors (CRCPD) will provide copies of the CRCPD *Directory of State Agencies Involved with the Transportation of Radioactive Material* at the next meeting.
- 2) Present Radioactive Materials Incident Report (RMIR) to TEC.
- 3) Provide RMIR incident data to states, tribes, and local governments in a format compatible for their training programs.
- 4) Support inclusion of tribes in CVSA discussions.

- 5) Look at state, tribal, and local inspection, enforcement, and involvement with safe, routine transport of rail shipments. (The group also suggested the possibility of a presentation at the next meeting by a representative of the rail industry, the Federal Railroad Administration, or a state rail regulator.)
- 6) Have presentation to TEC on rail authorities.
- 7) Have Commercial Vehicle Safety Alliance look at coordination to minimize enroute inspection.
- 8) National Conference of State Legislatures presentation to TEC on uniformity in permitting efforts.
- 9) Tribal presentation to TEC on tribal authority and implementation of authority regarding hazardous materials transportation.

Other task level suggestions

- 10) Research the question of which tribes have police authority and the interest that those tribes might have in joining the CVSA inspection program. (Jeanette Wolfley will make a presentation on tribal police powers and authority at the next TEC Working Group meeting.)
- 11) Set up a briefing on the Hazardous Materials Transportation Uniform Safety Act for the next meeting.
- 12) Rework all the top-level goals in the *Planning Guide* based on the input from the meeting so that the goals and objectives read in a consistent manner.

Training and Technical Assistance Session Discussion

Judith Holm led this session. Training session participants were invited from the following groups.

Association of American Railroads
International Association of Fire Fighters
National Association of Counties
Southern States Energy Board
U.S. Department of Energy
Western Governors Association
Western Interstate Energy Board

I. Training

Discussion focused on participants' concerns about training and revision of the goals, objectives, and activities listed in the draft *Planning Guide*.

Concerns ranged from the basic health and safety of fire fighters to policy implementation as a result of the TEC Working Group's efforts. Participants discussed how to provide adequate equipment and training for emergency response including the problem of payment for release time to get training. The issue of simply determining the difference between emergency responders and first responders was brought up because some occupations, e.g., toll booth operators, have identified themselves as first responders and are getting funds that could go to fire departments.

Judith Holm discussed how DOE needs to fit into the different types of training available from other agencies (integration). Participants pointed out that states appreciate flexibility to train emergency responders as they wish. The issue of who needs to be trained was discussed, for example, emergency training for the Waste Isolation Pilot Plant (WIPP) is done only along the routes the waste will travel. We need to determine which communities will be impacted. If there's no through highway or railroad line, no potential for impact exists. Should training then be targeted at the audience along the transport routes only?

Gerald Boyd commented that there are differences in levels of training between urban and rural areas, so add-on for radioactive materials may not work. DOE needs to work with communities ready for an add-on while developing a baseline with other agencies.

It was pointed out that even though DOE may only be responsible for accidents during transportation, all hazardous materials are the same to fire fighters - whether they are being transported or not. More than half the fire fighters in the country are volunteers and more than half the hazardous materials incidents are handled by local fire fighters. Some fire fighters are refusing to respond to non-life-threatening situations. They don't buy the

equipment or train for hazardous materials incidents. Some, however respond whether they know they are dealing with hazardous materials or not.

For general distribution of basic training, local emergency planning committees (LEPCs), which may seem to be the obvious choice, may not be sufficient or efficient as contact points. Participants agreed that distribution of training may be best achieved through train-the-trainer methods.

The railroads see no difference between hazardous materials and nuclear waste. Levels of training and roles and responsibilities of responders need to be made clear.

Some groups expressed a major concern for funding mechanisms for training. These need to be identified and information on their accessibility provided.

There was some concern that work done by the TEC Working Group be made tangible through the implementation of policy. Judith Holm explained that DOE follows DOT and NRC rules and regulations and the group's work would not affect those over-riding rules.

The need for data on accidents was discussed. It was suggested that we obtain the study being completed by the National Academy of Sciences on how emergency responders can be made aware of what hazardous materials may be involved in an emergency. Another report being done by the Environmental Protection Agency on activity at Superfund sites was also suggested. In addition, the Federal Emergency Management Agency (FEMA) maintains a profile of radioactive readiness. It's updated quarterly and information comes from every state with a radiological officer.

Before rewriting the training goal, the group defined the term "training" to mean preparation for appropriate response.

The rewritten training goal is, "To assure adequate training for safe transportation of DOE radioactive materials shipments."

Prioritizing and Refining Objectives

The rewritten training goal objectives in order of importance are the following.

Determine appropriate levels of training and equipment.

Develop performance standards for training (adopt existing standards or develop new ones.

Coordinate DOE training development and delivery with other training programs (federal, tribal, state, local, industry).

Ensure adequate/appropriate funding for training (include: identify sources, coordinate sources, identify recipients).

Developing Task Level Suggestions

- 1) Obtain the study being completed by the National Academy of Sciences, the report being done by the Environmental Protection Agency on activity at Superfund sites, and an example of FEMA's profile of radioactive readiness.

II. Technical Assistance

Discussion time for technical assistance was limited. The rewritten goal for technical assistance is to provide appropriate and timely technical assistance to tribal, state, and local governments for safe transport of radioactive materials.

Task level suggestions

- 1) The definition for technical assistance needs to be refined, but will include resources for the following.

- detection devices
- technical
- in-kind
- financial resources (not just direct)
- other

- 2) Participants suggested finding out the lessons learned from responding to radiological incidents and addressing the need for baseline physical examinations for fire fighters. They also suggested developing a directory of technical assistance sources (who to call for what you need).

U.S. Department of Energy
Transportation External Coordination Working Group
Meeting Agenda
December 7-9, 1992

Monday December 7th

6:00pm - 7:30pm Registration and reception
Franciscan D Room

Tuesday morning, December 8th

7:45am - 8:15am Continental breakfast
Franciscan D Room

8:15am - 8:45am Welcome, introductions, overview of meeting

Susan Smith

8:45am - 9:15am Overview of DOE program planning and budget process

Gerald Boyd

9:15am - 9:30am Overview of Working Group documents:
Charter, Meeting Summary, Analysis, and Planning Guide

George Ruberg

9:30am - 10:00am Break

10:00am - Noon Review of *Planning Guide* topics

- | | |
|--|------------------------|
| 1. General planning | <i>Gerald Boyd</i> |
| 2. Protocols for safe, routine transport | <i>Larry Blalock</i> |
| 3. Inspection and enforcement | <i>Susan Smith</i> |
| 4. Emergency management | <i>Jim Cruickshank</i> |
| 5. Training | <i>Jim Cruickshank</i> |
| 6. Technical assistance | <i>Judith Holm</i> |
| 7. Public informaton and education | <i>Judith Holm</i> |

Noon - 1:30pm Lunch in the Marin Room
Explanation of Breakout Session Procedures

Tuesday afternoon, December 8th

- 1:30pm - 3:00pm Breakout sessions to discuss programmatic recommendations
Rooms: Franciscan D, Sausalito A, Sausalito B
- Session A Safe, routine transport; inspection and enforcement
Session B Emergency management
Session C Training and technical assistance
- 3:00pm - 3:30pm Break
- 3:30pm - 5:00pm Breakout sessions continued
Rooms: Franciscan D, Sausalito A, Sausalito B
- Dinner on your own

Wednesday December 9th

- 8:00am - 8:30am Continental breakfast
Franciscan D Room
- 8:30am - 9:30am Progress check
Franciscan D Room
- 9:30am - 10:00am Break
- 10:00am - 11:30 Breakout sessions (continued)
Rooms: Franciscan D, Sausalito A, Sausalito B
- 11:30 - Noon Help discussion leaders prepare group reports
- Noon - 1:30pm Lunch
Marin Room
- 1:30pm - 2:30pm Group reports and discussion
Franciscan Room D
- 2:30pm - 3:00pm Review of future plans and closing remarks
Franciscan Room D

TEC Working Group
Attendance List
San Francisco - December 1992

Key: Italics define TEC Working Group member organizations.

Beth Berlin
Roy F. Weston
955 L'Enfant Plaza S.W., 8th Floor
Washington, DC 20024
Phone (202) 646-6680
Fax (202) 863-2220

Bernard Bevill
Arkansas Department of Health
4815 West Markham Street
Little Rock, AR 72205
*Conference of Radiation
Control Program Directors*
Phone (501) 661-2301
Fax (501) 661-2468

Larry Blalock
U.S. Department of Energy
Trevion II Bldg., EM-561
Washington, DC 20585
Phone (301) 903-7273
Fax (301) 903-7235

Peter Bolton
Weston/Rogers & Associates
955 L'Enfant Plaza S.W., 8th floor
Washington, DC 20024
Phone (202) 646-6681
Fax (202) 863-2220

Gerald Boyd
U.S. Department of Energy
Office of Special Programs, EM-56
Trevion II Bldg.
Washington, DC 20585
Phone (301) 903-7282
Fax (301) 903-7235

John Burge
Urban Energy & Transportation Corp.
VFW Building, Suite 710
406 W. 34th Street
Kansas City, MO 64111
Phone (816) 531-5745
Fax (816) 531-6539

Gary Callihan
U.S. Department of Energy
1333 Broadway, 7th Floor
Oakland, CA 94617
Phone (510) 422-0784
Fax SF DOE (510) 422-0832

Peter Conlon
Association of American Railroads
Transportation Test Center
P.O. Box 11130
DOT Road
Pueblo, CO 81001
Phone (719) 584-0554
Fax (719) 584-0711

James Cruickshank
U.S. Department of Energy
Trevion II Building, EM-562
Washington, DC 20585
Phone (301) 903-7272
Fax (301) 903-7235

Jack Daly
United Minerals & Energy, Inc.
P. O. Box 5279
Laytonsville, MD 20882
Phone (301) 840-9280
Fax (301) 840-9280

Tim Dantoin
MACTEC
4 Longfellow Place, Suite 708
Boston, MA 02114
Phone (617) 227-2257
Fax (617) 227-2257

William Diamond
Kane County Criminal Justice/ESDA
719 Batavia Avenue
Geneva, IL 60134
National Association of Counties
Phone (708) 232-5985
Fax (708) 208-2189

Jerry Duke
Clark Cty. Comprehensive Planning Dept.
301 East Clark Ave., Suite 570
Las Vegas, NV 89031
Phone (702) 455-5175
Fax (702) 455-5190

Lynn Eaton
Westinghouse Electric Corp./WIPP
P.O. Box 2078
Carlsbad, NM 88221
Phone (505) 885-7544
Fax (505) 887-0351

Ron Falkey
BDM International
12850 Middlebrook Rd., Suite 300
Germantown, MD 20874
Phone (301) 601-1159
Fax (301) 601-1107

John Fisher
Virginia Power
P.O. Box 26666
Richmond, VA 23261
Edison Electric Institute
Phone (804) 775-5001
Fax (804) 771-3388

Maurice Hilliard
Pennsylvania Emergency
Management Agency
Commonwealth and Forester
Trans & Safety Bldg., Rm B-149
Harrisburg, PA 17105
*National Emergency
Management Association*
Phone (717) 783-8150
Fax (717) 783-7393

Robert Holden
900 Pennsylvania Avenue, S.E.
Washington, DC 20003
National Congress of American Indians
Phone (202) 546-9404
Fax (202) 546-3741

Judith Holm
U.S. Department of Energy
Office of Special Programs, EM-56.1
Trevion II Building
Washington, DC 20585
Phone (301) 903-7242
Fax (301) 903-7235

Carolyn Hunter
Rockdale County 911 Communications
2120 Farmer Rd.
Conyers, GA 30207
*International Association
of Chiefs of Police*
Phone (404) 785-5900
Fax (404) 929-0338

Douglas Johnson
TESS, Inc.
Transportation Institutional Relations
2650 Park Tower Drive
Vienna, VA 22180
Phone (703) 204-8927
Fax (703) 204-8620

Robert Jarrell
Traffic Manager
U.S. Department of Energy
Richland Field Office
825 Jadwin Avenue
Mail Stop A5-21
Richland, Washington 99352
Phone (509) 376-8699
Fax (509) 372-1926

Bill Lent
Office of Emergency Preparedness
Prince George Co.
7911 Anchor St. Room 218
Landover, MD 20785
National Coordinating Council
on Emergency Management
Phone (301) 499-8053
Fax (301) 350-3471

Scott Lillibridge
National Center for Environmental Health/
Disaster Assessment Section
Mailstop F46
4770 Buford Highway, NE
Atlanta, GA 30341-3724
American College of
Emergency Physicians
Phone (404) 488-7350
Fax (404) 488-7335

Beth McClelland
Southern States Energy Board
3091 Governors Lake Drive
Suite 400
Norcross, GA 30071
Phone (404) 242-7712
Fax (404) 242-0421

Brad Mettam
Planning Department
YUCCA Mountain Repository Assessment
Ofc.
Drawer L
Independence, CA 93526
National Association of Counties
Phone (619) 878-0380
Fax (619) 878-0382

Calvin Meyers
P. O. Box 340
Moapa, NV 89025
Phone (702) 865-2787

Jim Miernyk
Western Interstate Energy Board
600 17th Street
Suite 1704 South Tower
Denver, CO 80202-5401
Phone (303) 573-8910
Fax (303) 573-9107

Avagene Moore
Oak Ridge Institute for
Science and Education
1017 Hayes Road
Lawrenceburg, TN 38464
Phone (615) 762-4768
Fax (615) 762-7359

Frank Moussa
Technical Hazards Division
Adjutant General's Department
P.O. Box C300
Topeka, KS 66601-0300
Council of State Governments,
Midwestern Office
Phone (913) 266-1409
Fax (913) 266-1426

Leslie Murphy
International Association of Fire Fighters
1750 New York Ave. NW
Suite 300
Washington, DC 20006-5395
Phone (202) 737-8484
Fax (202) 737-8418

Max Power
Western Interstate Energy Board
c/o Department of Ecology - NMW'M
P. O. Box 47600
Olympia, WA 98504-7600
Phone (206) 459-6670
Fax (206) 493-2976

James Reed
*National Conference of
State Legislatures*
1560 Broadway, Suite 700
Denver, CO 80202
Phone (303) 830-2200
Fax (303) 863-8003

Bob Robison
Oregon Department of Energy
Nuclear Safety & Energy Facilities
625 Marion Street, NE
Salem, OR 97310
Phone (503) 378-3194
Fax (503) 373-7806

JoAnne Rubin
3261 Victory Lane
Soquel, CA 95073
Emergency Nurses Association
Phone (408) 462-0570
Fax (408) 475-9507

George Ruberg
Waste Policy Institute
1872 Pratt Drive
Suite 1600
Blacksburg, VA 24060
Phone (703) 231-9872
Fax (703) 231-3968

Lisa Sattler
Council of State Governments
Midwestern Office
641 East Butterfield Rd.
Suite 401
Lombard, IL 60148-5651
Phone (708) 810-0210
Fax (312) 353-0813

Laura Scheele
Western Governors Association
600 17th Street
Suite 1705, South Tower
Denver, CO 80202
Phone (303) 623-9378
Fax (303) 534-7309

Judy Schwab
Waste Policy Institute
1872 Pratt Drive
Suite 1600
Blacksburg, VA 24060
Phone (703) 231-9814
Fax (703) 231-3968

Susan Smith
U.S. Department of Energy
OCRWM RW-431
1000 Independence Ave., S.W.
Washington, DC 20585
Phone (202) 586-5616
Fax (202) 586-9608

Paul Standish
Westinghouse Electric Corp.
101 Convention Center Dr.
Las Vegas, NV 89109
Phone (702) 794-7824
Fax (702) 794-7008

Mervyn Tano
Council of Energy Resources Tribes
1999 Broadway, Suite 2600
Denver, CO 80202
Phone (303) 297-2378
Fax (303) 296-5690

Elissa Turner
U.S. Department of Energy
OCRWM RW-431
1000 Independence Ave.
Washington, DC 20585
Phone (202) 586-1710
Fax (202) 586-9608

Gordon Veerman
Argonne National Laboratory
9700 S. Cross Avenue
Argonne, IL 60439
*International Association of
Fire Chiefs*
Phone (708) 252-6136
Fax (708) 252-5440

Anne Watanabe
729 NE Oregon
Suite 200
Portland, OR 97232
*Columbia River Inter-Tribal
Fish Commission*
Phone (503) 238-0667
Fax (503) 235-4228

Robert Waxman
U.S. Department of Energy
1000 Independence Ave. S.W.
Washington, DC 20585
Phone (202) 586-6979
Fax (202) 586-6977

Chris Wentz
Radioactive Waste Task Force
State of New Mexico
2040 Pacheoco Street
Santa Fe, NM 87505
Western Governors' Association
Phone (505) 827-5950
Fax (505) 438-3855

Jeanette Wolfley
Tribal Business Center
Shoshone-Bannock Tribes
Pima and Bannock Avenue
Fort Hall, ID 83203
*National Congress of
American Indians*
Phone (208) 238-3829
Fax (208) 237-9736

U.S. Department of Energy
Transportation External Coordination Working Group

CHARTER

MISSION

The U.S. Department of Energy Transportation External Coordination (TEC) Working Group is one of several external coordination mechanisms established by the U.S. Department of Energy (DOE) to implement parts of the Transportation Management Division (TMD) Program Plan, the Transportation Emergency Preparedness Program (TEPP) Strategy Plan, and the Civilian Radioactive Waste Management Program. The DOE TEC Working Group serves as a mechanism to help provide continuing and improved coordination between appropriate DOE elements and other levels of government.

OBJECTIVES

DOE-- through the DOE TEC Working Group chairperson, the TEPP Coordinator, and the TMD Director-- interacts with representatives of organizations at the state, tribal, and local levels who are working cooperatively with DOE, to obtain input for program needs assessment, development and management, and to enhance their capability to carry out transportation emergency preparedness and safety activities specifically related to radioactive materials shipments.

With the overall objective of developing a consolidated, multi-year set of goals and plans of action, DOE and the state, tribal, and local government members address the following issues.

*review training requirements under Section 180(c) of the Nuclear Waste Policy Act, as amended, (including emergency response and safe routine transport);

*promote the functional integration of DOE emergency preparedness activities with the overall DOE transportation system;

*identify response, planning, training, and exercise needs;

*identify areas for DOE to coordinate activities with state, tribal, and local jurisdictions and with other federal agencies and areas for DOE-specific initiatives; and

*develop recommendations for providing technical assistance.

ORGANIZATION

The TEC Working Group chairperson coordinates the participation of appropriate DOE and contractor representatives and staff support. State, tribal, and local government members are officially designated representatives of the organizations invited by DOE to participate. DOE will request industry liaison participation as appropriate and will coordinate with other federal agencies through existing mechanisms such as the National Response Team and the Federal Radiological Preparedness Coordination Committee.

Members are divided into topical committees as needed.

RESPONSIBILITIES

The TEC Working Group chairperson and other DOE participants are responsible for providing feedback from the Working Group to various DOE elements such as the TEPP Steering Committee and the Transportation Institutional Task Force. These DOE elements--which include DOE programmatic staff in transportation, emergency management, and public involvement--may be asked to provide specific comments and recommendations.

Members attend periodic meetings (approximately two each year) to review issues, exchange information, and identify program needs. They network back to their member organizations to exchange information and materials from the meetings and to seek further input. They are also available for occasional phone discussions with DOE program managers.

For continuity, members attend meetings themselves rather than send alternates, although alternates are preferred to no representation at all from the organization.

MEMBERSHIP

An attachment lists the organizations invited to participate.

ATTACHMENT

Transportation External Coordination Working Group Members

American College of Emergency Physicians
Columbia River Intertribal Fish Commission
Commercial Vehicle Safety Alliance
Conference of Radiation Control Program Directors
Cooperative Hazardous Materials Enforcement Development
Council of Energy Resource Tribes
Council of State Governments, Midwestern Office
Emergency Nurses Association
International Association of Chiefs of Police
International Association of Fire Chiefs
International Association of Fire Fighters
National Association of Counties
National Association of Emergency Medical Technicians
National Conference of State Legislatures
National Congress of American Indians
National Coordinating Council on Emergency Management
National Emergency Management Association
National Governors' Association
Southern States Energy Board
Western Governors Association
Western Interstate Energy Board
U.S. Department of Energy
Urban Energy & Transportation Corporation

Industry liaison

American Trucking Associations
Association of American Railroads
Edison Electric Institute

Other invited organizations

American Indian Law Center
National Association of Regulatory Utility Commissioners
National League of Cities

Appendix 1
Plenary Session Summaries

U.S. DEPARTMENT OF ENERGY
TRANSPORTATION EXTERNAL COORDINATION
(TEC) WORKING GROUP

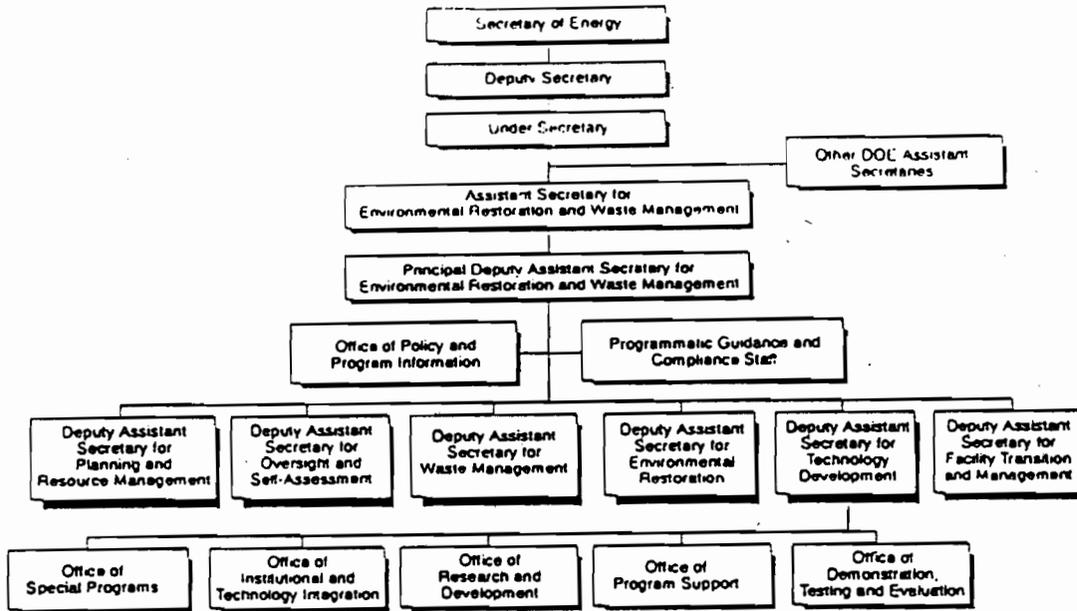
Program Planning and Budget Process Overview



*Gerald Boyd, Director
Office of Special Programs
Environmental Restoration and Waste Management*

December 8, 1992

DOE ORGANIZATION CHART



DOE PURSUES ITS MISSION THROUGH A VARIETY OF DEPARTMENTAL ORGANIZATIONS

- Headquarters Program Managers
- DOE Field Offices
- DOE Management and Operations (M&O) Contractors (Including the National Labs)



***OUTSIDE THE DOE COMPLEX,
FORMAL AND INFORMAL WORKING
ARRANGEMENTS ARE ESTABLISHED WITH***

- Industry
- Trade Groups
- Non-Profit Concerns
- Academia
- Local, State, and Tribal Governments
- Other Federal Agencies
- Foreign Governments and Agencies



PROGRAM FORMULATION

- The Program Formulation Process, Including Budget Formulation:
 - Begins with Strategic and Multi-Year Planning
 - Involves Prioritization of Programmatic Needs and Determination of Funding, Staffing, and Other Resource Requirements
- Technical, Cost and Schedule Baselines are Formulated through the Planning Process
- Mid-Year Review to Define Preliminary Scope of Budget Year Program
- Second Review Firmly Establishes the Scope of Budget Year Program



PROGRAM EXECUTION

- Characterized by Baseline Management
- For Major System Acquisitions (MSA), Key Decision Points and Project Phases Defined in DOE 4700.1



ACTIVITIES AND PROCESSES TO BE ACCOMPLISHED IN ANY FISCAL YEAR

For the Current FY:

- Program Execution and Evaluation

For FY + 1:

- OMB Budget Process
- Congressional Budget Process
- Assessment of Ongoing Activities for use in Program Formulation
- Program Formulation



ACTIVITIES AND PROCESSES TO BE ACCOMPLISHED IN ANY FISCAL YEAR

For FY + 2

- Work Plan Preparation
- Specific Activity Modules
- Prioritization Cases
- DOE Internal Review Budget (IRB) Process
- OMB Budget Process
- Assessment of Ongoing Programs for use in Program Formulation



BUDGET FORMULATION

- Early May: Controller Issues FY + 2 IRB Call
 - IRB Based on Prioritization Process/Field Budget Submittals
 - IRB Prepared at HQ and Approved by DAS/TD
 - EM-50 IRB then Forwarded to EM Controller



BUDGET FORMULATION

- Mid-June through Early August:
 - Controller Reviews and Recommends to Secretary Funding Levels for OMB Budget
 - Hearing/Appeals Process
 - Secretary Passes Back to EM-50 Final IRB Funding Allowance
- August: OMB Budget Prepared Based on IRB Funding Allowance



BUDGET FORMULATION

- Early September: Budget Submitted to OMB
 - Review, Hearing and Appeals Process
- Early December:
 - OMB Pass Back of Final OMB Funding Allowance
 - President's Budget to Congress Prepared

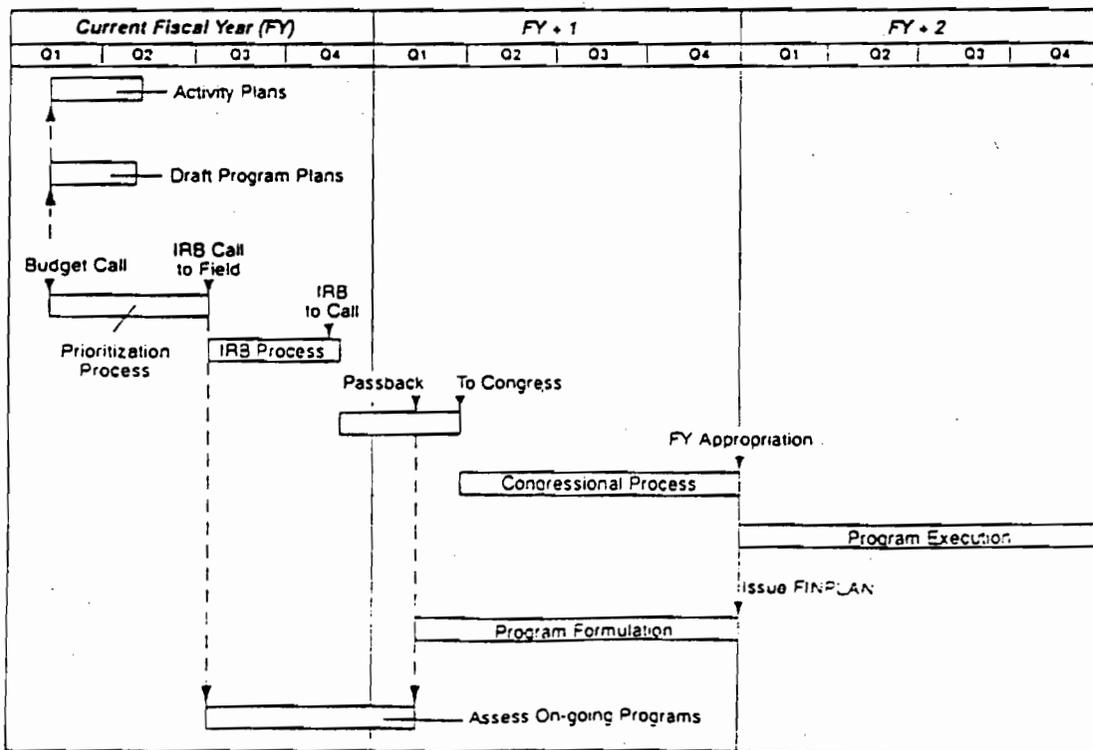


BUDGET FORMULATION

- Early January:
 - President's Budget Forwarded to Congress
 - Congressional Review, Hearing and Appeal Process (Extends through Next 8 Months)
 - FY Appropriation



PROGRAM FORMULATION AND BUDGET PROCESS



*U.S. DEPARTMENT OF ENERGY
TRANSPORTATION EXTERNAL COORDINATION
(TEC) WORKING GROUP*



*Jim Cruickshank
Emergency Management Division
Office of Special Programs
Environmental Restoration and Waste Management*

December 8, 1992

TEPP INITIATIVES

1. Centralize Program Coordination
2. Establish a TEPP Steering Committee
3. Develop a TEPP Multi-Year Program Plan
4. Establish a TEPP External Coordination Mechanism
5. Establish Planning Requirements for Transportation Incident Response (G, H)



TEPP INITIATIVES (CONT'D)

6. Develop a Training and Exercise Program for Transportation Incident Response
7. Develop Program Verification Procedures
8. Establish a Field Assistance Program (A, C)
9. Establish a Support Program for States, Tribes and Local Governments (B, D, E, F)
10. Establish a Technology Application Program to Support Emergency Response



SUGGESTED TEC OBJECTIVES EMERGENCY MANAGEMENT

- A. Develop Inventory of National Response Capabilities
- B. Develop Approaches to Improve State, Tribal, and Local Emergency Response
- C. Provide Incident Data to Emergency Responders
- D. Facilitate Mutual Aid Agreements
- E. Develop "User Friendly" Emergency Response Guidance for DOE Shipments
- F. Integrate Private Sector into Emergency Planning Process
- G. Clarify Responsibility for Emergency Response to DOE Rail Shipments
- H. Determine Need for Standardizing Level of Response



TRAINING

- Emergency Response Orientation Workshop
- Radiological Emergency Response Operations Course
- Transportation Accident Course



Department of Energy

TEC Working Group

Inspection and Enforcement Issues

Inspection and Enforcement Issues

- **Scope of Inspection and Enforcement**
- **Proposed DOE Goal for Inspection and Enforcement**
- **Suggested DOE Objectives Derived from Issues/Comments from Last TEC Meeting**

Inspection and Enforcement Issues (con't)

- **Status of On-Going Work Related to Objectives**
- **Constraints to Meeting Goal/Objectives**
- **Possible Program Tasks for DOE to Meet Objectives**

Scope of Inspection Issue

- "Inspection" concerned with existing Federal, state, tribal, local capabilities for inspection of DOE radioactive shipments and enhancement of these capabilities
- Includes inspection of the:
 - vehicle
 - load
 - driver

Scope of Enforcement Issue

- "Enforcement" - concerned with existing Federal, state, tribal, and local capabilities for enforcement of the safe routine transport of DOE radioactive shipments and the enhancement of these capabilities
- Enforcement of:
 - inspections
 - permitting
 - speed
 - travel restrictions
 - routing compliance
 - notification and physical security

**Suggested DOE Objectives Derived
from Issues/Comments
from First TEC Meeting (con't)**

(A. continued)

- Ensure that all enforcement levels have the same understanding of legal requirements
- Provide master list of legal requirements for radioactive materials shipments (DOE, NRC, DOT, etc.)

**Suggested DOE Objectives Derived
from Issues/Comments
from First TEC Meeting (con't)**

- B. Identify all state, local, tribal inspection enforcement agencies and their roles and responsibilities for inspection and enforcement**
- Define the regulator, their role, and performance indicators
 - Identify emergency response and enforcement agencies state-by-state (without creating new ones)

**Suggested DOE Objectives Derived
from Issues/Comments from
First TEC Meeting (con't)**

- C. Work with DOT and NRC to provide incident data to enforcement agencies**
- Provide a database of incident data available to state/local emergency response leaders and enforcement agencies

**Suggested DOE Objectives Derived
from Issues/Comments from
First TEC Meeting (con't)**

- D. Enhance state, tribal, local capabilities for monitoring, inspecting, and enforcement**
- Build state-tribal-local capability to train, inspect, respond
 - Build reasonable independent oversight of DOE activities
 - Enhance training and equipment for enforcement people

**Suggested DOE Objectives Derived
from Issues/Comments from
First TEC Meeting (con't)**

E. Implement standardized inspection procedures

- Implement standardized inspection procedures

Status of On-Going Work Related to Objectives

A. Identified legal requirements for DOE shipments

- Transportation Roadmap listing of appropriate regulations available

B. Identified Federal, state, tribal, local enforcement agencies

- not currently available by DOE

Status of On-Going Work Related to Objectives (con't)

C. Have yet to work with NRC/DOT on database

- available NRC and DOT incident reports

D, E.

- DOE is working to standardize and enhance inspection procedures through CVSA/OCRWM Cooperative Agreement

Commercial Vehicle Safety Alliance (CVSA)

- Formed in 1980 to improve safety, avoid duplication of inspections, improve allocation of inspection resources
- Membership includes enforcement personnel from state agencies as well as Canada and Mexico

CVSA (con't)

- **Developed standardized inspection program that includes vehicle, load, and driver**
 - out-of-service criteria contained in North American Standard
 - decal issued for 90 days
 - does not preclude reinspection by any state
- **CVSA and participating states have MOU which sets up reciprocity.**

CVSA/OCRWM Cooperative Agreement

- **Under 1986 cooperative agreement, CVSA agreed to develop uniform inspection standards for use by states in the inspection of OCRWM waste shipments**
- **Standards and procedures for inspection of driver, shipping papers, vehicle, and cask would be developed by CVSA with input from CRCPD**
 - designed for use at origin and destination
 - intended to minimize in-route inspections
 - considered an enhancement to the existing North American Standard

CVSA/OCRWM Cooperative Agreement (con't)

- **Agreement renewed in 1989 for conduct of 5-year pilot study to:**
 - develop training program
 - evaluate procedures
 - develop data on reasonable inspection frequency

Status of CVSA/OCRWM Cooperative Agreement

- **Draft inspection standards and procedures completed**
- **Research design for pilot study completed**
- **Inspector training course developed**
 - trial course held in August
 - curriculum revised based on input from students
 - next course scheduled for February

Status of CVSA/OCRWM Cooperative Agreement (con't)

- **Pilot study will involve inspection of shipments to WIPP**
 - cooperative agreements in place between CVSA and 7 WIPP corridor states
 - study will continue with start of WIPP shipments

Constraints and Factors Affecting Implementation of Goals/Objectives

- **Funding Priorities**
- **Continued fragmented approach by various DOE program elements**
- **Implementation of new requirements of HMTUSA inspection sections**

Example of HMTUSA's Effect on Inspection and Enforcement Activities

- 1. Requires DOT registration of all shippers**
- 2. Requires carriers to obtain a DOT safety permit**
- 3. Requires DOT to establish by regulation a mandatory pre-trip inspection and certification for all motor vehicles used in the transport of HRCQ of RAM**
- 4. DOT is authorized to require Federal inspection or inspection in accordance with appropriate state procedures**

Possible Program Tasks for DOE to Meet Objectives

- A. DOE could compile a final list of Federal codes and reports discussing regulations and finalize shipping campaigns guide which will describe DOE compliance**
- B. Work with CRCPD to revise their listings to include a list of enforcement agencies**
- C. Work with DOT, NRC, FEMA to ensure state access to incident reports and an incident reporting process**

**Possible Program Tasks for
DOE to Meet Objectives (con't)**

- D. Continue mechanisms to enhance state and tribal monitoring, inspecting, and enforcement capabilities**

- E. Continue CVSA effort to standardize inspection procedure**

Breakout Session for Safe Routine

Transport will expand on

Program Tasks to meet Objectives